

**WORCESTERSHIRE LOCAL  
TRANSPORT BOARD  
MAJOR SCHEME PRIORITISATION**

*Worcestershire County Council*

3513092A-PTE/1/02



# **Worcestershire Local Transport Board - Major Scheme Prioritisation**

**3513092A-PTE /1/02**

**Prepared for**  
Worcestershire County Council  
County Hall  
Spetchley Road  
Worcester  
WR5 2NP

**Prepared by**  
Parsons Brinckerhoff  
The Forum  
Barnfield Road  
Exeter  
EX1 1QR

01392 229700 [www.pbworld.com](http://www.pbworld.com)



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**AUTHORISATION SHEET**

**Client:** Worcestershire County Council  
**Project:** Worcestershire Local Transport Board – Major Scheme Prioritisation  
**Address:** County Hall, Spetchley Road, Worcester, WR5 2NP

**PREPARED BY**

**Name:** Ian Beavis  
**Position:** Associate, Transportation Planning  
**Date:** August 2013

**AGREED BY**

**Name:** Ian Harrison  
**Position:** Consultant, Transportation Planning  
**Date:** August 2013

**AUTHORISED FOR ISSUE**

**Name:** Ian Beavis  
**Position:** Associate, Transportation Planning  
**Date:** August 2013

**DISTRIBUTION**

**ACCEPTED BY**

**Name:** Peter Blake  
**Position:** Worcestershire County Council  
**Date:** August 2013

**Name:** Roy Fullee  
**Position:** Worcestershire County Council  
**Date:** August 2013

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## **EXECUTIVE SUMMARY**

## EXECUTIVE SUMMARY

### Summary

This report details the process that has been used to assess and prioritise scheme submitted to the Worcestershire Local Transport Board for major scheme funding.

The Worcestershire LTB has provisionally been allocated £11.5m of devolved major scheme funding for the funding period from 2015 to 2019. The DfT have advised that the funding allocation could be increased or decreased by up to 30% (ranging from £8.05m to £14.95m).

The following four schemes were submitted for assessment (the promoting authority is shown in brackets):

- **A4440 Southern Link Road**, Worcester (Worcestershire County Council)
- **Worcestershire Parkway**, near Worcester (Worcestershire County Council)
- **Hoobrook Link Road**, Kidderminster (Worcestershire County Council)
- **Pershore Northern Link**, Pershore (Wychavon District Council)

The DfT requires LTBs to publish and submit to them a prioritised list of schemes by 31st July 2013.

### Assessment Methodology

The assessment process has consisted of three stages:

- **Stage 1 – Screening:** this consists of a pass / fail gateway to ensure that submitted schemes meet key, baseline criteria and can be taken forward for fuller assessment in Stage 2;
- **Stage 2 – Prioritisation:** this assesses and scores schemes against the key objectives of the LTB. The objectives are weighted to allow high priority to be placed on key objectives of the programme;
- **Stage 3 – Blending:** this builds on the prioritisation stage to develop a funding programme, by considering other relevant factors such as affordability, deliverability and delivery programme.

### Outputs from Assessment Processes

#### Screening

The outputs from screening process show that all 4 schemes pass the screening assessment and should be taken forward for fuller assessment in Stage 2 (prioritisation).

#### Prioritisation

The outputs of the prioritisation process are shown in the following table:

Criteria	Score	Funding Sought (£m)
A4440 Southern Link Road	33	7.00
Hoobrook Link Road	28	2.50
Worcestershire Parkway	28	2.10
Pershore Link Road	19	1.65
<b>Total Funding Sought</b>		<b>13.25</b>

**Table E1 – Outputs from Prioritisation Process**

The prioritisation process (Stage 2) has been completed and provides a prioritised list of schemes to be taken forward to Stage 3 (blending).

Blending

The blending process (Stage 3) has recommended that the following schemes be included within the prioritised programme:

Criteria	Recommendation
A4440 Southern Link Road	<b>Recommended for funding</b>
Hoobrook Link Road	
Worcestershire Parkway	
Pershore Northern Link	<b>On reserve list should funding be increased</b>

**Table E2 – Recommended Funding Programme (2015 – 2019)**

**Prioritisation**

In terms of prioritisation of schemes, it is suggested that the highest priority should be placed with the Hoobrook Link Road scheme. This is primarily due to the timescales associated with the secured Pinchpoint funding, and hence it is important to move to submission of a Business Case as quickly as possible.

**Recommendations**

It is recommended that, for schemes to be progressed to the stage where a Business Case can be submitted for Programme Entry, work is progressed with urgency for all schemes; this is particularly relevant for the three schemes which will require the involvement of Network Rail.

SECTION 1

**INTRODUCTION**

## **1 INTRODUCTION**

### **1.1 Background**

1.1.1 Guidance from the Department for Transport (DfT) in November 2011 confirmed the intention of the Government to devolve major transport scheme funding from the DfT to Local Transport Bodies (LTBs) by 2015. The primary role of LTBs will be to decide which investments should be prioritised in their area, to review and approve individual business cases for those investments and to ensure effective delivery of the programme.

1.1.2 The Worcestershire Local Transport Board (LTB) will therefore now manage the development and delivery of major transport schemes in Worcestershire. The Worcestershire LTB consists of members from Worcestershire County Council, Worcestershire Local Enterprise Partnership (LEP), Birmingham and Solihull LEP and Worcestershire District Councils. Representatives from Network Rail / Highways Agency and Worcestershire Transport Operators will also form part of the LTB, but in a non-voting capacity<sup>1</sup>.

1.1.3 As part of this process, the DfT requires LTBs to publish and submit to them a prioritised list of transport schemes by the end of July 2013, for the funding period from 2015 to 2019.

1.1.4 Parsons Brinkerhoff has been commissioned by Worcestershire County Council, as the Accountable Body for Worcestershire LTB, to act as the Independent Transport Advisor to the LTB. The role of the ITA includes developing a suitable process for the prioritisation of major schemes, carrying out this process and providing independent advice and support to the LTB.

### **1.2 Candidate Schemes**

1.2.1 In order to be considered for funding for the 2015 to 2019 period, scheme promoters were required to submit candidate schemes to the LTB by 31<sup>st</sup> May 2013. The following four schemes were submitted (the promoting authority is shown in brackets):

- **A4440 Southern Link Road**, Worcester (Worcestershire County Council)
- **Worcestershire Parkway**, near Worcester (Worcestershire County Council)
- **Hoobrook Link Road**, Kidderminster (Worcestershire County Council)
- **Pershore Northern Link**, Pershore (Wychavon District Council)

1.2.2 Further information on these schemes is provided in Section 3 of this report.

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<sup>1</sup> The LTB structure and members is detailed in the Assurance Framework Section 2.3 (included in Appendix 1).

**1.3 Purpose of Note**

1.3.1 This note details the funding process, the prioritisation methodology and key outputs from the assessment processes.

1.3.2 The report consists of the following sections:

- Section 1 – Introduction;
- Section 2 – Local Transport Board Major Scheme Funding Process;
- Section 3 – Candidate Schemes;
- Section 4 – Assessment Methodology
- Section 5 – Stage 1 – Screening;
- Section 6 – Stage 2 – Prioritisation;
- Section 7 – Stage 3 – Blending and Recommendations

SECTION 2

**LOCAL TRANSPORT BOARD – MAJOR  
SCHEME FUNDING PROCESS**

## **2 LOCAL TRANSPORT BOARD MAJOR SCHEME FUNDING PROCESS**

### **2.1 Introduction**

2.1.1 Guidance from the DfT in November 2011 confirmed the intention of the Government to devolve major transport scheme funding from the DfT to Local Transport Bodies. This will mean that, whilst the DfT will not have a role in the prioritisation and approval of schemes, it will require assurance that the process operates appropriately, that the funding programme delivers value for money and that it safeguards the use of public funds.

2.1.2 The DfT will retain an ongoing responsibility for ensuring that LTBs are operating effectively, within the terms of their local Assurance Frameworks and are delivering value for money. This will be ensured through audits of the LTB.

2.1.3 Therefore, the DfT have required each LTB to produce an Assurance Framework, which sets out the governance and working arrangements, and the assessment, prioritisation and approval processes for investment decisions. The guidance produced by the DfT<sup>2</sup> details the minimum requirements for the Assurance Framework. The Assurance Frameworks were required to be submitted to the DfT in draft form in February 2013.

### **2.2 Funding**

2.2.1 The funding allocated to each LTB for the funding period from 2015 to 2019 has been determined based on the population within each LTB area. Based on this, the DfT advised in January 2013<sup>3</sup> that the Worcestershire LTB has provisionally been allocated £11.5m. The DfT have advised that the funding allocation could be increased or decreased by up to 30% (ranging from £8.05m to £14.95m).

### **2.3 Role of Independent Transport Advisor**

2.3.1 The DfT requires LTBs to publish and submit to them a prioritised list of schemes by July 2013. Although the individual schemes will not require DfT approval, the prioritised lists will provide them with important information on the overall deliverability of the programme and will form part of the evidence base for future spending rounds.

2.3.2 The Assurance Framework sets out a process for the assessment and prioritisation of schemes, and the development of a programme for the 2015 to 2019 period. This process states that *'the LTB will be assisted in its decision making process by independent experts'*.

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<sup>2</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/15176/guidance-local-transport-bodies.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/15176/guidance-local-transport-bodies.pdf)

<sup>3</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/69185/devolution-lmts-funding.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/69185/devolution-lmts-funding.pdf)



2.3.3 To provide this independent expert role, Parsons Brinckerhoff have been appointed by Worcestershire County Council (as the Accountable Body) as the Independent Transport Advisor (ITA). For the prioritisation stage (i.e. until the funding programme has been submitted to the DfT), it is understood that the role consists of the following tasks:

- To review the Assurance Framework;
- To develop a methodology to assess and prioritise candidate schemes;
- To provide independent advice to the LTB on any scheme issues;
- To provide a report to the LTB on the outcomes of the prioritisation process.

2.3.4 Following the submission of the programme in July 2013, the ITA will have an ongoing role in reviewing and approving business cases that are submitted to the LTB for funding decisions. The ITA for the role (post July 2013) has not yet been appointed.

2.3.5 This report is therefore the final stage in the ITA commission for the major scheme prioritisation work.

## **2.4 Assurance Framework**

2.4.1 The Worcestershire LTB Assurance Framework was submitted to the DfT in draft in February 2013; the draft document is included in Appendix 1.

2.4.2 At the time of writing this report, it is understood that comments from the DfT on the draft Assurance Framework have been received. These comments are currently being addressed, which will lead to a revised Assurance Framework being submitted.

2.4.3 The process which has been adopted to develop a prioritised programme differs from that set out in Section 3.2 of the draft Assurance Framework. This is because the three-stage screening / prioritisation / blending process as described in Section 4 of this report has been adopted, rather than use of the EAST and Scheme Appraisal Framework (SAF) tools described in the current draft of the Assurance Framework<sup>4</sup>.

2.4.4 The Assurance Framework states that the ITA will form part of a 'Transport Advisory Group', which would provide prioritisation advice to the LTB. This group is currently chaired by a representative from Worcestershire County Council, as stated in the Assurance Framework, and includes the ITA. The group has consulted with officers from the County and District Councils, but does not currently include representatives from other organisations, such as transport operators, Network Rail or the Highways Agency as suggested in the Assurance Framework.

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<sup>4</sup> Assurance Framework Section 3 (included as Appendix 1)

- 2.4.5 The transparency of the local engagement elements of the Assurance Framework have, in our understanding, not yet fully been implemented, and there may be a case for submitting the LTB's initial decisions on a prioritised programme to stakeholders or for public consultation.
- 2.4.6 Looking forward to the scheme approval stages, in view of the limited scale of complexity of likely schemes, it may be worthwhile operating a two-stage approval process, involving just Programme Entry and Full Approval stages, as opposed to the three-stage process currently set out in the Assurance Framework.

SECTION 3

**CANDIDATE SCHEMES**

### **3 CANDIDATE SCHEMES**

#### **3.1 Introduction**

3.1.1 Four transport schemes were submitted to the Local Transport Authority by the 31<sup>st</sup> May 2013 deadline to be assessed as part of the prioritisation process. The schemes are (the promoting authority is shown in brackets):

- **A4440 Southern Link Road**, Worcester (Worcestershire County Council)
- **Worcestershire Parkway**, near Worcester (Worcestershire County Council)
- **Hoobrook Link Road**, Kidderminster (Worcestershire County Council)
- **Pershore Northern Link**, Pershore (Wychavon District Council)

3.1.2 A summary of each scheme is provided in the following sections. The scheme proformas submitted to the LTB are included in Appendix 2.

#### **3.2 A4440 Southern Link Road**

3.2.1 The A4440 Southern Link Road scheme has been submitted by Worcestershire County Council. The scheme proposes dualling of the eastern section of the A4440 to the south of Worcester and associated junction improvements.

3.2.2 This would complement the already approved improvements to Ketch Roundabout, and dualling of the A4440 just to the east of this, in order to give a consistent dual carriageway standard route between the Whittington and Ketch junctions. As well as improving capacity of this key link between M5 Junction 7 and South Worcestershire, it would give access to the major housing and employment development planned adjacent to the Norton junction.

#### **3.3 Worcestershire Parkway (Phase 1)**

3.3.1 The Worcestershire Parkway Phase 1 scheme has been submitted by Worcestershire County Council. The scheme this proposes the construction of a new parkway rail station near Norton, at the crossing point of the Cotswold and Bristol to Birmingham rail lines to the east of Worcester. Phase 1 would provide a new station to serve the Cotswold line.

3.3.2 Phase 2 would provide additional platforms on the Bristol to Birmingham main line, which bypasses the city of Worcester, offering the opportunity for access to services operated by Cross Country trains, which currently do not call at Worcester.

#### **3.4 Hoobrook Link Road**

3.4.1 The Hoobrook Link Road scheme has also been submitted by Worcestershire County Council. The scheme proposes a new link road across the River Stour to the south of Kidderminster. This would provide a direct link between the A442 Worcester Road

and A451 Stourport Road, offering shorter journey lengths and removing traffic from the congested Kidderminster town centre ring road.

- 3.4.2 The scheme would also support regeneration of key brownfield sites, giving access to new residential development and employment land.

### **3.5 Pershore Northern Link**

- 3.5.1 The Pershore Northern Link scheme has been submitted by Wychavon District Council. The scheme proposes a new link road connecting the existing Keytec Business Park, north of Pershore, to the A44.

- 3.5.2 This is a longstanding proposal for which provision has already been made in the design of the roundabout at the junction of the A44 and the Wyre Piddle bypass at the northern end of the scheme, and on the B4083 Wyre Road at the southern end.

SECTION 4

**ASSESSMENT METHODOLOGY**

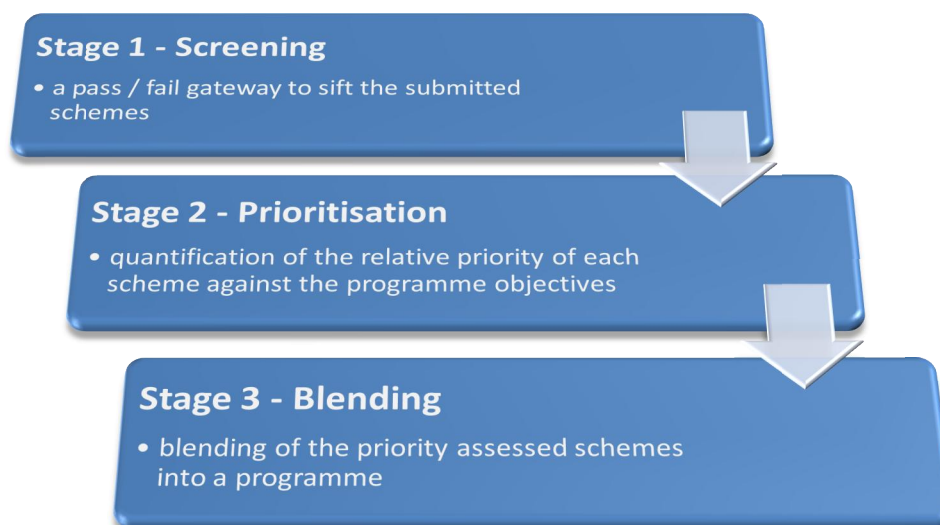
## 4 ASSESSMENT METHODOLOGY

### 4.1 Overview of Process

4.1.1 The DfT requires, through the Assurance Framework, a clear and robust process for assessing candidate schemes, and an appropriate mechanism for translating them into a prioritised programme. The DfT guidance states that *'prioritisation (i.e. sifting long list of schemes down to a programme) must be evidence based, robust and based on clear objectives'*.

4.1.2 Whilst the process, the criteria and their weightings to be used in the assessment are to be determined by the LTB, the DfT suggest that *'as a minimum, value for money, deliverability, environmental and social/distributional impact should always be among the factors taken into consideration at this stage'*.

4.1.3 It is proposed that the prioritisation approach consists of a 3 stages process:



4.1.4 The following sections set out the proposed methodology that has been used for each of these stages.

4.1.5 It should be noted that, whilst the above process has been agreed with Worcestershire County Council, it has not been formally approved by the LTB.

## 4.2 Objectives

4.2.1 It is necessary for the LTB to have a clear statement of its objectives to inform the development of the prioritised transport programme, and enable assessment of how individual schemes deliver the outcomes that the LTB would like to achieve across the Worcestershire area.

### DfT Minimum Requirements

4.2.2 The DfT requires selection criteria to consider as a minimum: value for money, deliverability, environmental and social and distributional impacts<sup>5</sup>. LTBs are able to define a wider set of objectives for their area.

### Proposed Additional Objectives

4.2.3 A review of the Worcestershire Local Transport Plan and Worcestershire LEP Business Plan has suggested that additional objectives should be agreed to ensure the programme explicitly delivers benefits for the economy of the area, and where possible, reduces carbon emissions and road casualties; encourages physical activity to achieve associated benefits to public health; improves the quality of life of residents of Worcestershire and enhances the quality of the transport network. The additional objectives would ensure that schemes that are included within the funding programme have a strong alignment with the policies of both the Worcestershire LTB and the Worcestershire Local Transport Plan.

4.2.4 It is also proposed that two further overall aims of the programme should be to ensure support for the programme from a wide range of community interests, and to ensure that the quality of evidence used to support the case for the scheme is robust.

### Recommended Objectives

4.2.5 The following objectives are therefore recommended, which are considered to strongly align with the objectives of the LTB and Local Transport Plan. These objectives have been used to inform the development of a prioritised programme of schemes, as detailed in Section 7 of this report.

4.2.6 The major transport schemes programme 2015-2019 will aim to:

- **Support the local economy** (including new employment, retail and residential developments) and **facilitate economic development**; for example, by reducing congestion, improving the reliability and efficiency of

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<sup>5</sup> Social and Distributional Impacts consider, through a formal screening process, whether the following impacts adversely affect particular geographic areas or low income/ vulnerable groups: User Benefits, Noise, Air Quality, Accidents, Security, Severance, Accessibility, Affordability of Transport.



the transport network or enhancing access to employment and other essential services.

- **Reduce carbon emissions**; for example by bringing about an increase in the volume and proportion of journeys made by low carbon, sustainable modes including walking and cycling;
- Bring about **improvements to air quality** and increased compliance with air quality standards, and wider environmental benefits such as **noise reduction**;
- **Improve safety, security and health** by reducing the risk of harm from transport and promoting healthy travel modes;
- **Optimise equality of opportunity** by helping to deliver wider social and economic benefits (e.g. accessibility and social inclusion) for the community;
- **Enhance the quality of life** for residents by promoting a healthy, natural environment, conserving the built environment and preserving heritage;
- **Enhance the quality of the transport network** and reduce the cost and inconvenience of maintenance works;
- **Provide good value for money**, deliverability and affordability and be financially sustainable.

4.2.7 In addition, schemes should:

- Have the **support** of a range of community interests;
- Be based on **robust supporting evidence**.

### **4.3 Stage 1 – Screening**

4.3.1 The screening stage provides a pass / fail gateway to ensure that submitted schemes meet key, baseline criteria and can be taken forward for fuller assessment in Stage 2.

#### Eligibility Criteria

4.3.2 The Worcestershire LTB has set out that schemes must meet the eligibility criteria in order to be considered for major scheme funding. The criteria, as defined in the Assurance Framework, state that schemes must:

- Have a minimum scheme cost of £2.5m;
- Have a local contribution of at least 25% of the total scheme cost;
- Be on a local highway, railway or waterway and have specific outcomes and user groups in mind;
- Demonstrate how the investment will contribute to national and local policy objectives.

4.3.3 Schemes have been checked against these eligibility criteria to ensure compliance.

Screening

- 4.3.4 The proposed screening process is based on assessment against a modified form of the DfT's EAST (Early Assessment and Sifting Tool) process. The modifications are proposed in order to allow the tool to align more fully with the specific objectives of the Worcestershire LTB; it should be noted that the overall principle behind the use of EAST is unchanged.
- 4.3.5 EAST is a sound means of collecting a comprehensive set of data about each candidate scheme, but does not directly provide a means of comparing one scheme with another. It does, however, provide a means of testing each scheme against consistent thresholds, and hence its use is recommended for Stage 1.
- 4.3.6 For a number of criteria, which are set out in the table below, performance of the candidate scheme would generally be scored on a scale of 1 to 5, where 1 indicates the lowest level of 'performance' and 5 the highest. It is proposed that the 'pass' thresholds for each of the EAST criteria should be set as follows:

Sifting Criteria		Pass Threshold
<b>Strategic Fit</b>	Scale of Impact	Score of 3 or more
	Fit with Wider Transport / Government Objectives	Score of 3 or more
	Fit with Other Objectives	Score of 3 or more
	Consensus Over Scheme Outcomes	Score of 2 or more
<b>Economic Case</b>	Overall Impact on Congestion / Delivering Growth	Score of 3 or more
	Socio-Distributional Impact	Initial SDI analysis present
	Environmental Impact	No unmitigated large adverse impact
	Well-Being	No unmitigated large adverse impact
	Value for Money	BCR > 1.0
<b>Managerial Case</b>	Public Acceptability	Score of 2 or more
	Practical Feasibility	Score of 3 or more
	Quality of Supporting Evidence	Score of 3 or more
	Options Tested	Score of 3 or more
	Risk Assessed	Absence of high risks*
<b>Financial Case</b>	Affordability	Score of 3 or more
	Overall Cost Risk	Confidence that cost risk can be covered by promoting authority

\* i.e. there is nothing reasonably foreseeable which would lead to abandonment of the scheme

**Table 1 – Screening Criteria and Pass Thresholds**

4.3.7 Schemes which satisfy these thresholds have been taken forward for fuller assessment in Stage 2 of the process (prioritisation).

4.3.8 It should be noted that at this stage of the process there are probably already schemes which have been 'self-sifted' out of the candidate list by local authorities.

4.3.9 Each scheme has been assessed against the EAST criteria using information provided in the scheme submissions. Where necessary, additional information has been requested from scheme promoters to allow the assessments to be carried out to a robust level. Scheme promoters were contacted directly as soon as the need for further information became apparent.

#### **4.4 Stage 2 – Prioritisation**

4.4.1 The DfT emphasis on prioritisation seems to require some element of numerical assignment. However, it is considered important that the development of a programme of schemes is not dictated solely by a numerical computation, particularly given the variability of both the extent of the data on candidate schemes and its relative robustness.

4.4.2 The proposed prioritisation process has been used to assess and score candidate schemes against the objectives detailed in Section 4.2.6 of this note. It is proposed that these criteria are weighted as shown in the table below, to allow high priority to be placed on key objectives of the programme:

<b>Criteria</b>		<b>Weighting</b>
<b>Economic</b>	Support economic growth	5
<b>Environment</b>	Reduce carbon emissions	1
	Improve air quality / reduce noise impact	1
<b>Health and Safety</b>	Improve safety and security	1
	Improve health / physical activity	1
<b>Equality</b>	Deliver wider social and economic benefits	1
<b>Quality of Life</b>	Conserving built environment and heritage	1
<b>Asset Management</b>	Enhance transport network and reduce maintenance	1
<b>LTP</b>	Provide value-for-money	3
<b>LTB</b>	Have local support	1
	Quality of supporting evidence	1

**Table 2 – Prioritisation Criteria and Weightings**

4.4.3 Each scheme has been assessed against the criteria using a neutral or adverse / slight beneficial / moderate beneficial / large beneficial scale, which score 0, 1, 2 or 3 respectively.

4.4.4 For the value for money criterion, the scale ranges from small (Benefit-to-Cost Ratio, BCR in the range 1-2), medium (BCR in the range 2-6) and large (BCR >6).

4.4.5 It is not the intention that such numerical scores are used directly to define a programme, but rather to indicate the relative strengths of candidate schemes for input into Stage 3 (blending).

4.4.6 In order to try and ensure consistent scoring across all schemes, a preliminary categorisation table has been produced to identify the criteria for achieving each score for each category. The table is included as Appendix 3.

#### **4.5 Stage 3 – Blending**

4.5.1 In addition to the relative strengths of individual schemes, there are other factors which must come into play when developing a programme. Some of these are practical, and others essentially political. It is suggested that these factors should include:

- Affordability of scheme bids for the LTB, against the overall programme budget;
- Delivery timetables for individual schemes;
- Distribution of benefits across the whole of the LTB area;
- Compatibility of one scheme with other schemes (for example on the same corridor).

4.5.2 These factors have been considered, alongside the outputs from the prioritisation stage (Stage 2), to produce the funding programme.

SECTION 5

**STAGE 1 – SCREENING**

**5 STAGE 1 – SCREENING**

**5.1 Introduction**

5.1.1 The screening process has been completed for each of the four candidate schemes.

**5.2 Outputs of Screening Process**

5.2.1 The outputs of the screening process are shown in the table below.

Screening Criteria		Pass Threshold	A4440 Southern Link Road	Worcestershire Parkway	Hoobrook Link Road	Pershore Northern Link
Strategic Case	Scale of Impact	Score of 3 or more	4	4	3	3
	Fit with Wider Transport / Government Objectives	Score of 3 or more	4	4	4	4
	Fit with Other Objectives	Score of 3 or more	5	5	4	4
	Consensus Over Scheme Outcomes	Score of 2 or more	3	4	4	3
Economic Case	Impact on Congestion / Delivering Growth	Score of 3 or more	4	4	4	4
	Socio-Distributional Impact	Initial SDI analysis present	Pass	Pass	Pass	Pass
	Environmental Impact	No unmitigated large adverse impact	Pass	Pass	Pass	Pass
	Well-Being	No unmitigated large adverse impact	Pass	Pass	Pass	Pass
	Value for Money	BCR > 1.0	Pass	Pass	Pass	Pass
Managerial Case	Public Acceptability	Score of 2 or more	2	3	3	2
	Practical Feasibility	Score of 3 or more	3	4	3	3
	Quality of Supporting Evidence	Score of 3 or more	4	5	4	3
	Options Tested	Score of 3 or more	4	3	4	3
	Risk Assessed	Absence of high risks*	Pass	Pass	Pass	Pass

Financial Case	Affordability	Score of 3 or more	4	4	4	4
	Overall Cost Risk	Confidence that cost risk can be covered by promoting authority	Pass	Pass	Pass	Pass
Overall Outcome			PASS	PASS	PASS	PASS

**Table 3 – Outputs from Screening Process**

### 5.3 Conclusion

5.3.1 The outputs from the process show that all 4 schemes pass the screening assessment and should be taken forward for fuller assessment in Stage 2.

SECTION 6

**STAGE 2 – PRIORITISATION**



**6 STAGE 2 – PRIORITISATION**

**6.1 Introduction**

6.1.1 The prioritisation process (Stage 2) has been completed for each of the four candidate schemes.

**6.2 Outputs of Prioritisation Process**

6.2.1 Summary score sheets for each scheme are included in Appendix 4. These sheets show the scores against each of the assessment criteria for each scheme, and includes an explanation as to why each score is considered appropriate.

6.2.2 The outputs of the prioritisation process are shown in the table below:

Criteria	Score	Funding Sought (£m)
A4440 Southern Link Road	33	7.00
Hoobrook Link Road	28	2.50
Worcestershire Parkway	28	2.10
Pershore Link Road	19	1.65
<b>Total Funding Sought</b>		<b>13.25</b>

**Table 4 – Outputs from Prioritisation Process**

**6.3 Prioritisation Review**

6.3.1 The prioritisation scores were published to scheme promoters on 24<sup>th</sup> June 2013. Scheme promoters were then given the opportunity to comment on scores awarded to their schemes.

6.3.2 Subsequently at a meeting on 26<sup>th</sup> June, the prioritisation assessments were discussed with scheme promoters, who were given the opportunity to comment and challenge / suggest amendments to scores. The responses received recognised the reasoning behind the assessed scores and no proposals were made for amending the assessments.

**6.4 Conclusion**

6.4.1 The prioritisation process (Stage 2) has been completed and provides a prioritised list of schemes to be taken forward to Stage 3.

SECTION 7

**STAGE 3 – BLENDING AND  
RECOMMENDATIONS**

**7 STAGE 3 – BLENDING AND RECOMMENDATIONS**

**7.1 Blending**

7.1.1 The scheme prioritisation stage provides an indication of the level of alignment schemes have against the specific objectives of the LTB. This stage has concluded that all of the schemes provide benefits that would align with the objectives of the LTB.

7.1.2 The blending stage of the process has considered other elements in relation to scheme delivery, including delivery timescales, current stage of scheme development, key deliverability risks and the level of confidence that the scheme will deliver the predicted benefits. This has concluded that, whilst all the schemes have some procedural issues and risks, it is not considered likely that these would prevent any of the schemes from being delivered within the 2015 to 2019 funding programme.

**7.2 Programme and Funding**

7.2.1 It is therefore recommended that the prioritised programme should include the A4440 Southern Link Road, the Hoobrook Link Road and Worcestershire Parkway schemes. These schemes would require £11.6m of LTB funding, in line with the initial allocation of £11.5m.

7.2.2 It is also recommended that work continue on the Pershore Northern Link scheme, in order to progress it to a stage where a Business Case could be submitted for funding. This scheme would require £1.65m, which would be within the additional 30% allocation if this was awarded.

7.2.3 The above information is summarised in the table below:

Criteria	Recommendation
A4440 Southern Link Road	<b>Recommended for funding</b>
Hoobrook Link Road	
Worcestershire Parkway	
Pershore Northern Link	<b>On reserve list should funding be increased</b>

**Table 5 – Recommended Funding Programme (2015 – 2019)**

**7.3            Prioritisation**

7.3.1            In terms of prioritisation of schemes, it is suggested that the highest priority should be placed with the Hoobrook Link Road scheme. This is primarily due to the timescales associated with the secured Pinchpoint funding, and hence it is important to move to submission of a Business Case as quickly as possible.

**7.4            Recommendations**

7.4.1            It is recommended that, for schemes to be progressed to the stage where a Business Case can be submitted for Programme Entry, work is progressed with urgency for all schemes; this is particularly relevant for the three schemes which will require the involvement of Network Rail.

**APPENDICES**

Appendix 1 – Draft Assurance Framework



Worcestershire  
Local Enterprise Partnership



worcestershire  
county council

# Worcestershire Local Transport Board Assurance Framework

## February 2013





# Worcestershire Local Transport Body Assurance Framework

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**Appendix A** - Articles of Constitution, Financial Regulations, Guide to Worcestershire County Council Constitution, Members' Code of Conduct, Procedural Standing Orders

**Appendix B** - LTP3 Policy List, The Worcestershire SAF Summary, Worcestershire County Council Scheme Appraisal Framework: User Guide



# **1. Introduction**

## **1.1 Background**

- 1.1.1 The Department for Transport has announced its intention to devolve funding for local major transport schemes to Local Transport Bodies (LTBs) from 2015. These Local Transport Bodies are to be voluntary partnerships between Local Transport Authorities (LTA), Local Enterprise Partnerships (LEP) and relevant organisations.
- 1.1.2 The primary role of the LTB is to decide which transport investments should be prioritised for development and delivery. This will involve the approval of business cases, and ensuring that effective delivery to programme is achieved.
- 1.1.3 The Department for Transport requires each LTB to develop an assurance framework, which sets out governance and working arrangements for LTBs. This document sets out the proposed assurance framework for such a body in Worcestershire.

## 2. Purpose, Structure and Operating Principles

### 2.1 Name

2.1.1 It is proposed that Worcestershire's Local Transport Body will be formally known as the **Worcestershire Local Transport Body (WLTB)**.

2.1.2 A Transport Advisory Group (TAG) will be established to act as a working group developing prioritisation advice to the WLTB.

### 2.2 Geography

2.2.1 The WLTB's influence will be confined to the administrative boundaries of the Worcestershire Local Enterprise Partnership and Worcestershire County Council (WCC).

### 2.3 Membership

2.3.1 The voting membership of the WLTB will be limited to 9 persons, with a quorum of 4 voting members required for any decision to be made. The Table 2.1 identifies the proposed composition of the WLTB. Voting will be on the basis of the majority of voting members present, with the Chairman of the WLTB having a second or casting vote should there be an equality of votes. The Chairman of the WLTB will be a representative of the County Council and nominated by the Leader of WCC. Substitute representatives are encouraged where necessary.

**Table 2.1 – Proposed Composition of the WLTB**

Representing Body	Number of Delegates	Voting Member or Observer
Worcestershire County Council Elected Members	4	Voting
Worcestershire Local Enterprise Partnership	2	Voting
Birmingham and Solihull Local Enterprise Partnership	1	Voting
Worcestershire District Councils elected Members – 1 Rep North 1 Rep South	2	Voting
National Transport Agency - Highways Agency / Network Rail	1	Observer
Worcestershire Transport Operators	1	Observer

2.3.2 The TAG will advise the WLTB on technical issues. It will act as a forum to discuss and bring together inputs from stakeholders in advice to the WLTB. The composition of the TAG will be determined by the WLTB, but will be chaired by a representative from Worcestershire County Council as the LTA and is expected to comprise representatives from the County Council, District and Borough Councils, transport operators, Network Rail, the Highways Agency and, as appropriate, Centro.

## **2.4 Status and Role of Accountable Body**

2.4.1 The WLTB will operate as a voluntary partnership. The Accountable Body for the WLTB will be Worcestershire County Council as the Local Transport and Highway Authority. The WLTB is not a committee of the Council nor a statutory decision-making body and so will not be able to take formal binding decisions. Ultimately decisions relating to the exercise of statutory discretion or statutory functions (e.g. implementation of schemes that require statutory orders, access to the highway etc.) reside with Worcestershire County Council. Those decisions may be taken at either member or officer level, depending on the nature of the decision and the delegation provisions in the Council's constitution. However, in fulfilling its statutory functions Worcestershire County Council will have regard to any recommendations of the WLTB.

2.4.2 The WLTB will utilise the existing robust democratic and administrative processes of the Accountable Body when fulfilling its obligations. This will include observing the relevant sections of Worcestershire County Council's Constitution as they relate to good governance.

2.4.3 Details of Worcestershire County Council's constitution can be found at: [www.worcestershire.gov.uk/cms/democratic-services/constitution.aspx](http://www.worcestershire.gov.uk/cms/democratic-services/constitution.aspx) Copies of the following documents are provided in Appendix A:

- *Guide to the Constitution*
- *Articles of the Constitution*
- *Procedural Standing Orders (including declaration of members' interests)*
- *Members' Code of Conduct*
- *Financial Regulations*

2.4.4 The Accountable Body will hold the devolved major scheme funding and make payments to delivery bodies such as Local Authorities. It will account separately for these funds, and provide financial statements to the LTB as required. The local agreements that underpin the LTB will ensure that the funds can be used only in accordance with an LTB decision.

2.4.5 The Accountable Body will in particular ensure;

- *That decisions and activities of the WLTB conform with legal requirements with regard to equalities, environmental, EU issues etc; required by the guidance*
- *Through the Section 151 Officer that funds are used appropriately*
- *That the WLTB framework as approved by DfT is adhered to*

- *That official records of WLTB proceedings are kept and all WLTB documents are stored;*
- *There is ongoing monitoring for compliance with the terms of this Assurance Framework and periodically reviewing the framework to ensure that it is kept up to date*
- *There is engagement with Government to ensure resource is maximised and funding streams co-ordinated*
- *There is full participation in the development of strategic cross-boundary transport schemes*
- *All WLTB decisions and actions are undertaken in accordance with the standards appropriate to public authorities.*

2.4.6 The operation of the LTB will be underpinned by funding agreements and associated performance measures with scheme promoters, and appropriate legal agreements where delivery is undertaken by third party delivery partners. The delivery partner will need to have their own assurance framework in place to be able to receive funds and deliver projects on behalf of the LTB.

## **2.5 Conflicts of Interest**

2.5.1 The WLTB will adopt the same approach as the Accountable Body (Worcestershire County Council) for dealing with conflicts of interest. This would require any voting members of the Committee to declare any conflicts of interest in advance of any decisions being made. All members would be required to abide by the Worcestershire County Council's Constitution and in particular that all members of the WLTB observe the Council's Members' Code of Conduct and Member/Officer relations protocol as if they were all members of the County Council.

2.5.2 It is absolutely essential that decisions on the prioritisation of investment for major scheme funding are made on an objective basis, using independently verified business cases to provide evidence on the proposed investment's Contribution to LTB member objectives.

2.5.3 There must be a clear distinction between the scheme promoter and the LTB. The scheme promoter can be any organisation which makes the case for major scheme investment through the agreed prioritisation process and associated business case. The LTB will be the decision making body to which the scheme promoter will apply for funding. The LTB will make decisions on which schemes to prioritise based on a proportionate assessment of their business case. The LTB will be assisted in its decision making process by independent experts in the "TAG"

## **2.6 Gifts and Hospitality**

2.6.1 The WLTB will observe the relevant sections of the Accountable Body's Constitution, particularly the Members Code of Conduct (see Appendix A).

## **2.7 Audit and Scrutiny**

2.7.1 The WLTB will be subject to an annual audit undertaken by an independent auditor. The results of this audit will be compiled in a report, and this will be submitted to Worcestershire County Council, the Worcestershire Local Enterprise Partnership, Birmingham and Solihull Local Enterprise Partnership, and the Department for Transport concurrently for consideration.

## **2.8 Strategic Objectives and Purpose**

2.8.1 The WLTB's purpose will be:

- *To guide devolved major transport scheme funding decisions in relation to strategic transport.*

2.8.2 The WLTB will have the following strategic objectives:

- *To develop a prioritised list of investments in Worcestershire's strategic transport infrastructure and services*
- *To monitor the progress of scheme delivery and adherence to programme*
- *Making decisions on individual scheme approval, investment decision making and release of funding, including scrutiny of individual scheme business cases*
- *To actively manage the devolved budget and respond to any changes to circumstances (including scheme slippage, scheme alternation, cost increases, Acts of God etc.)*
- *To ensure value for money is achieved for the residents and businesses of Worcestershire.*

2.8.3 The LTB will also have the ability to comment on wider consultations and funding investment decisions from national agencies, e.g. Network Rail where these have a strategic impact on the local transport network

## **2.9 Support and Administration Arrangements**

2.9.1 Administrative support for the WLTB will be provided by Worcestershire County Council. The WLTB will have at its disposal the technical expertise of Officers in the Business, Environment and Community Directorate of Worcestershire County Council as required and appropriate. The LTB will also receive advice from the TAG.

2.9.2 The TAG will support, inform and provide technical and policy advice to the WLTB. It will also co-ordinate: technical views, option and scheme appraisals and strategic information in relation to individual schemes or higher level transport interventions.

2.9.3 The staff positions will require a dedicated LTB budget which will be funded by WCC from within existing economic development and strategic planning resources. Discussions will be held with the Worcestershire LEP to consider whether revenue resources being made available to them by the Government can be used to support the work of the WLTB.

## **2.10 Working Arrangements and Meeting Frequency**

2.10.1 The WLTB will meet approximately every 2 months initially, until such a point that a prioritised list of investments has been achieved. The frequency of meetings will be reviewed at that point and annually thereafter. Public notice of all meetings will be provided via the Council's website for transparency and meetings will be open to the public. Publicly exempt items will be dealt with in accordance with the Accountable Body's current practice and constitution.

## **2.11 Transparency and Local Engagement**

2.11.1 The WLTB will publish all its business online via a dedicated page/suite of pages hosted on the Worcestershire County Council website with links to the relevant LEP websites. This will include: agendas, minutes, scheme business cases, evaluation reports and programme updates on delivery and spend.

2.11.2 There will be a demonstrable separation between the promoters of schemes and the appraisal thereof. Peer and external reviews of process and evaluations will be undertaken to ensure that advice is critically appraised and robust. Reports will be prepared independently.

2.11.3 Public notice of meetings and agendas for meetings will normally be published online at least 5 clear working days before any scheduled meeting is to take place. In the event that such notice is not published online within this timescale, then unless the Chairman of the WLTB agrees that the meeting is urgent and should proceed, the meeting of the WLTB will usually be postponed to ensure that attendees have sufficient time to enable robust evidence-based decision making.

2.11.4 Information requests under the Freedom of Information Act 2000 or the Environmental Impact Regulations 2004 will be managed by Worcestershire County Council as the Accountable Body.

2.11.5 The Terms of Reference (to be developed) for the WLTB will be published on its dedicated web page. This document will set out the WLTB's commitment to the Local Government Transparency Code, membership, and the approach that will be taken to making major investment decisions.

## **2.12 Complaints and Whistle Blowing**

2.12.1 The WLTB will comply with the complaints and whistle-blowing sections of the Accountable Body's Constitution (see [www.worcestershire.gov.uk/cms/democratic-services/constitution.aspx](http://www.worcestershire.gov.uk/cms/democratic-services/constitution.aspx)).



### **3. Prioritisation of Schemes**

#### **3.1 Introduction**

3.1.1 A central role of the WLTB will be to identify a prioritised list of strategic transport schemes for investment.

#### **3.2 Prioritisation Process**

3.2.1 The WLTB will make a formal request to Officers of the Business, Environment and Community Services Directorate of Worcestershire County Council to identify a long list of schemes for consideration, drawn from the Third Worcestershire Local Transport Plan (LTP3), LEP aspirations and other schemes that have emerged since the time of publication of the LTP3 in 2011. The schemes identified in the LTP3 were collected following significant local engagement with local residents, businesses and District Councils, and so represent an excellent starting point for this process. A copy of the LTP3 is provided at: [www.worcestershire.gov.uk/LTP3](http://www.worcestershire.gov.uk/LTP3).

3.2.2 The objectives and priorities of Worcestershire County Council and its partners, including the Worcestershire LEP, are set out in the authority's Corporate Plan and the Worcestershire LEP's Business Plan, with economic growth a key aim.

3.2.3 These priorities are closely aligned with those of the Worcestershire LEP as set out in its 2012 Business Plan (at: [www.wlep.co.uk/read-all-about-it](http://www.wlep.co.uk/read-all-about-it)).

3.2.4 The priorities are set out in a range of documents, including The Worcestershire Infrastructure Strategy (at: [www.worcestershire.gov.uk/cms/strategic-planning/infrastructure-planning.aspx](http://www.worcestershire.gov.uk/cms/strategic-planning/infrastructure-planning.aspx)).

3.2.5 The priorities are also consistent with the transport elements of the South Worcestershire Core Strategy policies and associated Infrastructure Delivery Plan (at: [www.swdevelopmentplan.org](http://www.swdevelopmentplan.org) and [www.swdevelopmentplan.org/?s=IDP](http://www.swdevelopmentplan.org/?s=IDP)). Similarly there is consistency with the emerging Local Plans and Core Strategies for Bromsgrove District, Redditch Borough and Wyre Forest District Councils.

3.2.6 Following the identification of the long list of schemes, an initial screening will be undertaken of schemes by the WLTB, including using the DfT's Early Assessment and Sifting Tool (EAST). Details of EAST are at [assets.dft.gov.uk/publications/transport-business-case/east-guidance.pdf](http://assets.dft.gov.uk/publications/transport-business-case/east-guidance.pdf)

3.2.7 This screening will be used to discount those schemes which are likely to have excessive risks linked to their delivery, are expected to never deliver a sufficient value for money to justify investment, or do not meet current economic priorities. The WLTB reserve the right to determine whether or not to include a scheme in the prioritisation process if the required level of detail does not meet the published guidelines standards.

- 3.2.8 Following screening, a long list of schemes will be put forward for prioritisation. This list will be evaluated using the Worcestershire Scheme Appraisal Framework (SAF). This spreadsheet-based appraisal and prioritisation tool is currently used by the Local Transport Authority, and has been specifically designed to balance local and national objectives against a range of Value for Money criteria.
- 3.2.9 The SAF is a light-touch version of WebTAG, developed during the LTP3 process and suited to prioritisation of schemes for which detailed business cases have not yet been developed. The appraisal tool takes specific account of risks and requires comprehensive data input to permit prioritisation.
- 3.2.10 At the scheme prioritisation stage, a statement of the level of local contribution toward a proposed scheme will be mandatory. This should be included as part of the supporting information. This will be reviewed again when a scheme is being considered for Full Approval.
- 3.2.11 Appendix B contains copies of:
- *Summary of the Worcestershire SAF*
  - *SAF User Guide*
  - *List of LTP3 policies referred to within the SAF*
- 3.2.12 A copy of the Worcestershire SAF's Scheme Appraisal Worksheet (SAW) is included within the electronic version of WLTB Assurance Framework.
- 3.2.13 The WLTB will review the current policy weightings and suggest amendments where appropriate. The WLTB will be required to set out its objectives (by priority) in advance of the prioritisation process, to ensure that schemes are fairly assessed against their ability to deliver against these objectives. These objectives, their prioritisation and the SAF and its use will be published on the WLTB web pages.
- 3.2.14 The Worcestershire SAW will help the WLTB to prioritise the schemes to be considered for major scheme funding. It will be used to prioritise the proposals against their ability to deliver against the agreed objectives.

### **3.3 Scheme Eligibility**

- 3.3.1 It is proposed that the WLTB will only consider individual schemes or integrated packages of schemes with a minimum total cost of £2,500,000. Any proposals which are valued below this threshold will not be eligible for major scheme funding.
- 3.3.2 The WLTB will only consider funding schemes up to a maximum of 75% of the total cost of the scheme. Therefore, there will be a mandatory minimum local contribution of 25% of scheme cost. Schemes which provide higher local contributions will be treated favourably within the prioritisation process.
- 3.3.3 The proposal for funding must be a transport scheme to be delivered on any local highway, railway or waterway and with specific outcomes (e.g. supporting economic growth) and user groups in mind (e.g. pedestrians, cyclists, motorists, public transport users etc.).

- 3.3.4 A scheme could include proposals for improvements to the highway network, public transport (rail and bus), walking and cycling networks or waterways. Integrated packages of schemes will be considered where it can be shown that there is a focused and well defined set of aims, clear linkage between individual measures and where it can be demonstrated that the "whole is greater than the sum of the parts" in terms of the benefits delivered and the fit with agreed objectives.
- 3.3.5 Scheme proposals must demonstrate how the investment will contribute to national and local policy objectives, in particular how they will help to deliver economic growth and support growth, including planned development.

## **4. Programme Management and Investment Decisions**

### **4.1 Scheme Assessment and Approval**

4.1.1 The prioritisation process to be adopted by the WLTB has been designed to ensure a fair, unbiased means of prioritising schemes for investment.

4.1.2 Once schemes have been prioritised, those which achieve the highest priority (potentially the top 5 to 10) will be required to develop detailed business cases. The WLTB will mirror the approach currently used by the Department for Transport, with Programme Entry, Conditional Approval and Full Approval stages being used to provide scheme promoters with the confidence to seek statutory powers to enable delivery.

4.1.3 The WLTB will utilise agreements currently used by the Department for Transport to provide the necessary conditions for funding allocation.

### **4.2 Programme Entry**

4.2.1 To achieve Programme Entry a scheme promoter must set out the strategic, economic, financial, commercial and management case for investment. This will include:

- *Making the case for change i.e. identifying the type scale and cause of existing and forecast future problems*
- *Setting out the options that have been considered and their relative value for money*
- *Showing how the options have been sifted and the preferred scheme identified*
- *Defining the scope of the preferred scheme, in terms of its outputs and value for money*
- *Confirming that the scheme has a clear outline programme and is deliverable*

### **4.3 Conditional Approval**

4.3.1 The DfT's WebTAG appraisal tools will be mandatory for Conditional Approval, although a proportionate approach will be adopted.

4.3.2 Conditional Approval will be awarded to a scheme following the satisfactory completion of a more detailed assessment of the preferred scheme. The scope of this business case will be identified following the award of Programme Entry.

4.3.3 A more detailed assessment of the economic impact of a scheme is undertaken at this stage. This will include (as required) transport modelling, economic and financial appraisals and further development of the commercial and management cases. Conditional Approval will only be awarded when there is a clear preferred scheme.

### **4.4 Full Approval**

4.4.1 Full Approval will be awarded when the promoter has confirmed in detail the scheme costs, that the necessary statutory permissions and approvals are in place, that the scheme costs and benefits still represent value for money.

4.4.2 The WLTB TAG and independent specialists will be able to provide advice and support to scheme promoters.

## **4.5 The Transport Business Case**

4.5.1 The development of a detailed business case will be a pre-requisite of securing funding through application to the WLTB. All Transport Business Cases will be required to comply with the Department for Transport's Transport Business Case Guidance. See: [www.dft.gov.uk/publications/transport-business-case](http://www.dft.gov.uk/publications/transport-business-case).

4.5.2 The basis of DfT guidance is that there are five cases which should form the business case for investment, namely:

- *Strategic Case: Why is a scheme needed?*
- *Economic Case: Is the scheme good value for money?*
- *Financial case: Is the scheme affordable and financially sustainable?*
- *Commercial case: Can the scheme be procured and constructed?*
- *Management case: is the scheme deliverable?*

## **4.6 Strategic Case**

4.6.1 The strategic case determines whether or not an investment is needed, either now or in the future. It must demonstrate the case for change with a clear rationale for investment and how this will address identified problems and further agreed aims and objectives. The strategic case provides the greatest emphasis for progressing a proposal at the early stage of its development.

## **4.7 Economic Case**

4.7.1 The economic case assesses scheme options and identifies the key impacts and the resulting value for money. This will include quantitative and qualitative assessments, and must incorporate an assessment of the monetary value of costs and benefits of a proposed scheme, where these can be calculated. The economic, environmental, social and distributional impacts of a proposal should be examined, using quantitative, qualitative and monetised information. In assessing value for money, all of the impacts are consolidated to determine the extent to which a proposal's benefits outweigh its costs.

## **4.8 Financial Case**

4.8.1 The financial case focuses on the affordability of the proposed scheme, its funding arrangements and technical accounting issues. It must include the financial profile of the different options and the impact of each on the accounts of the organisation which will become responsible for the future maintenance of the asset delivered by the scheme.

## **4.9 Commercial Case**

4.9.1 The commercial case provides evidence on the commercial viability of the proposed scheme. It will include details of the proposed procurement strategy along with its financial implications. It must also present evidence on scale of risk, risk allocation and transfer, contract timescales and implementation programme.

#### **4.10 Management Case**

- 4.10.1 The management case must show that the proposal is deliverable. It must set out the project plan, governance structure, communication and consultation management strategy, risk management, benefits realisation and assurance (this could include Gateway Reviews). There must be a clear and agreed understanding of what needs to be done, why, when and how, with measures in place to identify and manage risks. The plan must also set out how the performance of the scheme is to be monitored such that benefits realisation is understood.
- 4.10.2 This will ensure that schemes can be fairly considered against each other, and ensures that all schemes are appraised using a universal framework.

#### **4.11 Value for Money**

- 4.11.1 The Department for Transport's WebTAG is internationally recognised for its ability to assess the Value for Money of promoted Transport schemes. It is proposed that WLTB will require all Transport Business Cases to be modelled and appraised using WebTAG guidance.
- 4.11.2 The WLTB will make a formal agreement with scheme promoters over the extent to which WebTAG will be required to be applied to transport criteria. An early task for the WLTB will be to define and agree this and publish the preferred approach to the use of WebTAG on its dedicated web page.
- 4.11.3 The WLTB will be required to sign off Value for Money assessments as true and accurate. All schemes will be required to achieve a minimum rating of a 'High' against existing Department for Transport criteria. The WSTIC will not fund schemes which cannot achieve this status as a minimum.
- 4.11.4 Additionally, the WLTB will have specific responsibility for specifying monitoring requirements for specific schemes to ensure that Value for Money has been realised. The promoter will be required to work closely with the member with responsibility for assessing Value for Money assessments, and will be required to submit proposals to the full WLTB for consideration which are compliant with Department for Transport monitoring and evaluation guidance, before providing approved requirements to scheme promoters, and publishing these on the WLTB's dedicated web pages.

#### **4.12 External Views on Business Cases**

- 4.12.1 It is recognised that schemes which are subjected to external (public) consideration can achieve greater overall Value for Money, by enabling scheme promoters to focus on the achievement of benefits.
- 4.12.2 All the decisions, documentation and minutes of the WLTB will be published online for consideration. The WLTB's website will have a mechanism where members of the public can provide comment for consideration to the WLTB. The WLTB will then be required to respond to any comments provided through the minutes, including how this might have influenced the democratic decision making process.
- 4.12.3 The business cases will be subject to independent assessment by an officer or a consultant who does not have a direct interest as a promoter of a transport scheme. This process, undertaken in consultation with the Section 151 officer will be used to confirm the robustness of the case for investment under the WLTB's agreed headings, which will as a minimum include the strategic, economic, financial, commercial and management cases for funding of the scheme.

#### **4.13 Release of Funding, Cost Control and Approval Conditions**

- 4.13.1 It is proposed that once a scheme is identified as having achieved Full Approval, funding will be provided to the promoter, albeit with a number of standardised terms and conditions to be agreed by the WLTB. These conditions will include the identification of a capped contribution from WLTB for prioritised schemes, with any cost increases remaining the responsibility of the scheme promoter.
- 4.13.2 The WLTB will provide funding against an agreed profile, which must be included in the Transport Business Case submitted to the WLTB for Full Approval.
- 4.13.3 The WLTB will seek to be flexible in the provision of funding, and will consider any requests for changes to funding profiles from scheme promoters on a case-by-case basis.
- 4.13.4 In all cases, the Section 151 Officer (or similar) of the promoting agency will be required to sign-off funding acceptance, similar to the current system employed by the Department for Transport.
- 4.13.5 All scheme promoters will be required to submit their schemes to an independent audit, if requested by the WLTB. This requirement will be set out in the letter sent to scheme promoters upon achieving Full Approval.

# Appendix A

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# **PROCEDURAL STANDING ORDERS**



**PROCEDURAL STANDING ORDERS**

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## **PROCEDURAL STANDING ORDERS**

### **1. INTRODUCTION**

- 1.1 These Procedural Standing Orders (PSO) regulate the business and conduct of meetings of the Council, and (subject to 1.2) so far as is indicated expressly, implicitly or in accordance with PSO 30, its Committees or Panels and any other decision-making member body established as set out in the Scheme of Assignment of Responsibility for Functions (Appendix 1 to this Constitution).
- 1.2 These Procedural Standing Orders do not automatically apply to meetings of the Cabinet (see Cabinet Procedure Rules) nor to those joint committees or other member bodies regulated by separate constitutions.

### **2. ANNUAL MEETING OF THE COUNCIL**

#### **2.1 Timing**

- 2.1.1 The Council shall hold an „Annual Meeting“ once a year to which all elected members are summoned, and which takes place at County Hall, Worcester at 10:00 am or such other time or place as fixed by the Council, Chairman or the Director of Resources. The period within which the Annual Meeting takes place is governed by legal provision.
- 2.1.2 In a year of ordinary elections of Councillors, the Annual Meeting of the Council shall be held on the first Thursday after the day of retirement of Councillors or on such other day within 21 days immediately following that day of retirement as the Council, Chairman or the Director of Resources may fix.
- 2.1.3 In any other year, the Annual Meeting shall be held on the first Thursday in May or such other day in March, April or May (or such other period permitted by legal provision) as the Council, Chairman or the Director of Resources may fix.

#### **2.2 Business**

The Annual Meeting will:

- (a) choose a person to preside if the Chairman and Vice-Chairman are absent;
- (b) elect the Chairman of Council;
- (c) appoint the Vice-Chairman of Council; and
- (d) provide an opportunity for any Councillor present to disclose an interest in a matter on the agenda;

- (e) allow members of the public to participate in the proceedings of Council, or allow Councillors to present a petition, in accordance with PSO 15;
- (f) approve as a correct record and authorise the signing of the minutes of the Council which require signing at the meeting;
- (g) receive any announcements from the Chairman and/or Chief Executive;
- (h) in a year of ordinary elections of Councillors only, or where there is otherwise a vacancy, appoint the Leader of the Council;
- (i) consider any motion on notice to remove the Leader of the Council;
- (j) agree if necessary any changes to the Constitution which the Constitution determines it is for the Council to agree;
- (k) establish (in accordance with PSO 6) Committees, Panels or other Member bodies as the Council considers appropriate to deal with matters which are neither reserved to the Council nor are executive functions (as set out in this Constitution and legislation) and decide upon their composition;
- (l) appoint the Chairmen and Vice-Chairmen of Committees and any other Member bodies in accordance with PSO 7 and appoint other Scrutiny Lead Members on the Overview and Scrutiny Performance Board;
- (m) deal with any business expressly required by statute or the Constitution to be done;
- (n) dispose of any business remaining from the last meeting;
- (o) approve a programme of ordinary meetings of the Council;
- (p) receive any report from the Leader of the Council, Cabinet Members with Responsibility, Chairman of the Overview and Scrutiny Performance Board and Chief Executive and receive answers to any questions on that report;
- (q) receive answers to any questions asked in accordance with PSO 16.2 (which have not already been answered);
- (r) in accordance with PSO 5.2 receive and consider reports from the Cabinet, and those from other Committees which require a substantive (rather than merely procedural) decision of Council;
- (s) receive the report of the Director of Resources as to any Notices of Motion received in accordance with PSO 17

- (t) in accordance with PSO 5.2 receive and consider reports from the Committees not falling within (r) and at such time receive answers to any question asked in accordance with PSO 16.1;
- (u) consider and debate any major in-depth scrutiny report or other scrutiny issue referred to the Council;
- (v) debate any key issues in accordance with PSO 33;
- (w) Consider any reports submitted by the Police and Crime Panel.
- (x) consider any reports submitted by the Hereford and Worcester Fire and Rescue Authority and to receive answers to any questions about the discharge of that Authority's functions in accordance with PSO 16; and
- (y) other business specified in the summons.

### **2.3 Variation of Order of Business**

Business falling under items (a) to (d) (inclusive) of PSO 2.2 shall not be varied but all other items of business may be varied:

- (a) by the Chairman at his/her discretion; or
- (b) by a resolution passed on a motion (which need not be in writing) duly moved and seconded and put without discussion.

## **3. ORDINARY MEETINGS OF THE COUNCIL**

- 3.1 Ordinary Meetings of the Council will take place in accordance with a programme decided by Council as may be amended from time to time by the Council.
- 3.2 Ordinary meetings will carry out the business of the Council as set out in PSO 2.2(a), (d), (e), (f), (g), (h) – (l) as necessary, (m), (n), and (p) – (y).
- 3.3 The order of business of Ordinary Meetings of the Council may be varied in accordance with PSO 2.3.

## **4. EXTRAORDINARY MEETINGS OF THE COUNCIL**

### **4.1. Calling Extraordinary Meetings**

4.1.1 Those listed below may require the Director of Resources to call Council meetings in addition to Ordinary Meetings:

- (a) the Council by resolution;

- (b) the Chairman of the Council;
- (c) the Monitoring Officer;
- (d) any five members of the Council if:
  - (i) they have signed a requisition presented to the Chairman of the Council and
  - (ii) the Chairman has refused to require the Director of Resources to call a meeting or has failed to so require within 7 days of the presentation of the requisition referred to in (i) above.

4.1.2 The particular single item of business for an Extraordinary Meeting must be specified at the time of request or requisition.

#### **4.2 Order of Business**

4.2.1 An Extraordinary Meeting will carry out the business of the Council as set out in PSO 2.2 (a), (d), (e) (in so far as the Chairman has exercised his/her discretion under PSO 15 to allow this), (f) (subject to PSO 4.2.3), (g) and any other business specified in the summons which shall be limited to the business which has occasioned the meeting and any other business which in the opinion of the Director of Resources is relevant to it.

4.2.2 The order of business may be varied in accordance with PSO 2.3.

4.2.3 The Director of Resources may submit minutes of the last meeting of Council to a following meeting of the Council for approval and signing.

### **5. MINUTES, REPORTS AND CIRCULATED DOCUMENTS**

#### **5.1 Form of Agendas and Minutes**

The Director of Resources shall be responsible for compiling the agendas for, and the minutes of, meetings of the Council, Committees and Panels.

#### **5.2 Reports of the Cabinet and Committees**

5.2.1 Unless the Council directs or accepts otherwise (or different governing provisions are contained in the Cabinet Procedure Rules or the Overview and Scrutiny Procedure Rules) the Cabinet, Audit and Governance, Planning and Regulatory and Standards and Ethics Committees shall report their proceedings and recommendations, if any, to the next meeting of the Council, provided that if that body meets less than eight clear working days before the next meeting of the Council, the proceedings and recommendations of that body may instead be reported to the next but one meeting of the Council.



5.2.2 The Leader of the Council, Chairman of the Overview and Scrutiny Performance Board and the Chief Executive will submit a report annually to the Council. Cabinet Members with Responsibility will submit a report to Council once over a rolling 2 year-period.

### 5.3 **Minutes**

5.3.1 The Chairman will sign the minutes of the proceedings at the next suitable meeting after putting the question that the minutes of any previous meeting of the Council be approved and signed as a correct record.

5.3.2 No discussion shall take place upon the minutes, except upon their accuracy, and any question of their accuracy shall be raised by motion. If no such question is raised, or if it is raised, then as soon as it has been disposed of, the Chairman shall sign the minutes as approved.

### 5.4 **Circulated Documents**

Any document which has been circulated amongst Councillors before or during any meeting at which it is considered shall be taken as read unless the Council otherwise determines.

## 6. **APPOINTMENT OF COMMITTEES AND OTHER MEMBER BODIES**

### 6.1 **Appointment**

6.1.1 The Council shall, at the Annual Meeting in a year of ordinary elections of Councillors, (subject to any legal requirement) establish such Committees, Panels and other member bodies as is required or it has decided to appoint and determine the number of members (including any co-opted non-councillor members required or permitted by law) there shall be on such Committees, Panels and other member bodies.

6.1.2 The Council may subject to any statutory provisions at any time appoint such other Committees, Panels and other member bodies as are considered by the Council necessary to carry out the work of the Council and, may at any time dissolve a Committee, Panels or other member body or alter its membership.

6.1.3 The Council may (subject to any legal requirements) make such arrangements as it thinks fit to select Councillors and where appropriate other persons for service on any Committee, Panels or other member body of the Council or on any other body on which the Council is represented, and may authorise a Committee, Panels or other member body or officer to act on behalf of the Council. The Director of Resources is authorised to make such appointments, in consultation with the appropriate Group Leader(s) in respect of the appointment of Councillors.

### 6.2 **Substituted Membership of Committees and Other Member Bodies**

6.2.1 Except in relation to the Overview and Scrutiny Performance Board, Health Overview and Scrutiny Committee, Overview and Scrutiny Panels and such

other member bodies as the Council may from time to time determine or as provided for in any other rules forming part of the Council's Constitution, any member of a Committee, Panel or other member body may subject to any restrictions nominate a Councillor who is not a member of that Committee, Panels or other member body (as the case may be) to attend in his/her place any particular meeting of such Committee, Panels or other member body.

6.2.2. Any such nominated member shall thereupon become a member of such Committee, Panel or other member body in place of the nominating member for the duration of that meeting provided that:-

- (a) the name of the nominating member and the nominated member and
- (b) the meeting to which the nomination relates

are communicated in writing (which may be electronic) to the Director of Resources by either the nominating or nominated member before the commencement of the meeting in question.

### 6.3 **Vacancy in Committee or Other Member Body**

The Director of Resources shall report any vacancy occurring in any Committee or other member body to the appropriate political group and, in the event of that vacancy not then having been filled in pursuance of arrangements made by the Council under PSO 6.1.3, shall report the vacancy to the next meeting of the Council.

## 7. **CHAIRMAN AND VICE-CHAIRMAN OF COMMITTEES AND OTHER MEMBER BODIES**

7.1 The Council shall (subject to PSO 7.2) at the Annual Meeting of the Council or, in the event of a vacancy existing or occurring as soon as practicable after the vacancy arises appoint the Chairmen and Vice-Chairmen of Committees and of any other appropriate Member body from among the members of the Committee or other Member body (including, subject to and in pursuance of any legal requirement, any co-opted non-Councillor member), but nothing in the sub-paragraph shall require the appointment of a Vice-Chairman of any other member body.

7.2 PSO 7.1 shall not apply:

- (a) in any case where separate provision is made as part of any formal constitution regulating any other body governed by that constitution
- (b) to individual appellate case panels, Appointments etc Panels, or Standards and Ethics sub-committees in which case each Panel or sub-committee shall before proceeding to any other business, elect a Chairman and may appoint a Vice-Chairman.

7.3 A Chairman or Vice-Chairman of a Committee or other member body

elected or appointed in pursuance of this Standing Order may be removed by Council at any time and shall, unless he/she ceases for any reason to be a Councillor or he/she resigns or becomes disqualified or is removed by Council at any time, continue in office until his/her successor becomes entitled to act.

- 7.4 A Chairman or Vice-Chairman of a Committee or other member body who is a non-Councillor co-opted member shall cease to hold office as such if he/she at any time ceases for any reason to be a co-opted member.
- 7.5 If the Chairman is absent from a meeting of the Committee or other member body, the Vice-Chairman shall preside. If both are absent, the members of the Committee or other member body present shall choose one of their number to preside, and the choice shall be conducted by the Director of Resources or his/her representative at the meeting.

## **8. TIME AND PLACE OF MEETINGS**

- 8.1 Unless the Council, Chairman or Director of Resources otherwise determine in a particular case, every meeting of the Council shall be held at County Hall, Worcester.
- 8.2 All meetings of the Council shall commence at 10.00 am or at such other time as may be fixed by the Council, Chairman or Director of Resources.
- 8.3 The Chairman may, within any statutory limitations, vary the day, time or place fixed for any meeting of the Council.

## **9. TIME AND PLACE OF MEETINGS OF COMMITTEES AND OTHER MEMBER BODIES**

- 9.1 The day and time of meeting of each Committee, Panel or other member body shall be such as the Committee, Panel or other member body, its Chairman or Director of Resources may from time to time determine.
- 9.2 Such meetings will normally be held at County Hall, Worcester, but may be held at such other place as the Committee, Panel or other member body, its Chairman or Director of Resources may from time to time determine.
- 9.3 The Chairman of a Committee, Panel or other member body or Director of Resources may, for good reason, vary the day, time or place fixed for any meeting of the Committee, Panel and or other member body provided that any such variation in relation to the day or time may only be made at least fourteen days before the date originally fixed, unless the cause of the variation occurs within that period, in which case as much notice of the change as is practicable must be given.
- 9.4 **Special Meetings of Committees and Other Member Bodies**

- 9.4.1 The Chairman of the Council may at any time call a special meeting of any Committee or other member body.
- 9.4.2 The Chairman of a Committee or other member body may at any time call a

special meeting of the Committee or other member body of which he/she is Chairman.

- 9.4.3 A special meeting of a Committee or other member body shall also be called on the requisition of Councillors who are members of and comprise at least one quarter of the number of Councillors who are members of the Committee or other member body, provided the requisition is in writing, is signed by each of the Councillors concerned, identifies the business those Councillors wish to be considered, and is delivered to the Director of Resources but in no case shall less than three Councillors requisition such a special meeting.

## **10. ADJOURNED MEETINGS**

In the event of a meeting being for any reason adjourned any business not transacted shall be considered at:

- (a) a day, time and place fixed by the Council or Chairman at the time the meeting is adjourned or
- (b) at a day, time or place to be fixed by the Chairman or Director of Resources and notified to all Councillors by the Director of Resources at least three clear days in advance or
- (c) if the Chairman does not fix a day and time, at the next ordinary meeting of the Council.

## **11. NOTICE OF AND SUMMONS TO MEETINGS**

The Director of Resources will give notice to the public of the time and place of any meeting in accordance with the Access to Information Rules.

## **12. CHAIRMAN OF MEETING**

- 12.1 Any power or duty of the Chairman in relation to the conduct of a meeting may be exercised by the person presiding at the meeting.

### **12.2 Urgent Business**

The Chairman of a meeting of the Council, or of a Committee, Panel or other member body may bring before the meeting of that particular body and cause to be considered an item of business not specified in the summons or agenda where the Chairman is of the opinion, by reason of special circumstances (which shall be specified in the minutes) that the item should be considered at the meeting as a matter of urgency.

### **12.3 Rulings of the Chairman**

12.3.1 The Chairman shall decide any question as to the construction or application of any of these Procedural Standing Orders during any proceedings of the Council. His/her ruling shall be final and conclusive and acted on, and shall not be challenged at any meeting of the Council.

12.3.2 Without prejudice to the validity of any such decision or ruling of the Chairman, this PSO shall not be construed so as to prevent the Council reaching a decision, founded on a motion notice of which has been given in pursuance of these Procedural Standing Orders, which constitutes, or involves, the comment (whether critical or otherwise) on the merits of any decision of the Chairman.

### **13. QUORUM**

13.1 Subject to 13.2 and 13.3 and except where authorised by statute or ordered by the Council, business shall not be transacted at a meeting of the Council, any Committee, Panel or other member body unless at least one quarter of the members of the Committee or other member body are present provided that in no case shall the quorum be less than three members.

13.2 The expression 'members of the Committee or other member body' in 13.1 shall mean members of the Committee, Panel or other member body entitled to vote.

#### **13.3 Lack of Quorum**

If during any meeting of the Council the Chairman, after counting the number of Councillors present, declares that there is not a quorum present, no further business shall be considered at that point but the Chairman may at his or her discretion adjourn the meeting for a reasonable period to see if quorum can be regained. If there is no quorum present (or not present at the end of any such adjournment) then no further business shall be considered. Any business not so considered (including any business under consideration but not concluded at the time of the declaration by the Chairman) shall (without prejudice to PSO 4) be dealt with at the next meeting of the Council.

### **14. NO SMOKING**

There shall be no smoking at any time within Council buildings.

### **15. PUBLIC PARTICIPATION AT MEETINGS**

15.1 Provision shall be made on the agenda of each Annual and Ordinary Meeting of the Council and, at the Chairman's absolute discretion, Extraordinary Meeting of the Council, Cabinet, and subject to 15.5 below any Committee, for members of the public to participate at the meeting in the manner specified in 15.4 below.

15.2 The length of time normally to be made available for such participation shall be as determined from time to time by the Council, Cabinet, or Committee authorised by the Council and different times may be determined for different Committees. The actual period of time spent by the Council, Cabinet or Committee during which the public are participating may, in the light of the circumstances prevailing at a particular meeting, be made shorter or longer at the respective Chairman's absolute discretion.

15.3 A member of the public for the purposes of this standing order shall not include:

- any employee of the Council in relation to any matter connected with his/her employment;
- any representative of an employee of the Council or group of such employees;
- any person in a contractual relationship with the Council in relation to any matter connected with that contract;
- any elected member of any local authority on a matter concerning that local authority, or
- (unless the Chairman determines otherwise) any person:
  - (without prejudice to 15.5) who is an applicant for a consent, approval, permission, licence or similar decision given by the Council under statute or
  - (without prejudice to 15.5) who is an applicant for a consent, approval, permission, licence or similar decision given by the Council under statute or
- who is, referring, or is intending to refer, to any confidential or exempt matter on an agenda or
- who is appointed or engaged professionally to speak on behalf of another.

15.4 Unless the Council, Cabinet or a Committee (or in the circumstances of a particular case the Chairman of the Council, Cabinet or Committee, at his/her absolute discretion) determines otherwise and subject to the provisions of legislation or of any Public Participation Scheme as determined from time to time by the Director of Resources:

- (a) a member of the public, speaking for no more than three minutes may:
- (i) present a relevant petition to the Council, Cabinet or a Committee, and explain its contents or purpose;
  - (ii) ask a question at the Council, Cabinet or the Committee; or

- (iii) make a comment on any matter on the agenda of the Council, Cabinet or a Committee.
- (b) a Councillor may, on behalf of a member of the public or in his/her own right present a relevant petition to the Council and explain its contents or purpose.
- (c) any member of the public wishing to participate in pursuance of 15.4(a) or any Councillor in pursuance of 15.4(b) shall notify the Director of Resources in writing or by electronic mail no later than 9:00 am on the working day before the meeting at which he/she wishes to participate, of his/her wish to participate and his/her name and address and indicate the nature and content of his/her participation (including an outline of the main points to be made or asked). In exceptional circumstances, the Chairman may permit an oral question to be asked at the meeting without notice.
- (d) any petition shall be received by the Chairman generally without response on the day, but shall be responded to in writing subsequently as soon as practicable.
- (e) any question shall be directed at the Chairman who may reply orally at the meeting, or in writing following the meeting or who may decline to reply, or who may ask the Leader, Cabinet Member with Responsibility or another member of the Council or the Committee or an officer so to reply on his/her behalf as soon as practicable, or may refer the question to the Cabinet or another appropriate Committee or member body
- (f) no response shall generally be made to comments at the time but members of the Council, Cabinet or the Committee may allude to them in the course of the consideration of the relevant item, and
- (g) the Chairman of the meeting in question shall have the right to decide whether or not (because of the availability of time, or for any other reason) a member of the public is invited to participate in pursuance of PSO 15.4(a) above, notwithstanding that the member of the public in question has complied with the requirements of this Procedural Standing Order.

15.5 This PSO 15 shall not apply where there is any other procedure devised by or on behalf of the Council to allow persons who are not county councillors to participate in any specific matter coming before a Committee of the Council (including e.g. any matter involving a consent, approval, permission, licence, or similar decision), nor to a meeting of a sub-committee.

#### 15.6 **Scope of Public Participation**

The Director of Resources may reject a request for public participation if it:

- (a) is not about a matter for which the Council has responsibility or which affects the County;

- (b) is defamatory, frivolous or offensive;
- (c) is substantially the same as a question which has been put to a meeting of the Council, Cabinet or a Committee in the past six months;
- (d) requires or involves the disclosure of confidential or exempt information; or
- (e) is better directed to Council, Cabinet or another Committee in which case the request shall be deemed to be to participate in the next meeting of that body.

## 16 QUESTIONS BY MEMBERS

### 16.1 Questions Upon Reports

A Councillor may ask the Leader, a Cabinet Member with Responsibility, the Chairman of a Committee or spokesmen in their absence or appropriate spokesperson for the Police and Crime Panel or the Hereford and Worcester Fire and Rescue Authority a question when any report of the relevant body is under consideration by the Council; and a Councillor may ask the Leader, a Cabinet Member with Responsibility, the Chairman of the Overview and Scrutiny Performance Board or the Chief Executive a question when his/her report is under consideration by Council.

### 16.2 Question Time

16.2.1 At each meeting of the Council (excluding any Extraordinary meetings and the first annual meeting of the Council after ordinary elections) there shall be 30 minutes set aside for formal questions from Councillors.

16.2.2 Subject to 16.2.3 and 16.2.4 below, a Councillor may ask:

- the Leader of the Council; or
- a Cabinet Member with Responsibility

a question on any matter in connection with the discharge of the Council's functions or which affects the County; and any such question may relate to any issue such as emanating from scrutiny exercises, local concerns or advocate/watchdog roles (if established).

A Councillor may also ask a question of the Chairman of the Council, of a Chairman of a Committee and of the member nominated in respect of the Police and Crime Panel and Hereford and Worcester Fire and Rescue Authority in relation to the responsibilities of those bodies.

16.2.3 A Councillor may only ask a question if either:



- (a) he/she has delivered (by hand, post or email) to the Director of Resources or his nominees a written question by noon on the third calendar day before the date fixed for the meeting; or
- (b) the question relates to urgent business, and written notification of the question is given to Director of Resources at least half an hour before the scheduled start of the meeting, and the Chairman agrees the matter is urgent.

16.2.4 The Chairman has the discretion to decide which questions submitted in pursuance of 16.2.3 may be answered in the time available, but shall ensure that each Group Leader may ask at least one question at each question time. No Councillor shall normally be entitled to ask more than two questions at any question time.

### 16.3 **Answers**

16.3.1 Every question shall be put and answered without discussion, but the person to whom a question has been put may decline to answer.

16.3.2 Subject to paragraph 16.3.1, a question to a Cabinet Member with Responsibility shall normally be answered by that Member although he/she may call upon another Member of the Cabinet to answer it or give any supplementary information.

16.3.3 A written answer will normally be provided after the Council meeting but an answer at the meeting may take the form of:

- (a) a direct oral answer; or
- (b) where the desired information is contained in a publication of the Council or other published document, a reference to that publication.

Any written question will normally be taken as read and not read out at the meeting.

16.3.4 Written answers to original questions shall be appended to the signed minutes of the relevant meeting of the Council and, subject to the provisions of Access to Information Rules and Part VA of the Local Government Act 1972, be open to public inspection. They need not, however, be reproduced as part of any copy of such minutes.

### 16.4 **Supplementary Question**

A member may with the consent of the Chairman follow up the original question with a supplementary question to the same person. No notice needs to be given but the supplementary must arise directly out of the original question or reply to it.

## 17 **NOTICES OF MOTION**

17.1 Notice of every motion, (other than a motion which under PSO 18 may be moved without notice), must:

- (a) relate to the statutory functions of the County Council or affect the County;
- (b) be given in writing (which includes electronic mail), signed by at least three Councillors (except as provided in PSO 20) giving the notice; and
- (c) delivered, at the latest, by noon on the seventh calendar day before the date fixed for the next meeting of the Council, to the Director of Resources or his nominee.

17.2 The Director of Resources will place on the agenda of the next meeting of the Council a report of Motions for which proper notice has been given in the order in which they were received.

17.3 If a motion is in relation to the exercise of an executive function, and it has been moved and seconded, it may be discussed by the Council if Council so wishes but ordinarily only the mover, seconder, and Group Leaders or their nominees will speak to it, and the motion will in any event stand referred to the Cabinet for consideration and decision. The Cabinet will consider the motion in the light of the Council's views (if any) and advise the Council of its decision in a subsequent report.

17.4 If a motion is in relation to the exercise of a function which the Council has reserved to itself for decision or is a non-executive function and it has been moved and seconded, the Council may decide that the motion be considered at that meeting, debated and voted upon. Otherwise, the motion will stand referred to the Cabinet or other appropriate Committee which after consideration of it will report to the next available meeting of Council incorporating any advice as to how the Council should determine the motion.

17.5 In the event of any Notice of Motion being delivered later than required in paragraph 17.1, then the procedure in paragraph 17.2 shall be followed as if references to the next meeting of the Council were references to the next but one meeting of the Council.

17.6 If a motion submitted in pursuance of this PSO is not moved and seconded at the meeting of the Council, it shall, unless postponed with the consent of the Council, be treated as withdrawn and shall not be moved without further notice.

**17.7 Mover of motion may attend Cabinet or Committee**

Any Councillor who has moved or seconded a motion which has been referred to the Cabinet or any Committee or whose name appears as one of the first three (or in accordance with PSO 20 five) signatories to a Notice of Motion shall have notice of any meeting of the Cabinet or any Committee at which it is proposed to consider the motion. If such Councillor is not a member of the Cabinet or any such Committee, he/she shall have the right to attend the meeting and, if he/she attends, shall have an opportunity of explaining the motion and speaking on it, but shall not be entitled to vote on it.

## 17.8 **Withdrawal of Motion**

A Motion under this PSO may be withdrawn at any time, provided such withdrawal either:

- (a) is in writing, is signed by all the Councillors who signed the Notice of Motion and is delivered to the Director of Resources, or
- (b) is made at any meeting at which the Motion is being considered by all the Councillors who signed the Notice of Motion who are present at that meeting.

## 17.9 **Alteration of Motion**

A Motion notice of which is given in pursuance of this PSO may be altered, provided any such alteration either:

- (a) is in writing, signed by all the Councillors who signed the Notice of Motion and is delivered to the Director of Resources by noon on the third working day before the date fixed for the meeting of the Council to which the Director of Resources has reported it in pursuance of the provisions of this PSO; or
- (b) is made at the meeting where the Motion is being considered by all the Councillors who signed the Notice of Motion who are present at that meeting.

## 18. **MOTIONS WITHOUT NOTICE**

### **Motions and Amendments which may be moved without Notice**

The following motions and amendments may be moved without notice:

- (a) election of a Chairman of the meeting at which the motion is made;
- (b) appointment of a Vice-Chairman at the meeting at which the motion is made;
- (c) to choose a person to preside if the Chairman and Vice-Chairman are absent;
- (d) appointment (but not removal) of the Leader of the Council in pursuance of PSO 2.2;
- (e) motions relating to the accuracy and signing of the Minutes;
- (f) that the order of business specified in the summons be varied;
- (g) reference or reference back to the Cabinet or a Committee or any other member body as set out in the scheme of delegation and assignment of functions;

- (h) appointment of a Committee or any other member body as set out in the scheme of delegation and assignment of functions or members thereof, occasioned by an item mentioned in the summons to that meeting or a report annexed thereto;
- (i) appointment of the Chairman and Vice-Chairman of a Committee or any other member body as set out in the scheme of delegation and assignment of functions, or any Scrutiny lead member on the Overview and Scrutiny Performance Board;
- (j) adoption of reports and recommendations of Committees or officers and any consequent resolutions;
- (k) that a notice of motion be debated at Council in pursuance of PSO 17 (Notices of Motion);
- (l) altering the time limit for speeches;
- (m) amendments or alterations to motions;
- (n) that the Council proceed to the next business;
- (o) that the question be now put;
- (p) that the debate be now adjourned;
- (q) that the Council do now adjourn;
- (r) suspending Standing Orders, in accordance with PSO 29;
- (s) to exclude the public under Section 100A of the Local Government Act 1972, or the Access to Information Rules;
- (t) that a Councillor named under PSO 21 (Disorderly Conduct) be not further heard or do leave the meeting;
- (u) giving consent of the Council where the consent of the Council is required by these Standing Orders;
- (v) application of procedure in PSO 24 (voting to fill vacancies etc);

## **19 RULES OF DEBATE**

### **19.1 Motions and Amendments**

19.1.1 A motion or amendment shall not be discussed unless it has been proposed and seconded and it shall, if required by the Chairman, be put into writing and handed to the Chairman before it is further discussed or put to the meeting.

19.1.2 However, a motion that:

- (a) recommendations of the Cabinet or a Committee be adopted;

- (b) a report of the Cabinet or a Committee be received;

shall not be required to be seconded.

## 19.2 **Secunder's Speech**

A Councillor, when seconding a motion or amendment, may, if he/she then declares his/her intention to do so, reserve his/her speech until a later period of the debate.

## 19.3 **Only one member to speak at a time**

A Councillor, when speaking, shall (unless the Chairman determines otherwise) stand and address the Chairman. If two or more Councillors rise, the Chairman shall call on one to speak; and the other or others shall then sit. While a Councillor is speaking, the other Councillors shall remain seated, unless rising to a point of order or in personal explanation in pursuance of PSO 19.13 or 19.14.

## 19.4 **Content and length of speeches**

A Councillor shall direct his/her speech to the question under discussion or to a personal explanation or to a point of order. Unless the Chairman decides otherwise, each speech shall be limited to five minutes for the Mover and Secunder and Group Leaders (or their nominees) and two minutes for all other Councillors. A person exercising a right of reply shall be similarly limited in his/her reply.

## 19.5 **When a member may speak again**

Councillors who have spoken on any matter shall not speak again without the leave of the Chairman whilst that matter is the subject of debate **EXCEPT**:

- (a) to move a further amendment if the motion has been amended since they last spoke;
- (b) if their first speech was on an amendment moved by another Councillor, to speak on the main issue, whether or not the amendment on which they spoke was carried;
- (c) in exercise of a right of reply given by PSO 19.10 or 19.12;
- (d) on a point of order;
- (e) by leave of the Chairman, by way of personal explanation;
- (f) to speak once on an amendment moved by another Councillor.

## 19.6 **Amendments to motions**

An amendment shall be relevant to the motion and shall be either:

- (a) to refer a matter to the Cabinet or a Committee or other member body for consideration or re-consideration;
- (b) to leave out words;
- (c) to leave out words and insert or add others;
- (d) to insert or add words;

but no amendment shall be allowed which has the effect of negating the motion before Council.

19.7 Only one amendment may be moved and discussed at any time and no further amendment shall be moved until the amendment under discussion has been disposed of, but notice of any number of amendments may be given. However, the Chairman may permit two or more amendments to be discussed (but not voted on) together, if circumstances suggest to him/her that this course would facilitate the proper conduct of the Council's business.

19.8 If an amendment be lost, other amendments to the original motion may be moved. If an amendment be carried, the motion as amended shall take the place of the original motion and shall (without any formal vote to this effect) become the substantive motion upon which any further amendment may be moved. If no further amendment is moved, the substantive motion shall be put at the end of the debate.

## 19.9 **Withdrawal or Alteration of Motion**

Without prejudice to PSO 17.8 a motion or amendment may, with the consent of the Secunder, be

- (a) withdrawn by the Mover and no person may thereafter speak upon it, or
- (b) altered by the Mover provided the alteration is one which could have been made by way of amendment.

## 19.10 **Rights of Reply**

19.10.1 The Mover of a motion has a right to reply at the close of the debate on the motion, immediately before it is put to the vote.

19.10.2 If an amendment is moved, the Mover of the original motion shall also have a right of reply at the close of the debate on the amendment, and shall not otherwise speak on the amendment. The mover of the amendment shall have a right of reply to the debate on his/her amendment, immediately before the final right of reply of the Mover of the original motion.

19.10.3 A reply shall be strictly confined to answering previous speakers and shall not introduce new matters.

#### 19.11 **Motions which may be moved during debate**

When a motion is under debate no other motion shall be moved except the following:

- (a) to amend or alter the motion;
- (b) to adjourn the meeting;
- (c) to adjourn the debate;
- (d) to defer consideration of the motion to a later date (which may, but need not, be specified);
- (e) to proceed to the next business;
- (f) that the question be now put;
- (g) that a Councillor be not further heard;
- (h) by the Chairman under PSO 21 that a Councillor do leave the meeting;
- (i) that the motion under debate be referred to Cabinet, a committee or other member body for consideration or reconsideration and report to the next meeting of the Council; or
- (j) to exclude the public under Section 100A of the Local Government Act 1972 or the Access to Information Rules.

#### 19.12 **Closure Motions**

19.12.1 A Councillor may move without comment at the conclusion of a speech of another Councillor:

- i. 'That the Council proceed to the next business';
- ii. 'That the question be now put';
- iii. 'That the debate be now adjourned'; or
- iv. 'That the Council do now adjourn',

on the seconding of which the Chairman shall proceed as follows:

- (a) if a motion to proceed to next business is seconded and the Chairman thinks that the matter has been sufficiently discussed, he/she shall first give the Mover of the original motion under discussion (but not the mover of any amendment under discussion) a right of reply and then put to the vote the motion to proceed to next business. If that motion is carried the Council shall thereupon cease to discuss any motion or amendment under discussion and shall not

discuss any original motion or any amendments of which notice had been given;

- (b) if a motion that the question be now put is seconded and the Chairman thinks that the matter has been sufficiently discussed, he/she shall first put to the vote the motion that the question be now put, and if it is carried, then give the Mover of the original motion his/her right of reply under PSO 19.10 of this Standing Order (or, if an amendment is being discussed, the mover of the amendment his/her same right) before putting the motion or amendment (as the case may be) to the vote;
- (c) if a motion to adjourn the debate or the meeting is seconded and the Chairman thinks that the matter before the meeting has not been sufficiently discussed and cannot reasonably be sufficiently discussed on that occasion, he/she shall put the adjournment motion to the vote without giving the Mover of the original motion (or the mover of any amendment) his/her right of reply on that occasion.

19.12.2 Provided that if any of the closure motions contained in this paragraph be put and lost, the same motion shall not be moved in respect of the same business, question, debate or meeting (as the case may be) within a period of thirty minutes without leave of the Chairman.

#### **19.13 Points of Order**

19.13.1 A Councillor may rise on a point of order and shall be entitled to be heard forthwith.

19.13.2 A point of order shall relate only to an alleged breach of a Procedural Standing Order or statutory provision which the Councillor shall specify (including by number if so required by the Chairman) including the way in which he or she considers it has been broken.

#### **19.14 Personal Explanations**

19.14.1 A Councillor may rise in personal explanation and, with the approval of the Chairman, shall be entitled to be heard forthwith.

19.14.2 A personal explanation shall be confined to some material part of a former speech by him/her which may appear to have been misunderstood in the present debate or relates to a statement made in the present debate which he/she considers reflects adversely on his/her reputation or integrity.

### **20. PREVIOUS DECISIONS AND MOTIONS**

20.1 No motion to rescind any resolution passed by the Council within the preceding six months, and no motion or amendment to the same effect as one which has been rejected within the preceding six months, shall be proposed, unless the notice thereof given in pursuance of PSO 17 bears the signature of at least five Councillors. Once any such motion or amendment has been disposed of by the Council, it shall not be open to any Councillor to propose a



similar motion within a further period of six months whether or not signed by five members.

- 20.2 This Procedural Standing Order shall not apply to motions moved in pursuance of a recommendation in the report of the Cabinet or a Committee or other member body.

## **21. COUNCILLORS' CONDUCT**

### **21.1 Councillors Speaking**

- 21.1.1 When a Councillor wishes to speak, he/she will indicate to the Chairman (either electronically or by show of hands as directed by the Chairman) but no Councillor shall speak unless called to do so by the Chairman.
- 21.1.2 When called to speak a Councillor must stand and address the meeting through the Chairman. If more than one member stands, the Chairman will ask one to speak and the others must sit.
- 21.1.3 Other Councillors must remain seated whilst a Councillor is speaking unless they wish to rise to make a point of order or a point of personal explanation.

### **21.2 Respect for the Chair**

Whenever the Chairman rises during a debate any Councillor then standing shall resume his/her seat and the Council shall be silent.

### **21.3 Disorderly Conduct**

If at a meeting any Councillor, in the opinion of the Chairman, misconducts himself by persistently disregarding the ruling of the Chairman, or by behaving irregularly, improperly, or offensively, or by wilfully obstructing the business of the Council, the Chairman or any other Councillor may move 'That the Councillor named be not further heard', and the motion if seconded shall be put and determined without discussion.

### **21.4 Continuing misconduct by a named Councillor**

If the Councillor named continues his/her misconduct after a motion under the foregoing paragraph has been carried, the Chairman shall:

**EITHER** move 'That the Councillor named do leave the meeting' (in which case the motion shall be put and determined without seconding or discussion);

**OR** adjourn the meeting of the Council for such period as he/she in his/her discretion shall consider expedient.

### **21.5 General disturbance**

In the event of general disturbance which, in the opinion of the Chairman,

renders the due and orderly despatch of business impossible, the Chairman, in addition to any other power vested in him/her may adjourn the meeting of the Council for such period as he/she in his/her discretion shall consider expedient.

## **22. MEMBERS' INTERESTS**

- 22.1 If any Councillor has a disclosable interest, ( as defined in the Members" Code of Conduct or legislation) in any matter under consideration, the Councillor shall as required by the Code or legislation disclose to the meeting the existence and nature of that interest at the commencement of the meeting or failing that at the commencement of the consideration of the matter or when the interest becomes apparent to the member.
- 22.2 If that interest requires the Councillor to leave the meeting in accordance with the Members" Code of Conduct or legislation, the Councillor shall withdraw in accordance with that Code from the room or Chamber (including the public gallery or seating) where the meeting is taking place whenever it becomes apparent that the matter is being considered at that meeting and for the duration of that consideration, unless:
- (a) the Councillor has obtained a dispensation from the Standards and Ethics Committee; or
  - (b) attendance and participation is otherwise permitted in accordance with the Members" Code of Conduct.
- 22.3 Any disclosure, withdrawal or dispensation under this rule shall be recorded in the minutes of the meeting concerned and noted by the Director of Resources.

## **23. DISTURBANCE BY THE PUBLIC**

### **23.1 Removal of a Member of the Public**

If a member of the public interrupts or disturbs the proceedings at any meeting, the Chairman shall warn him/her. If he/she continues the interruption, the Chairman shall order his/her removal from the meeting room or Council premises where the meeting is being held.

### **23.2 General Disturbance**

In case of general disturbance in any part of the room open to the public, the Chairman shall order that part to be cleared.

## **24. VOTING**

### **24.1 Majority Voting**

Unless this Constitution provides otherwise, any matter will be decided by a

simple majority of those members voting and present in the room at the time the question is put. If there is an equality of votes, the Chairman may use a second or casting vote.

## **24.2 Mode of Voting**

Unless a recorded vote is demanded under 24.3 the mode of voting at meetings of the Council shall be by general assent (which may be directed by the Chairman whether or not general assent has already been signified), by show of hands or by electronic voting, (at the discretion of the Chairman or person presiding at the meeting).

## **24.3 Named and Recorded Votes**

24.3.1 On the requisition of not less than five Councillors made by rising in their places prior to the vote being taken, the voting on any question shall be recorded so as to show how each Councillor present and voting gave his/her vote or who abstained from voting. This recording of votes may be manual or electronic, at the discretion of the Chairman or person presiding at the meeting.

24.3.2 Where immediately after a vote is taken at a meeting of the Council, a Committee, Panel or other member body and a voting member so requires, there shall be recorded in the minutes of that meeting whether that person cast his/her vote for or against the question or whether he/she or she abstained.

## **24.4 Voting on Appointments or Vacancies**

24.4.1 Where there are more than two persons nominated for any single position to be filled, and of the votes given there is not an overall majority in favour of one person, the name of the person having the least number of votes shall be struck off the list and a fresh vote shall be taken, and so on until a majority of votes is given in favour of one person.

24.4.2 The procedure in the preceding paragraph shall also apply in any case where the Council, Committee, Panel or other member body wish to select one person from three or more persons to be appointed to any paid office or employment under the Council.

24.4.3 The procedure in 24.2.1 may, by majority vote, be applied in any other case where the Council, Committee, Panel or other member body wish for whatever purpose to select one name from three or more names before them.

## **24.5 Multiple Appointments**

24.5.1 If the Council has to fill two or more positions on any internal or external organisation, the names of persons to be appointed must be moved and seconded.

24.5.2 If there are more nominations than positions, each member will be entitled to one vote for each nominee up to the same number as there are positions. The nominees that have the highest number of votes shall be appointed. If an equality of votes prevents a decision being made, the Chairman may use his/her casting vote to decide which of the nominees, who have the same number of votes, shall be appointed.

## **25. RECORD OF ATTENDANCE**

Every Councillor attending a meeting of the Council shall sign his/her name in the attendance book or sheet which shall be provided for that purpose, unless the Chairman directs otherwise.

## **26. PHOTOGRAPHY AND AUDIO RECORDING OF MEETINGS**

The filming, videoing, photographing or audio recording of a meeting (other than by the Council's own electronic systems) shall not be permitted without the agreement of the Chairman of the meeting concerned. The Chairman's agreement must have been obtained and the Director of Resources notified by no later than one hour before the meeting.

Unless the Chairman directs otherwise, a public meeting of the Council will normally be filmed for the purpose of an officially recordable webcast.

## **27. ELECTRONIC COMMUNICATION**

If these Procedural Standing Orders require that written notice is given to the Director of Resources, such notice will be accepted if received by the Director of Resources or his nominee by email or fax within the specified deadline.

## **28. EXCLUSION OF THE PRESS AND PUBLIC**

Members of the press and public may only be excluded from meetings of a member body in accordance with the law, the Access to Information Rules or PSO 23 (Disturbance by the Public)

## **29. THE SUSPENSION AND AMENDMENT OF PROCEDURAL STANDING ORDERS**

### **29.1 Suspension**

All of these Procedural Standing Orders except as set out in 29.2 may be suspended by motion with or without notice if at least one half of the whole number of the members of the Council, Committee, Panel or other member body are present. Suspension can only be so far as regards any business at the meeting where the suspension is agreed.

29.2 The following Procedural Standing Orders or parts of them may not be suspended:

- (i) PSO 2.1, 2.2, 3.1, 4.1, and 4.2 - Meetings and Business of the Council
- (ii) PSO 2.3, 3.3, 4.3 - Variation of order of business
- (iii) PSO 5.3 - Minutes

- (iv) PSO 10 - Adjourned meetings
- (v) PSO 12 - Chairman of meeting
- (vi) PSO 13 - Quorum of Committees and other member bodies
- (vii) PSO19.10 - Right of reply  
PSO19.12 - Closure motions
- (viii) PSO 21.2 - Respect for Chair
- (ix) PSO 21.3 - Disorderly Conduct by Councillors  
PSO 21.4 - Continuing Misconduct by a named Councillor  
PSO 21.5 - General Disturbance
- (x) PSO 22 - Members' Interests
- (xi) PSO 23 - Disturbance by members of the public
- (xii) PSO 24 - Voting

### 29.3 Amendment

Any motion to alter or amend these Procedural Standing Orders other than on the recommendation in a report of the Monitoring Officer will, when proposed and seconded, stand adjourned without discussion to the next meeting of the Council which will receive a report from the Monitoring Officer.

## 30. APPLICATION TO COMMITTEES AND OTHER MEMBER BODIES

The following Procedural Standing Orders shall, with any necessary modifications, apply to Committee and Panel meetings and meetings of the Cabinet unless the Leader or Cabinet determines otherwise:

- PSO 5.1 - Minutes, Reports and Circulated Documents  
PSO 5.3  
PSO 5.4
- PSO 6.2 - Substituted Membership of Committees and Other Member Bodies (not applicable to Scrutiny bodies for Cabinet)
- PSO 7.3 - Chairman and Vice-Chairman of Committees  
PSO 7.4 and other Member Bodies  
PSO 7.5
- PSO 9 - Time and Place of Meetings of Committees and other Member Bodies
- PSO 10 - Adjourned Meetings
- PSO 11 - Notice and Summons to Meetings

- PSO 12 - Chairman of Meeting
- PSO 13 - Quorum
- PSO 14 - No Smoking
- PSO 15 - Public Participation at Meetings (not to Panels nor Standards and Ethics sub-committees)
- PSO 17.7 - Notices of Motion
- PSO 17.8
- PSO 18 a-c - Motions without Notice
- e,f,j, l-v
- PSO 19 - Rules of Debate
- (except 19.3 and 19.5)
- PSO 21 - Councillors' Conduct
- (except 21.1)
- PSO 22 - Members' Interests
- PSO 23 - Disturbance by the Public
- PSO24 - Voting
- PSO 25 - Record of Attendance
- PSO 26 - Photography and Audio Recording of Meetings
- PSO 27 - Electronic Communication
- PSO 28 - Exclusion of the Press and Public
- PSO 29 - Suspension and Amendment of Procedural Standing Orders

### **31. DISCRETION OF THE DIRECTOR OF RESOURCES**

Where the Director of Resources is required, whether by Statute, Standing Order or otherwise, to issue any document (including any agenda), to give notice of any thing, or reproduce, or otherwise communicate the contents of any notice or document (including a Notice of Motion or questions asked in pursuance of PSO 16), delivered to the Director, the Director shall exclude any matter which, in the Director's opinion, on the grounds of confidentiality, liability for defamation or otherwise, ought not to be published.

### **32. GUIDANCE**

The Monitoring Officer or Director of Resources may approve or produce guidance from time to time which will explain in more detail as to the way in which the Council's procedural business is to be conducted.

### **33. STATE OF THE COUNTY GREEN PAPER / KEY ISSUES DEBATES**

- 33.1 The Leader will enable a State of the County Debate annually on a date (and in a form) to be agreed with the Chairman of Council. This is usually in the form of a report from the Leader on the position of the Council.
- 33.2 The Council may hold other debates based on a „green paper“ from the Cabinet or Cabinet Member with Responsibility setting out a preliminary broad direction of policy.
- 33.3 At least 10 Councillors may propose in writing to the Director of Resources a specific key issue for debate by the Council. The Chairman will decide whether or not the issue is suitable for such debate. Any such issue must relate to the statutory functions of the Council or affect the area of the County and will not normally relate to local issues. The Chairman may also decide on a key issue for debate, whether or not proposed as above.
- 33.4 The Chairman will decide on the date and form of such debates and may call such debates, normally to take place at the conclusion of the business of any meeting of the Council or such other place on the agenda as the Chairman considers appropriate.
- 33.5 The Chairman will chair such debates.
- 33.6 Each debate may receive wide publicity at the discretion of the Chairman and whilst the Chairman may decide the specific form of a specific debate, such debate may involve the participation of external speakers, partners, organisations and public. Such debates may include the holding of workshops and other events prior to or during the debate.
- 33.7 The Chairman shall be entitled to regulate the proceedings in accordance with the Council's Procedural Standing Orders or in such other way as he/she thinks fit.
- 33.8 Councillors will not take any decisions in connection with or vote on the matter under debate. The key points which emerge from the debate will be published as appropriate and will be considered by the Leader, the Cabinet and/or the Council as appropriate in determining the budget and policy framework of the Council.

### **34. INTERPRETATION**

In these Procedural Standing Orders:

- (a) "Committee" means
- Planning and Regulatory Committee

- Standards and Ethics Committee
  - Overview and Scrutiny Performance Board
  - Health Overview and Scrutiny Committee
  - an Overview and Scrutiny Panel (but not Task Group)
  - Audit and Governance Committee and
  - any other Committee or Sub-Committee established from time to time by the Council;
- (b) "Panel" means
- Appointments, etc Panel and
  - Appellate Panel;
- (c) "Any other member body" means any other member body established from time to time by the Council; and
- (d) 'in writing' includes electronic mail or fax, and 'signed' includes support expressed by electronic mail or fax.



## **MEMBERS' CODE OF CONDUCT**

**MEMBERS' CODE OF CONDUCT****INDEX**

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# WORCESTERSHIRE COUNTY COUNCIL

## CODE OF CONDUCT FOR MEMBERS

### Part 1

#### General provisions

##### **Introduction and interpretation**

1. (1) This Code applies to **you** as a member or co-opted member of Worcestershire County Council ('the authority').
- (2) You should read this Code together with the Seven Principles of Public Life (also known as the Nolan Principles) set out at Appendix 1, and the Council's Member/Officer Relations Protocol as updated from time to time.
- (3) It is your responsibility to comply with the provisions of this Code.
- (4) In this Code:

"meeting" means any meeting of:

- (a) the authority;
- (b) any of the authority's committees, sub-committees, joint committees, joint sub-committees, or area committees;
- (c) the executive (Cabinet) of the authority or its committees;

"Monitoring Officer" means the Monitoring Officer for the authority.

##### **Scope**

2. (1) This Code applies to you as a member of this authority when you act in your role as a Member or as a representative of the authority in the circumstances described in paragraph 2 (b) below.
- (2) Where you act as a representative of the authority:
  - (a) on another relevant authority, you must, when acting for that other authority, comply with that other authority's code of conduct; or
  - (b) on any other body, you must, when acting for that other body, comply with the authority's code of conduct, except and insofar as it conflicts with any other lawful obligations to which that other body may be subject.

## General obligations

3. (1) You must treat others with respect.
- (2) You must not:
  - (a) do anything which may cause your authority to breach any of the equality enactments;
  - (b) bully any person;
  - (c) intimidate or attempt to intimidate any person who is or is likely to be:
    - (i) a complainant,
    - (ii) a witness, or
    - (iii) involved in the administration of any investigation or proceedingsin relation to an allegation that a member (including yourself) has failed to comply with the authority's Code of Conduct;
  - (d) do anything which compromises or is likely to compromise the impartiality of those who work for, or on behalf of, the authority.
4. You must not:
  - (a) disclose information given to you in confidence by anyone, or information acquired by you which you believe, or ought reasonably to be aware, is of a confidential nature, except where:
    - (i) you have the consent of a person authorised to give it;
    - (ii) you are required by law to do so;
    - (iii) the disclosure is made to a third party for the purpose of obtaining professional advice provided that the third party agrees not to disclose the information to any other person; or
    - (iv) the disclosure is:
      - (aa) reasonable and in the public interest; and
      - (bb) made in good faith and in compliance with the reasonable requirements of the authority;
  - (b) prevent another person from gaining access to information to which that person is entitled by law.
5. You must not conduct yourself in a manner which could reasonably be regarded as bringing your office or authority into disrepute.

6. You:
- (a) must not use or attempt to use your position as a member improperly to confer on or secure for yourself or any other person, an advantage or disadvantage; and
  - (b) must, when using or authorising the use by others of the resources of, or under the control of, the authority:
    - (i) act in accordance with the authority's reasonable requirements;
    - (ii) ensure that such resources are not used improperly for political purposes (including party political purposes); and
  - (c) must have regard to any applicable Local Authority Code of Publicity.
7. You must:
- (a) when reaching decisions on any matter have regard to any relevant advice provided to you by the authority's officers and in particular by the authority's Monitoring Officer and Section 151 Officer; and
  - (b) give reasons for all decisions in accordance with any statutory requirements and any reasonable additional requirements imposed by the authority.
8. You must not place yourself under any financial or other obligation to outside individuals or organisations that might seek to influence you in the performance of your official duties.

## **Part 2**

### **Interests**

#### **Disclosable Pecuniary Interests ("DPI")**

9. (1) You will have a Disclosable Pecuniary Interest ("DPI") under this Code if:-
- (a) such interest meets the definition prescribed by Regulations as amended from time to time and set out in Appendix 2 to this Code; and
  - (b) it is either an interest of yourself or it is an interest of :-
    - (i) your spouse or civil partner;
    - (ii) a person with whom you are living as husband and wife: or
    - (iii) a person with whom you are living as if you were civil partners;
- and you are aware that the other person has the interest.

## Registration of DPIs

10. (1) You must within 28 days of becoming a member of the authority or being re-elected notify the Monitoring Officer in writing of any DPI which you hold at the time notification is given.
- (2) You must within 28 days of becoming aware of any new DPI, or changes to existing DPIs, notify the Monitoring Officer in writing.

## Other Disclosable Interests

- 11.(1) You will have a Disclosable Interest in any matter if you are aware that you or a member of your family or person or organisation with whom you are associated have:-
  - (a) a pecuniary interest in the matter under discussion which is not de minimis; or
  - (b) a close connection with the matter under discussion.
- (2) If you are a member of another local authority, or public body, or you have been appointed as the authority's representative on an outside body, you do not have a Disclosable Interest unless a member of the public knowing the circumstances would reasonably regard membership of the body concerned as being likely to prejudice your judgment of what is in the public interest.

## Disclosure of Interests

### 12.(1) DPIs: formal meetings

If you are present at a meeting and you have a DPI then you must:

- (a) disclose the nature and existence of the interest;
- (b) leave the meeting (including the meeting room and public gallery) and take no part in the discussion and
- (c) if the interest has not already been recorded notify the Monitoring Office of the interest within 28 days beginning with the date of the meeting.

### (2) DPIs: informal meetings

If you have a DPI you must not participate in informal meetings or briefings and site visits and must disclose the DPI in any correspondence with the Council.

### **(3) Single Member Decisions**

If when participating in single member decision making you have a DPI affecting the matter being decided then you may take no steps other than asking for the matter to be decided in some other manner.

### **(4) Other Disclosable Interests**

If you are present at a meeting and you have an Other Disclosable Interest then you must:

- (a) disclose the nature and existence of the interest; and
- (b) if the interest:
  - i affects your pecuniary interests or relates to the determination of a planning or regulatory matter; and
  - ii is one which a member of the public knowing the circumstances would reasonably regard as being likely to prejudice your judgment of what is in the public interest

then you must leave the meeting (including the meeting room and public gallery) and take no part in the discussion.

### **(5) Dispensations**

You may take part in the discussion of and vote on a matter in which you have been granted a dispensation.

## **Sensitive Information**

**13.** (1) An interest will be a sensitive interest if the 2 following conditions apply:

- (a) that you have an interest (whether or not a DPI); and
- (b) the nature of the interest is such that you and the Monitoring Officer consider that disclosure of the details of the interest could lead to you or a person connected to you being subject to violence or intimidation.

(2) Where it is decided that an interest is a “sensitive interest” it will be excluded from published versions of the register. The Monitoring Officer may state on the register that the member has an interest the details of which are excluded under this section.

(3) Where the sensitive interest is a DPI the usual rules relating to disclosure will apply save that the member will only be required to disclose that they hold a DPI in the matter concerned.

SPM July 2012



## The Seven Principles of Public Life

- (a) selflessness
- (b) integrity
- (c) objectivity
- (d) accountability
- (e) openness
- (f) honesty
- (g) leadership.

**2012 No. 1464**

**LOCAL GOVERNMENT, ENGLAND**

**The Relevant Authorities (Disclosable Pecuniary Interests)  
Regulations 2012**

<i>Made</i> - - - -	<i>6th June 2012</i>
<i>Laid before Parliament</i>	<i>8th June 2012</i>
<i>Coming into force</i> - -	<i>1st July 2012</i>

The Secretary of State, in exercise of the powers conferred by sections 30(3) and 235(2) of the Localism Act 2011<sup>(a)</sup>, makes the following Regulations.

**Citation, commencement and interpretation**

**1.**—(1) These Regulations may be cited as the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012 and shall come into force on 1st July 2012.

(2) In these regulations—

“the Act” means the Localism Act 2011;

“body in which the relevant person has a beneficial interest” means a firm in which the relevant person is a partner or a body corporate of which the relevant person is a director, or in the securities of which the relevant person has a beneficial interest;

“director” includes a member of the committee of management of an industrial and provident society;

“land” excludes an easement, servitude, interest or right in or over land which does not carry with it a right for the relevant person (alone or jointly with another) to occupy the land or to receive income;

“M” means a member of a relevant authority;

“member” includes a co-opted member;

“relevant authority” means the authority of which M is a member;

“relevant period” means the period of 12 months ending with the day on which M gives a notification for the purposes of section 30(1) or section 31(7), as the case may be, of the Act;

“relevant person” means M or any other person referred to in section 30(3)(b) of the Act;

“securities” means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000<sup>(b)</sup> and other securities of any description, other than money deposited with a building society.

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(a) 2011 c.20.  
(b) 2000 c. 8.

## Specified pecuniary interests

2. The pecuniary interests which are specified for the purposes of Chapter 7 of Part 1 of the Act are the interests specified in the second column of the Schedule to these Regulations.

Signed by authority of the Secretary of State for Communities and Local Government

*Grant Shapps*  
Minister of State

6th June 2012

Department for Communities and Local Government

## SCHEDULE

Regulation 2

<i>Subject</i>	<i>Prescribed description</i>
Employment, office, trade, profession or vacation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	Any payment or provision of any other financial benefit (other than from the relevant authority) made or provided within the relevant period in respect of any expenses incurred by M in carrying out duties as a member, or towards the election expenses of M. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992(a).
Contracts	Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and the relevant authority— (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.
Land	Any beneficial interest in land which is within the area of the relevant authority.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer.
Corporate tenancies	Any tenancy where (to M's knowledge)— (a) the landlord is the relevant authority; and (b) the tenant is a body in which the relevant

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(a) 1992 c. 52.

person has a beneficial interest.

Securities

Any beneficial interest in securities of a body where—

(a) that body (to M's knowledge) has a place of business or land in the area of the relevant authority; and  
(b) either—

(i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or

(ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

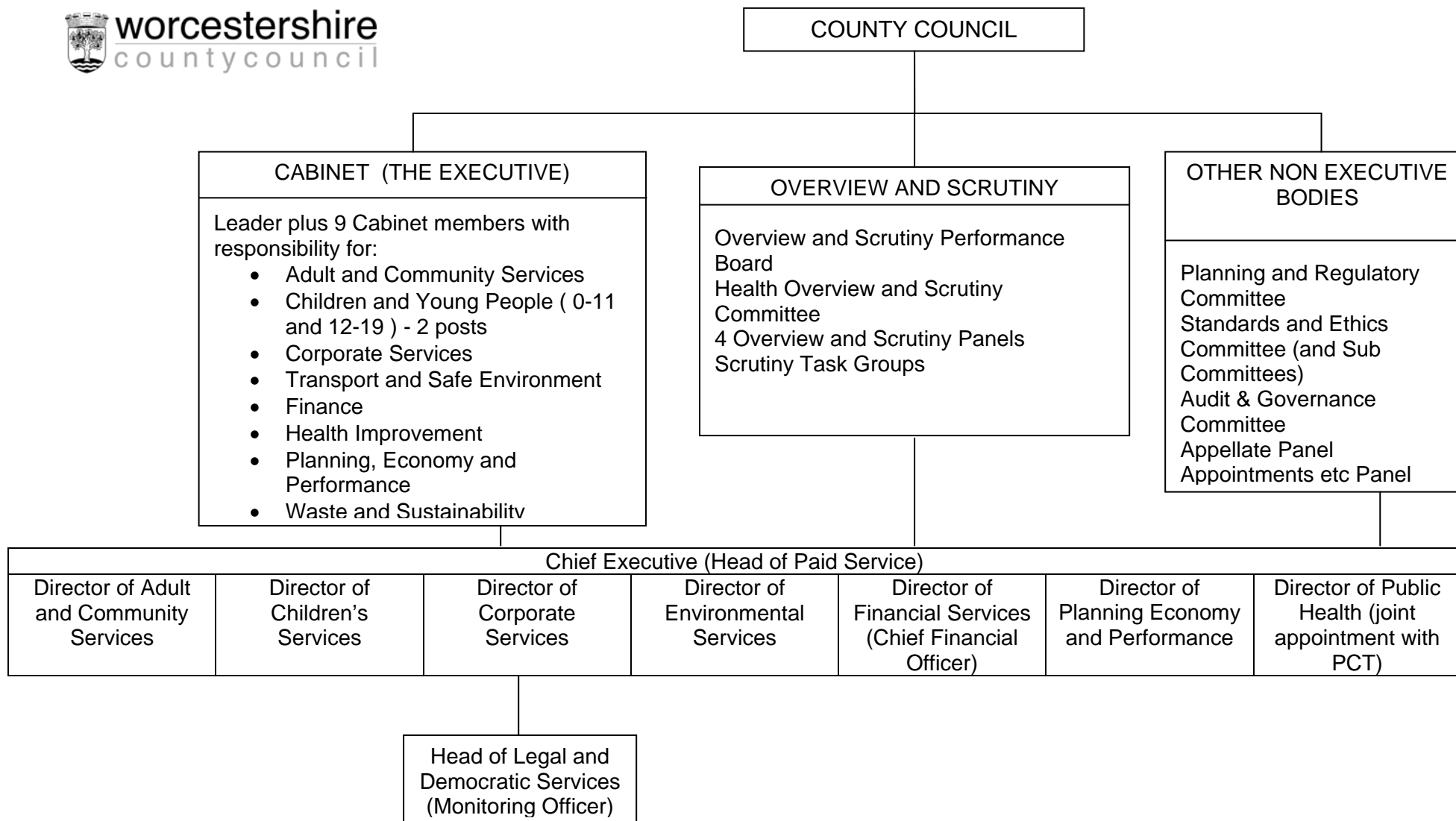
**EXPLANATORY NOTE**

*(This note is not part of the Regulations)*

Section 30 of the Localism Act 2011 provides that a member or co-opted member of a relevant authority as defined in section 27(6) of the Localism Act 2011, on taking office and in the circumstances set out in section 31, must notify the authority's monitoring officer of any disclosable pecuniary interest which that person has at the time of notification. These Regulations specify what is a pecuniary interest. Section 30(3) of the Act sets out the circumstances in which such an interest is a disclosable interest.

A full impact assessment has not been produced for these Regulations as no impact on the private or voluntary sectors is foreseen.

# **GUIDE TO THE 2009 CONSTITUTION**



- Notes: 1. Joint Member/Employee Committees operate under separate constitutions.  
 2. The West Mercia Supplies Joint Committee is a joint committee of the executives of the County Council, Herefordshire Council, Shropshire County Council and Telford and Wrekin Council.  
 3. The South Worcestershire Shared Services Joint Committee is a joint committee between the County Council and Malvern Hills DC, Worcester City Council and Wychavon District Council

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## **1. INTRODUCTION**

- 1.1 Under the Local Government Act 2000 the County Council is required to adopt a formal Constitution when operating executive arrangements. A number of Regulations have also been made under the Act which prescribe in considerable detail how the Council should draw up the content of its Constitution, how it allocates functions and how it conducts its business. The Constitution, therefore, has to contain a large number of provisions and in this respect it reflects, generally, the legislation, Government Guidance and model documents.
- 1.2 Because it has to be comprehensive and meet legal requirements and address technical concepts, the Constitution is both long and complex. It is not a user-friendly document!
- 1.3 The purpose of this Guide is not to summarise all the provisions of the Constitution – the Constitution contains a Summary. This Guide seeks to assist Members and Officers by outlining how the Constitution works, and to focus on some of the practical consequences, both in relation to the role of Members of the Council, and that of employees.
- 1.4 The guide describes the component parts of the Constitution, outlining the main features of each and addressing some working or practical consequences of the Constitution.
- 1.5 Of necessity, the Guide has to simplify the complexities of the Constitution and in some instances what it says will be a general rule rather than explain all the exceptions to the rule. So if the reader is in any doubt, reference must be made to the Constitution itself or advice taken from Legal and Democratic Services. Cross-references are provided to help.

## **2. THE FRAMEWORK OF THE CONSTITUTION**

- 2.1 The Structure diagram inside the front cover shows the formal relationships between the Council, the Executive (the Cabinet), the Overview and Scrutiny structure, the other Committees and Panels (Non -executive) and the officer structure.
- 2.2 A fundamental point is that the legislation provides that the Leader and Cabinet are responsible for what are called 'executive functions' (which cover most of the day to day political decisions), and the Council and committees are responsible for 'non-executive' functions.

## **3. THE FULL COUNCIL**

### **3.1 Composition and Role**

- 3.1.1 The Council comprises 57 elected members.
- 3.1.2 The job of the full Council is to approve the Council's main policies (the policy framework as set out in Appendix 1 and the Annual Budget (both revenue and capital). There are other matters reserved to the full Council to decide. These are set out in the scheme of assignment of responsibility for functions (Appendix



1), and include the appointment of the Leader of the Council, adopting and making changes to the Code of Conduct, and approving the Members' Allowances Scheme.

- 3.1.3 The Council receives reports from the Cabinet, which may make recommendations to the Council and will also report on the business it has considered. However, in most cases the Cabinet, because of its decision-making role, and the breadth of, its responsibilities will be reporting to the Council on matters where it has already made and implemented a decision.
- 3.1.4 The Council also receives reports from its other Committees and can get involved in debating major scrutiny reports.
- 3.1.5 The Council meets a minimum 6 times a year, the dates of which will be published well in advance. Its annual meeting will be in April/May and it will decide its budget in February to allow Council Tax calculations for the new financial year from April.
- 3.1.6 In addition to the existing right of members to requisition an extraordinary meeting of the County Council, the Council may need to meet more often if—
- there are matters referred to it under the call-in procedures (Appendix 4 paragraph 17)
  - the Overview and Scrutiny Performance Board requires a meeting because it believes that a key decision has been taken outside the permitted parameters (paragraph 17 of Appendix 5 - Access to Information Rules) or
  - the Council has decided not to agree with proposals of the Cabinet and the Leader of the Council objects or submits revised proposals, causing a further meeting of the Council (paragraph 2 of Appendix 6 - Budget and Policy Framework Procedure Rules).
- 3.1.7 The Chief Executive as Head of Paid Service, the Head of Legal and Democratic Services as Monitoring Officer and the Director of Financial Services as Chief Finance Officer have the right to submit reports directly to the full Council.
- 3.1.8 It should be remembered that unless the matter is one which:-
- is for the full Council or its Committees to determine (as set out in the scheme of assignment of responsibility for functions in Appendix 1)
  - is contrary to the policy framework or not wholly in accordance with the County Council's budget
  - cannot in law be the responsibility of the Cabinet
- then the Council or its other Committees cannot take a decision about that matter (or overturn a decision of Cabinet). That responsibility rests with the Cabinet. Similarly, the Cabinet cannot take a decision which the responsibility of the Council or its Committees.

3.1.9 The Planning and Regulatory Committee is likely to take most other decisions on those functions which are not the responsibility of the Cabinet. Responsibility for some matters remains with full Council, either because the law requires this or because it has chosen to retain responsibility. The Scheme of Assignment of Responsibility of Functions sets out the position in Appendix 1.

### **3.2 Meetings of the Council**

3.2.1 Meetings of the Council are relatively formal. The Council's Procedural Standing Orders (Appendix 2 of the Constitution) govern how a meeting of the Council is conducted. Many also apply to the Overview and Scrutiny and other Committees. The Cabinet may choose and does apply them or parts of them to its own proceedings.

3.2.2 The report of the Cabinet to the Council will be presented by the Leader of the Council. The Leader may respond on behalf of the Cabinet to questions, or he may arrange for a question to be answered by a Cabinet Member with Responsibility.

3.2.3 Additionally, at each meeting of the Council at least each Group Leader, and other Councillors within the 30 minutes available, will have the opportunity to ask questions of the Leader of the Council or Cabinet Members with Responsibility. The Leader of the Council, Cabinet Members with Responsibility, Chairman of the Overview and Scrutiny Performance Board and Chief Executive also present, on a programmed basis, reports to the Council outlining current issues and principal developments within their area. Council has decided that the Leader, Chief Executive and Chairman of the Overview and Scrutiny Performance Board will report annually, and each CMR over a rolling 2 year period.

3.2.4 Where the Council considers a scrutiny report the Member who led that scrutiny will generally present it, and may be questioned on it.

3.2.5 The reports of other Committees of the Council will be presented by their respective Chairmen, of whom questions can also be asked, although normally the report will be decisions taken which cannot be overturned by Council. .

3.2.6 Members of the public may participate at each meeting of the Council by presenting a petition, asking a question or making a comment. They need to notify the Director of Corporate Services (in practice the Head of Legal and Democratic Services and his officers) the nature and content of their proposed participation by 9am the working day before the meeting in question.

3.2.7 The Council has also made provision for debates on key issues proposed by Councillors and debates based on 'green papers' from the Cabinet or Cabinet Members with Responsibility. No decisions or votes will be taken in such debates, but key points will be considered by the Cabinet and/or Council in determining future policy.

## **4. THE CABINET**

### **4.1 Composition and Role**

4.1.1 The Council is required by law to have an 'Executive', and has chosen the "Leader and Cabinet" model from the options available. The Leader is responsible for making arrangements to discharge functions which fall to the executive, whether through the leader personally, individual Cabinet members, or officers.

4.1.2 The Cabinet is not a Committee and is not required to be politically balanced. It also does not have to be open to the public for all of its items, although the Leader has decided that it should be.

4.1.3 The Council appoints (and can subsequently remove) the Leader at the first Annual Meeting of the Council after elections for the life of the Council.

4.1.4 The Cabinet comprises the Leader of the Council and 9 other Conservative Members of the Council.

4.1.5 The Leader presides at meetings of the Cabinet. A Deputy Leader presides in the Leader's absence. In the absence of both, a member nominated by the Leader will preside at meetings of the Cabinet, or if no nomination has been made the members of Cabinet present will appoint one of their number to preside.

4.1.6 The Leader determines the number of areas of political responsibility and their allocation to members of the Cabinet (Cabinet Members with Responsibility). The Leader has decided that 9 members, other than the Leader, shall be Cabinet Members with Responsibility, leading on the matters within the following remits:

- Adult and Community Services
- Children and Young People (divided between 0-11 and 12-19)
- Corporate Services
- Transport and Safe Environment
- Finance
- Health Improvement
- Planning, Economy and Performance
- Waste and Sustainability

4.1.7 A Cabinet Member with Responsibility may establish ad hoc member groups to assist in policy development or advise on any difficult issues.

4.1.8 The Leader has determined that Cabinet will take decisions collectively. No individual members of the Cabinet have delegated powers to take decisions on behalf of the Cabinet.

4.1.9 The Cabinet takes decisions on all matters relating to the functions of the Council except those which –

- are reserved to the full Council (e.g. Budget and Policy Framework, Members' Allowances and Code of Conduct)

- are ones which by law the Cabinet cannot take (e.g. deciding Planning applications and Standards and Ethics matters)
- by choice may not and have not been allocated to the Cabinet.

4.1.10 In general terms, it is therefore the Cabinet who will take the main political decisions in relation to services for children, including education, family services and child protection; adult social care; highways and transportation; waste management; libraries; environment and other community services, together with cross-service matters.

4.1.11 Many decision-making powers continue to be delegated to officers to allow the day to day operation of services to continue. Officers will not be taking 'Key Decisions' (see below). The scheme of assignment of responsibility for functions contains the scheme of delegation to officers which allows Directors to sub-delegate further.

4.1.12 Collectively and individually the Cabinet are subject to the overview and scrutiny arrangements which the Council has established (Section 5 below).

## **4.2 Key Decisions**

4.2.1 Certain types of decision which are the responsibility of the Leader and Cabinet are called 'Key Decisions'. It is important to know what they are because only the Cabinet will be taking Key Decisions; and (generally) advance notice has to be given of Key Decisions to be taken through the procedure known as the Forward Plan (4.3 below).

4.2.2 Key decisions are ones which are likely:-

- to result in expenditure or savings which are significant having regard to the Council's budget for the service or function to which the decision relates; or
- to be significant in terms of their effects on communities living or working in an area comprising two or more County electoral divisions (Article 7 of the Constitution).

## **4.3 The Forward Plan**

4.3.1 The Leader of the Council has to publish the Forward Plan each month, which contains a list of what Key Decisions the Cabinet are likely to take in the following four months; how and with whom consultation will take place on those matters before the decision is taken; when the decision is likely to be taken by the Cabinet; a list of the documents which the Cabinet will consider; and the steps to be taken by any person who wants to make representations to the Cabinet about the matter. For transparency, our Forward Plan also includes non-Key Decisions going to Cabinet.

4.3.2 The purpose of the Forward Plan is to alert the public and members to when key decisions are to be taken by the Cabinet so that they can raise matters of concern with the local Councillor or members of the Cabinet or attend.

- 4.3.3 The Forward Plan has to be updated monthly so that as more details become available, more information can be included in the Plan.
- 4.3.4 The detailed requirements in relation to the Forward Plan are set out in paragraphs 13 - 16 of Appendix 5 (Access to Information Rules).
- 4.3.5 The Forward Plan will describe the following (so far as available):
- the matter in respect of which the key decision is to be taken
  - the membership of the Cabinet
  - the date or period for the taking of the decision
  - the identity of the principal groups the Cabinet proposes to consult before taking the decision, and the means by which such consultation is proposed to be undertaken
  - the steps and timescale for representations to be made to the Cabinet
  - a list of the documents submitted to the Cabinet for consideration in relation to the matter
- 4.3.6 There are detailed procedures in Appendix 5 of the Constitution about taking key decisions which for some reason have not been included in a Forward Plan (paragraph 15) or which are very urgent (paragraph 16). The Overview and Scrutiny Performance Board also has a right to require the Cabinet to report to the Council on key decisions which they believe to have been taken otherwise than in accordance with the required procedures – and the Leader has to report to the full Council quarterly on all special urgency decisions (paragraph 17).

#### **4.4 Meetings of the Cabinet**

- 4.4.1 The Cabinet will normally meet monthly in public, unless the matter to be discussed is confidential or exempt. The Leader and Cabinet have agreed to the same public participation rights at public meetings of the Cabinet as for the Council.
- 4.4.2 The Cabinet may also meet privately (with no public or local members present) when the business will only be the discussion of matters with officers and not the taking of decisions. They may also meet for informal briefings.
- 4.4.3 The Constitution allows certain members to speak at Cabinet meetings (but not to vote) e.g. a local member where an issue relates to, or affects, his Division, the Chairman or Vice-Chairman of the Overview and Scrutiny Performance Board or the lead Member of a Scrutiny Task Group when the Cabinet is considering a report of that body; or some signatories to a notice of motion. In practice the leader generally allows any member to contribute to Cabinet discussions.
- 4.4.4 The Cabinet will consider reports from Cabinet Members with Responsibility or more usually from Chief Officers, making recommendations for Cabinet to consider.
- 4.4.5 Decisions taken by the Cabinet are subject to the call-in procedures referred to in Section 5 below. Save in the limited circumstances referred to, they will not take effect until the fifth working day after publication of the Minutes of the relevant meeting of the Cabinet to members of the Council. Due allowance must be made

for this in the preparation of any reports to the Cabinet which require a prompt decision as the minutes must say whether implementation is so urgent that it cannot await the outcome of possible call-in – and why (see paragraph 4.4.8 below). Urgency of implementation may need to be specifically addressed in reports.

- 4.4.6 The Chief Officers (or their representatives) will be entitled to be present at all meetings of the Cabinet.
- 4.4.7 All meetings of the Cabinet will be minuted and every member will receive a copy; a copy will also be publicly available for inspection at County Hall, Worcester. These Minutes, which are dated with the date of dispatch, are the formal record of decisions and also the “trigger” for the call-in procedure. They will also indicate which items (if any) are urgent so that they are not subject to ‘call-in’ but fall to be dealt with under the urgency procedures of paragraph 17.16 of Appendix 4 of the Constitution, summarised in 4.4.8 below.
- 4.4.8 Urgent cases will be those where delay likely to be caused by the call-in process could seriously prejudice the Council’s or the public’s interests, or the interests of any person to whom the decision relates, and the Chairman (or in his absence Vice-Chairman) of the Overview and Scrutiny Performance Board agrees that the decision is urgent and cannot reasonably be deferred. If those members referred to are unable to act, then the agreement of the Chairman or in his/her absence the Vice-Chairman of the Council will suffice. These provisions allow a ‘check and balance’ allowing a person outside the Cabinet to decide whether or not there should be implementation without the risk of call-in suspending the decision.
- 4.4.9 The Cabinet’s own procedures are governed by Appendix 3 of the Constitution. The Cabinet is not a Committee of the Council and can largely govern its own procedure.

#### **4.5 Consultation with others**

- 4.5.1 Reports to the Cabinet by Cabinet Members with Responsibility or officers about proposals relating to the Council’s policies or budget must contain details of the nature and extent, and outcome, of consultation with stakeholders and the Overview and Scrutiny Performance Board as appropriate. Reports on other matters will set out the details and outcome of consultation as appropriate. (paragraph 9).
- 4.5.2 The Cabinet and individual Cabinet Members with Responsibility may make arrangements for consultation about matters for which they are responsible.

### **5. OVERVIEW AND SCRUTINY ARRANGEMENTS**

#### **5.1 Composition and Role**

- 5.1.1 The Council is required by law to have arrangements for Overview and Scrutiny by which recommendations on the development of policies can be made and the Cabinet be held to account for their actions.

- 5.1.2 Any bodies established to carry out Overview and Scrutiny have no delegated powers to take decisions on behalf of the Council.
- 5.1.3 The Council has established an over-arching Overview and Scrutiny Performance Board, a Health Overview and Scrutiny Committee, and 4 Overview and Scrutiny Panels dealing with various themes of the Sustainable Community Strategy. The Overview and Scrutiny Performance Board may establish, as required, specific Scrutiny Task Groups to conduct identified scrutiny exercises.
- 5.1.4 The Overview and Scrutiny Performance Board comprises a Chairman and 7 other County Councillors who are known as Scrutiny Lead Members. One of these is the Chairman of the Health Overview and Scrutiny Committee, 4 are Chairmen of the Panels and 1 is the Vice-Chairman of the Board. The Board is politically balanced.
- 5.1.5 The Health Overview and Scrutiny Committee comprises 14 Members of which 8 are County Councillors and the remainder comprise a representative from each of the 6 District Councils in the County. The remaining Overview and Scrutiny Panels comprises 8 County Councillors and are politically balanced.
- 5.1.6 The size of any Scrutiny Task Group will vary according to the purpose for which it is established. The places on each Task Group need not be allocated strictly in accordance with the political balance of the Council so as to allow Members with a particular knowledge or interest or commitment to take part.
- 5.1.7 The Overview and Scrutiny Performance Board, Panel or a Scrutiny Task Group when dealing wholly or in part with education matters will co-opt in a voting capacity such non-Councillors as required by law (church and parent governor representatives). Scrutiny Task Groups are encouraged to invite other non-Councillors to serve in a non-voting capacity to assist in their work.
- 5.1.8 Cabinet Members cannot serve on the Overview and Scrutiny Performance Board, the Health Overview and Scrutiny Committee, Overview and Scrutiny Panels or any Scrutiny Task Group.
- 5.1.9 The main responsibilities of the Overview and Scrutiny Performance Board include agreeing the scrutiny programme subject to Council approval, commissioning work for the Panels, establishing any time limited Scrutiny Task Groups to carry out scrutiny exercises, and agreeing the terms of reference and reports prepared by them. It also advises on the Council's policy framework, such as the Corporate Plan and can deal with the call-in of decisions made by the Cabinet. The Health Overview and Scrutiny Committee scrutinises matters relating to health services in the County and responds to consultation from the National Health Service on substantial proposed developments.
- 5.1.10 The Overview and Scrutiny Bodies have extensive powers to conduct research, carry out consultations, hold investigations, undertake visits, encourage community participation, liaise with other organisations, gather evidence, invite advisers and experts to assist them and question members of the Cabinet and (in some circumstances) Chief and senior officers about their decisions and performance.

- 5.1.11 As part of the Scrutiny role members have certain additional rights to documents set out in paragraphs 23 and 24 of Appendix 5 (Access to Information Rules).
- 5.1.12 Particular action taken by a Chief or senior officer under delegated powers, which is taken in furtherance of the day to day administration of the service for which the officer is responsible, cannot be called-in or scrutinised. This does not however prevent a questioning of a Chief or senior officer as part of a wider scrutiny exercise.
- 5.1.13 Scrutiny arrangements are governed by the Overview and Scrutiny Procedure Rules in Appendix 4 of the Constitution. These include an obligation on members of the Overview and Scrutiny Performance Board, Health Overview and Scrutiny Committee, Overview and Scrutiny Panels or Task Groups to declare any party whipping arrangements.
- 5.1.14 An Overview and Scrutiny Guide contains further advice and guidance as to how the Overview and Scrutiny arrangements operate.

## **5.2 Call-in**

5.2.1 The Council recognises that the right of call-in should only be used in exceptional circumstances when there is evidence to suggest that the Cabinet has departed from the principles for decision-making. It is not there to be used just because members do not agree with the decision of Cabinet. The call-in provisions do not apply to decisions taken by local National Health Service bodies.

5.2.2 There is a right to call-in decisions taken by the Cabinet before they are implemented. Within three working days of a meeting of the Cabinet the minutes of that meeting will be circulated to all members of the Council and will be available for inspection at County Hall, Worcester. Unless it is identified as urgent in the Minutes, the decision which the Cabinet has taken will not take effect until the fifth working day after the circulation of the minutes. During the intervening period:-

- not less than two members of the Overview and Scrutiny Performance Board; or
- eight members of the Council who are not members of the Cabinet;

may “call-in” (with reasons) the decision. It will then be referred to a meeting of the Overview and Scrutiny Performance Board which will decide on the most appropriate way of dealing with the call-in.

5.2.3 The called-in Cabinet decision is then not implemented until either

- the Overview and Scrutiny Performance Board has accepted the decision (with or without comment) or
- the Overview and Scrutiny Performance Board has considered the matter, has proposed modifications and/or referred it back to the Cabinet for reconsideration (or in certain circumstances referred it to the full Council), and the matter has been reconsidered by Cabinet.



- 5.2.3 The right of call-in is important in enabling members who are not Cabinet members to challenge Cabinet decisions before they are implemented.
- 5.2.4 The time for call-in is very important, as any Cabinet decision can be implemented on the fifth working day after circulation of the Cabinet's Minutes, if it is not called-in before then. However, restrictions on call-in apply in cases of urgency which are set out in Section 4.4 above.
- 5.2.5 The first three members exercising the right of call-in and who are not either 'local members' or members of the Overview and Scrutiny Performance Board, Panel or Scrutiny Task Group established to consider the call-in are entitled to attend the meeting of the body at which the called-in matter is discussed and to speak on it (but not to vote).
- 5.2.6 The Chairman or Vice-Chairman of the Overview and Scrutiny Performance Board may attend and speak (but not vote) at the meeting of the Cabinet at which the Board's views are being considered.
- 5.2.7 Reference to the full Council would only be appropriate if the decision called-in is one which the Overview and Scrutiny Performance Board believes:-
- the Cabinet cannot in law take; or
  - is reserved to the full Council; or
  - raises issues of such exceptional significance and public interest to justify reference to the full Council, although the final decision rests with the Cabinet
  - is contrary to the policy framework or contrary or not wholly in accordance with the budget.
- 5.2.8 Details of the call-in procedure are included in the Overview and Scrutiny Procedure and Budget and Policy Framework Rules (Appendix 4 and 6 respectively of the Constitution).
- 5.2.9 The operation of call-in will be monitored annually and the Council may change the arrangements if the arrangements are being abused (paragraph 17.1 of Appendix 4).

## **6. OTHER COMMITTEES, etc**

### **6.1 Composition and Roles**

- 6.1.1 Certain matters cannot by law be dealt with by the Cabinet. Apart from those reserved to the full Council, these are in the main planning and regulatory functions, though there are some others.
- 6.1.2 **The Planning and Regulatory Committee** will carry out the planning, public rights of way and other licensing, registration and regulatory functions which cannot be the responsibility of the Cabinet.
- 6.1.3 **The Audit and Governance Committee's** main role is to consider and approve the Council's annual statement of accounts, to assure the Council about the

objectivity and fairness of the financial reporting and performance of the Council, the adequacy of the risk management framework and associated controls within the Council, and that any issues arising from the drawing up, auditing and certifying of the Council's accounts are properly dealt with.

- 6.1.4 Other functions which cannot be the responsibility of the Cabinet are the responsibility of the Council itself (such as matters relating to elections, boundaries and pensions) although, unless specifically reserved to itself, the Council has delegated many of these functions to the appropriate officer.
- 6.1.5 The Council has an **Appellate Panel** from which the Director of Corporate Services will select a small number of members to form individual panels to carry out various appellate functions, such as hearing personnel appeals. Members will also be selected to serve on any Corporate Representations Review Panel as appropriate.
- 6.1.6 The **Standards and Ethics Committee** is responsible for the ethical framework within the Council. Membership is regulated by law and must include at least 25% external (independent) members with voting rights.
- 6.1.7 The Committee comprises 11 members, of which 8 are councillors (according to the political balance of the Council) and three are independent persons, one of whom is the Chairman of the Committee.
- 6.1.8 The Committee is responsible for promoting and maintaining high standards of conduct by members and co-opted members including church and parent governor representatives, and overseeing the Members' Code of Conduct and Protocols. It has established sub-committees to deal with complaints about any alleged breach by a member of the Code of Conduct.
- 6.1.9 An **Appointments etc Panel** will be called as and when required to carry out the functions set out in the Officer Employment Procedure Rules such as appointment and dismissal in relation to the Chief Executive (Head of Paid Service), Directors and Heads of Service.
- 6.1.10 **Joint consultation/negotiation member/employee committees** exist under separate constitutions.
- 6.1.11 The Cabinet has established **joint arrangements** with partner authorities in relation to **West Mercia Supplies** for the purposes of carrying out purchasing and distribution activities, and a separate joint committee with southern District Councils in relation to shared services (particularly the Hub).
- 6.1.12 Details relating to all the above Committees etc are contained in the Scheme of Assignment of Responsibility for Functions (Appendix 1).

## 7. AREA ARRANGEMENTS

- 7.1 The Council is committed to making provision for area based arrangements to cover the whole county recognising that area bodies can be a very valuable part in helping the Council to form its community strategy and in terms of partnership working and community leadership.

- 7.2 It believes that given the diverse nature of the county area it is not appropriate to apply the same prescriptive arrangements to each part of the area. Instead flexible arrangements are more appropriate, based on or within the District Council boundaries involving, as appropriate, Parish and District Councils, the public and partners/stakeholders according to local circumstances,
- 7.3 The Council is involved in various arrangements throughout the county.
- 7.4 A member who does not serve on the Cabinet represents the Council on each of the eight District Local Strategic Partnerships in the County.

## **8. MEMBERS**

### **8.1 Service on the Cabinet**

- 8.1.1 Every member of the Council, except the Chairman and Vice-Chairman of the Council, is eligible to serve on the Cabinet.

### **8.2 Service on the Scrutiny bodies**

- 8.2.1 Every member is eligible to serve on the Overview and Scrutiny Performance Board Health Overview and Scrutiny Committee, Overview and Scrutiny Panels and Task Groups, except Cabinet Members.
- 8.2.2 Members who serve on Scrutiny bodies will have been selected because of their knowledge, interest or commitment and will have a substantial input into the scrutiny of the policies of the Council and decisions of the Cabinet, and monitoring of performance. Members' roles will increasingly focus on contributing to and influencing future policy; and reviewing, scrutinising and calling to account the policies and decisions of the Cabinet in the context of their impact on the Council and on the communities and people the Council serves.
- 8.2.3 Members also have the opportunity of questioning the Leader of the Council and Cabinet Members with Responsibility at meetings of the Council.

### **8.3 Service on Other Committees, etc**

- 8.3.1 All members of the Council are eligible to serve on the Planning and Regulatory and Audit and Governance Committees.
- 8.3.2 All members of the Council are eligible to serve on the Standards and Ethics Committee, except that not more than one member of the Cabinet (who cannot be the Leader) may serve.
- 8.3.3 All members of the Council are eligible to serve on appeals panels unless they have had prior involvement in the particular case.
- 8.3.4 All members of the Council are eligible to serve on an Appointments etc Panel, except that each Panel must include at least 2 Cabinet members (3 in the case of the Head of Paid Service).

8.3.5 The Chairman and Vice-Chairman of the Council may not concurrently be the Chairman of any other Committee of the Council.

#### **8.4 Substitution**

8.4.1 There can be no substitution for members of the Cabinet.

8.4.2 There can be no substitution on the Overview and Scrutiny Performance Board, Health Overview and Scrutiny Committee or any Overview and Scrutiny Panel or Task Group.

8.4.3 Substitution may be allowed on any other Committee provided the substitute member is eligible to serve.

#### **8.5 Local Member**

8.5.1 If an item coming before the Cabinet, a Committee or Scrutiny body is likely to be of particular interest to a member representing an electoral division to which the item relates or affects he or she can attend and speak at (but not vote) at the meeting – and may submit written representations.

#### **8.6 Involvement in Budget and Policy Framework**

8.6.1 Budget and Policy Framework Procedure Rules are set out in Appendix 6. These set out the procedure by which the Cabinet in consultation with the Overview and Scrutiny Performance Board will draw up proposals for the budget and policy framework of the Council. It includes provision for situations in which the Council does not accept the proposals of the Cabinet, in which case the Council's decisions will only come into effect after 5 working days unless the Leader of the Council objects, in which case a further meeting of the Council will be held. The rules also set out the procedure for dealing with decisions (including urgent ones) outside the budget and policy framework.

#### **8.7 Member Allowances**

8.7.1 Members may receive the allowances contained in the Scheme for the Payment of Councillors' Allowances (Appendix 13 of the Constitution). These are set by Council following recommendations made by an Independent Remuneration Panel.

#### **8.8 Ethical Framework**

8.8.1 Appendix 10 sets out the Members' Code of Conduct. The Council also has a Member Planning Code of Conduct. The Council and the public are entitled to expect high standards of conduct from members.

8.8.2 A protocol for member/officer relationships is included at Appendix 12 of the Constitution.

## **8.9 Access to Information**

- 8.9.1 The Constitution sets out in Appendix 5 (Access to Information Rules) arrangements for public access to information and to which members are also entitled.
- 8.9.2 The Rules also prescribe other information available in connection with overview and scrutiny arrangements (paragraph 23) and additional rights of access for members (paragraph 24).

## **8.10 Member Role Descriptions**

- 8.10.1 A number of role descriptions have been produced setting out the duties and responsibilities of a councillor and various other positions held (such as the Leader, Cabinet Members with Responsibility and Overview and Scrutiny Performance Board Chairman etc). These are included in Appendix 12 of the Constitution.

## **9. OFFICERS**

### **9.1 Designations**

- 9.1.1 By law the Council must designate officers to hold three statutory offices. These are –

- Head of Paid Service – Chief Executive
- Monitoring Officer – Head of Legal and Democratic Services
- Chief Financial Officer – Director of Financial Services

- 9.1.2 The Council has appointed the following Chief Officers:

- Chief Executive
- Director of Adult and Community Services
- Director of Children's Services
- Director of Corporate Services
- Director of Environmental Services
- Director of Financial Services
- Director of Planning, Economy and Performance
- Director of Public Health (joint appointment with PCT)

- 9.1.3 Each Chief Officer has staff to undertake the tasks of delivering the Council's services and supporting the corporate management of the Council.

- 9.1.4 To enable the professional and operational work of the Council to be undertaken, Chief Officers have delegated powers to take a range of decisions on behalf of the Cabinet and the other Committees etc with decision making powers. In turn Chief Officers can empower certain of their staff to exercise delegated powers on their behalf in respect of particular kinds of decisions.

## **9.2 Delegations**

- 9.2.1 The scheme of assignment of responsibility for functions (Appendix 1) sets out the scheme of delegation to officers.
- 9.2.2 It sets out general delegations and responsibilities which all Chief Officers have, such as the need to act within the policies and budget of the Council, its constitution, the taking of decisions in connection with staff employment and establishment matters, the management of assets allocated to the respective service and the entering into of partnership or contractual arrangements. It also sets out functions and responsibilities specifically delegated to a particular Chief Officer.
- 9.2.3 It also contains restrictions on the way officers carry out their functions and reminds officers that whilst day to day operational decisions will mainly be taken without consultation with members, there is a need in certain circumstances to consult with relevant members before deciding whether to exercise delegated powers.
- 9.2.4 It is the duty of any Chief Officer or other officer to whom the exercise of powers is delegated to keep relevant members including local members properly informed of activity arising within the scope of delegated powers in accordance with the Constitution.

## **9.3 Financial Regulations**

- 9.3.1 Financial Regulations are set out in Appendix 7 and establish a framework for the administration and control of the Council's financial affairs.
- 9.3.2 In essence, the Financial Regulations set out the frameworks for:-
- Financial Administration
  - Accounting Systems / Accounting Records
  - Audit
  - Budget Responsibilities
  - Budget Preparation
  - Procurement of Works, Goods, Materials and Services
  - Payment for Works, Goods, Materials and Services
  - Payments to Employees and Former Employees
  - Income
  - Banking
  - Borrowings, Other Capital Financing and Investments
  - Trustees, Receivers, Appointees and Agents
  - Assets
  - Insurance
  - Ex Gratia Payments
  - Preparation of Statutory Financial Statements
  - Applications and Claims for Grant or Subsidy

9.3.3 To supplement these framework provisions, the Director of Financial Services will issue detailed Financial Procedures which must be complied with as if they were Financial Regulations.

#### **9.4 Contract Standing Orders**

9.4.1 Appendix 8 includes the Council's Current Contract Standing Orders which set the framework for the acquisition and disposal of goods, works and services.

9.4.2 The Corporate Procurement Strategy and Code set out detailed arrangements.

#### **9.5 Employment Procedures**

9.5.1 Appendix 9 of the Constitution sets out the Officer Employment Procedure Rules.

9.5.2 In essence, all appointments other than:-

Chief Executive  
Directors  
Heads of Service reporting directly to Directors

must be made by officers and cannot be made by members.

9.5.3 There are specific and procedural rules about appointments of the officers named in paragraph 9.5.2, which are made by an Appointments etc Panel of Members on behalf of the full Council. The Appointments Panel also deals with the discipline and dismissal of those officers subject, where necessary, to any procedural or legal restrictions.

9.5.4 The power delegated to Directors to take decisions about staffing and personnel matters is set out in Appendix 9.

#### **9.6 Officers' Code of Conduct**

9.6.1 The Council's Officers' Code of Conduct is contained in Appendix 11.

### **10. CONCLUSION**

10.1 This Guide seeks to simplify some of the complexities of the Constitution for members and officers of the Council but is not a substitute - reference must be made to the Constitution for the detailed provisions applicable in any situation or circumstance under discussion. A printed copy of The Constitution is available to each Group, and it is available on the Council's website.

10.2 The Head of Legal and Democratic Services will always try to assist on any point of interpretation of the Constitution, or on what is said in this Guide.

# **FINANCIAL REGULATIONS**



**APPENDIX 7 – FINANCIAL REGULATIONS**

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## **FINANCIAL REGULATIONS**

### **Introduction**

1. These Regulations are made in pursuance and for the purposes of Section 151 of the Local Government Act 1972, as augmented by the Local Government Finance Act 1988, the Accounts and Audit Regulations 2003 and other relevant legislation and regulations as updated from time to time. They form part of the Council's constitution and are to be read in conjunction with the Council's Budget and Policy Framework Rules.
2. The Director of Resources shall be the officer with responsibility for the proper administration of the financial affairs of the Council in accordance with Section 151 of the Local Government Act 1972 and other relevant legislation and regulations.
3. Chief Officers shall be responsible for the operation of the financial procedures within their Directorates. They shall ensure that adequate operational controls are in place. They shall ensure that staff in their Directorate are aware of and comply with Financial Regulations.
4. The Director of Resources shall issue a standard set of Financial Procedures to assist Chief Officers in carrying out their responsibilities. It is open to Chief Officers to propose alternative procedures. The Director of Resources is authorised to agree amendments, provided basic controls are met. Any departure from standard Financial Procedures must be clearly documented.
5. The Director of Resources may, from time to time, issue Accounting Instructions to make further provision for the proper administration of the financial affairs of the Council. Accounting Instructions shall form part of these Regulations.
6. Financial Procedures and Accounting Instructions may make provision for:
  - a) the form and content of any document dealing with financial matters;
  - b) the disclosure of information to the Director of Resources;
  - c) accountancy and financial procedures to be used in relation to particular financial activities; and
  - d) a requirement to consult the Director of Resources on specified issues (being issues relating to the financial affairs of the Council).
7. References in these Regulations to Chief Officers shall be a reference to the following officers of the Council and any other officer authorised to discharge a particular function:

Chief Executive  
Director of Adult and Community Services  
Director of Business Environment and Community  
Director of Children's Services  
Director of Public Health  
Director of Resources

8. References in these Regulations to the Director of Resources shall be deemed to include a reference to any other officer of the Council authorised or nominated by the Director, in writing, to undertake any of the functions of the Director.

### **Best Value**

9. Budget holders shall ensure that best value is pursued in the delivery of all services and shall continuously seek improvement in the quality, efficiency and effectiveness of services.

### **Administration**

10. The Director of Resources, as the Council's financial adviser, shall give information and advice as appropriate, with respect to the Council's finances, the financial implications of future policies, plans and programmes, financial performance and the financial aspects of their activities. Chief Officers shall consult the Director of Resources in respect of any such matter before submitting any report to the Council, Cabinet, Committee, Panel or other member body as set out in the Council's Scheme of assignment of responsibility for functions (Appendix 1 of the Constitution).
11. The Director of Resources shall participate in all financial negotiations with Government departments, local or public authorities, except to the extent that the Director of Resources indicates otherwise.
12. The Director of Resources may require to be involved in any matter which appears to the Director to involve questions relating to the proper administration of the Council's financial affairs.

### **Accounting Systems / Accounting Records**

13. All accounting systems, procedures and supporting accounting records shall be in a form approved by the Director of Resources.
14. The written approval of the Director of Resources shall be required before the implementation of any new systems or procedures for the maintenance of financial records or records of assets and liabilities or any changes to such systems.
15. Chief Officers shall ensure that accounting systems and procedures approved by the Director of Resources are observed.

16. Financial records and records of assets and liabilities shall be retained for such period as the Director of Resources may prescribe.

### **Audit**

17. The Council's responsibilities under Regulation 6 of the Accounts and Audit Regulations 2003 as updated from time to time are delegated to the Director of Resources. The Director of Resources shall maintain an adequate and effective system of internal audit, which has authority for such purpose:
  - a) to enter any land, building, vehicle or plant owned or used by the Council;
  - b) to have access at all times to all records, documents or correspondences, including any stored by mechanical, electric or electronic means;
  - c) to possess or to take copies of any record, document or correspondence;
  - d) to require any information and explanation from any member or officer of the Council; and
  - e) to have direct reporting access to the Audit and Governance Committee, in accordance with the assignment of responsibility of functions to the Committee (Appendix 1) or as the Chief Internal Auditor deems appropriate.
18. A Chief Officer, or any other member of staff or member of the County Council, shall immediately inform the Chief Internal Auditor of any loss or financial irregularity or suspected irregularity, or of any circumstances which may suggest the possibility of such loss or irregularity, including any affecting cash, stores or other property of the Council. The Director of Resources, having been consulted by the Chief Internal Auditor, shall then determine the action to be taken.

### **Budget Responsibilities**

19. The Council shall determine an annual budget, which will include the annual revenue budget and the capital programme. The Council will issue a precept. The annual budget shall be allocated to Chief Officers in accordance with the functions delegated. Such allocations shall be cash limited. Following the Council's annual budget decision, together with the determinations made in pursuance of Financial Regulation 21, the Director of Resources shall publish a guide to the deployment of the capital and revenue resources of the County Council.
20. Each Chief Officer identified as being responsible for managing budgets identified in accordance with financial regulation 19 above shall be accountable to the Cabinet for the allocated resources.
21. Chief Officers, in consultation with the Director of Resources, shall determine detailed budgets for the deployment of resources allocated and

may incur expenditure on, and shall collect income in respect of, the budgets for which they are accountable. All spending must be on items within the approved Policy Framework and any other approved policy and shall be contained within approved cash limits, except to the extent that the provisions for urgent decisions as set out in the Budget and Policy Framework Rules, allow expenditure which is contrary to or not wholly in accordance with the budget or policy framework.

22. Chief Officers may delegate budgets to officers within their Directorates. Such delegations shall be formal and shall be documented. Delegation of budgets may only be made in a manner which reflects the delegation of management and decision making responsibilities. Notwithstanding this, Chief Officers will remain accountable for the entire budget delegated to them.
23. Chief Officers shall make arrangements to monitor and manage budgets for which they are accountable. The Director of Resources shall monitor the arrangements made by Chief Officers for implementing budgetary control and shall ensure that there are sound systems of budgetary control. The Cabinet shall receive a report, prepared jointly by the relevant Chief Officer and the Director of Resources, commenting on financial performance to date.
24. A proposal of a Chief Officer to re-deploy revenue or capital resources (virement) shall be approved in the following manner:

<b>Approval Level</b>	<b>Value of Proposal £000</b>
(a) Chief Officer(s) jointly with Director of Resources	Up to 200
(b) Chief Officer(s) jointly with Director of Resources and in consultation with the relevant Cabinet Member with Responsibility	over 200 up to 500
(c) Cabinet	over 500.

25. A proposal to re-deploy revenue or capital resources approved in accordance with Financial Regulation 24 shall be included in the Report on financial performance required to be submitted to each meeting of the Cabinet by virtue of Financial Regulation 23.
26. Any proposal to re-deploy revenue or capital resources approved in accordance with Financial Regulation 24(b) will be reported to the Leader of the Group(s) not forming part of the ruling administration.
27. Chief Officers must inform the Director of Resources, and report to the Cabinet any actual or anticipated shortfall or excess in the allocation of resources to services. The Cabinet shall issue such instructions as may be appropriate in the circumstances.

28. Chief Officers may make arrangements for budget holders to submit proposals for the carry forward from one financial year to the next of up to two percent of budget. The joint approval of the relevant Chief Officer and the Director of Resources shall be required before any such proposal is implemented. No approval shall be granted which would cause any cash limited allocation to be exceeded. School Governing Bodies may carry forward balances in accordance with the Council's scheme for financing Schools.
29. A Chief Officer may submit proposals for the better use of resources between financial years. These may involve under-spending an allocation and carrying forward the balance to the following financial year; or overspending an allocation and deducting the amount overspent from the following year's allocation.
  - a) The Director of Resources shall have authority to approve such proposals up to the value of £100,000;
  - b) Proposals for an amount exceeding £100,000 shall be recommended to the Cabinet jointly by the Chief Officer and the Director of Resources for determination.

### **Budget Preparation**

30. All budgets shall be prepared in accordance with paragraph 2 of the Budget and Policy Framework Rules (Appendix 6 of the Constitution) and in accordance with a timetable and format determined by the Director of Resources and published in the Cabinet's Forward Plan of decisions. Budget reports shall be prepared for presentation to the Cabinet in accordance with the following provisions.
31. Each Chief Officer, jointly with the Director of Resources (having consulted with the relevant Cabinet Members with Responsibility) shall report to the Cabinet initial proposals to deploy revenue and capital resources during the following financial year.
32. Each Chief Officer, jointly with the Director of Resources (having consulted with the relevant Cabinet Members with Responsibility) shall report to the Cabinet initial proposals for capital schemes to be included in a draft capital programme covering the medium term for approval by the Council. No schemes shall be proposed unless they are in accordance with Council's Capital Investment Strategy.
33. The Cabinet will consider a report on the Council's financial circumstances and will consult on its initial proposals including with the Overview and Scrutiny Performance Board and will take into account comments made in drawing up firm proposals to the Council, including the level of the precept to be set for the following financial year.

### **Procurement of Works, Goods, Materials and Services.**

34. The procurement of works, goods, materials and services shall be made in accordance with the Procurement Strategy, the Council's Contract Standing Orders and the Procurement Code.
35. To the extent that Standing Orders give Chief Officers freedom to enter contracts in such manner as seems to the Chief Officer to be appropriate and subject to the provisions of Financial Regulation number 36, each Chief Officer shall establish, in writing, detailed arrangements for the handling of such contracts. Such arrangements may make different provision for:
  - a) contracts of a different category;
  - b) contracts of a different value; and
  - c) different Approved Officers,and in doing so shall have due regard to the need to obtain best value.
36. Chief Officers shall not have authority to enter any contract involving a finance or operating lease or a hire purchase arrangement without the approval of the Director of Resources.
37. An official order form, approved by the Director of Resources,, shall be used when entering any contract (as defined by Standing Orders), except where the nature of the transaction makes it inappropriate to do so. Chief Officers shall maintain lists of officers approved to authorise orders, specifying any limits on the level or scope of the approval.

### **Payment for Works, Goods, Materials and Services.**

38. The Director of Resources shall make arrangements for the examination, verification and certification of invoices and other vouchers for payment. Each Chief Officer shall send a list of the names of officers empowered to authorise such documents and electronic orders processed through the Council's financial system to the Director of Resources, together with specimen signatures.
39. The Director of Resources may provide sums of money for such officers as may need them for the purpose of defraying County Council expenditure.
40. Where any contract makes provision for part payment upon formal certification of part performance, such payments shall be made by the Director of Resources only on certificates issued by persons authorised by or on behalf of the Council for that purpose in connection with that contract.

### **Payments to Employees and Former Employees**

41. Payment to all employees and former employees of all salaries, wages, pensions, allowances, gratuities, emoluments, and any other sums

payable upon the termination of employment, including any redundancy payment, shall be made under arrangements controlled by the Director of Resources.

42. Chief Officers shall notify the Director of Resources (in the form prescribed) of all appointments, terminations of employment, absences and any other changes which may affect the pay or pension of present and past employees.

### **Income**

43. The Director of Resources shall control the arrangements for the proper recording of all sums due to the Council and for the prompt and proper accounting for all cash, including its collection, custody, control and deposit.
44. All official receipt forms, receipt books, tickets and other documents of a similar nature shall be ordered, controlled and issued by the Director of Resources.
45. No amount due to the Council, once established, shall be discharged otherwise than by payment in full, or by writing-off the whole amount due, or an unpaid portion thereof. No amount due shall be written off except with the approval of the Director of Resources after consultation with the appropriate Chief Officer. Any such approval shall be shown in the accounting records of the Council.
46. The Director of Resources shall maintain a register of all debts written off in pursuance of Regulation 45.
47. Where any amount recoverable in any court is due to the Council and remains unpaid after payment has been formally demanded in writing by the Head of Legal and Democratic Services, proceedings may be instituted by the Head of Legal and Democratic Services without further reference to the Cabinet unless the Chief Officer responsible, the Director of Resources or the Head of Legal and Democratic Services wishes the matter to be referred.

### **Banking**

48. The Director of Resources shall make banking arrangements on behalf of the Council. No arrangements shall be made with the Council's bankers and no banking, building society, National Giro or similar account shall be operated, except by or under the authority of, the Director of Resources.

### **Borrowings, Other Capital Financing and Investments**

49. The Director of Resources shall be the Council's registrar of stocks, bonds and mortgages.
50. All borrowings shall be effected in the name of the Council.



51. a) The Council adopts the key recommendations of CIPFA's Treasury Management in the Public Services Code of Practice as described in section 4 of that code.
- b) The Director of Resources will create and maintain, as the cornerstones for effective treasury management:
- i) a treasury management policy statement stating the policies and objectives of its treasury management activities
  - ii) suitable treasury management practices setting out the manner in which the organisation will seek to achieve those policies and objectives, and prescribing how it will work and control those activities.
52. a) The Director of Resources will report to the Council on its treasury management policies, practices and activities and as a minimum will submit an annual strategy and plan, including an investment strategy in advance of the year, and an annual report after its close, in the form prescribed in its Treasury Management practices.
- b) The Director of Resources will take all executive and administrative decisions relating to treasury management and in so doing will act in accordance with the Council's budget and policy framework and Treasury Management practices and CIPFA's Standard of Professional Practice on Treasury Management. The Director of Resources will report from time to time to the Cabinet on the implementation and monitoring of the treasury management policies and practices, including the investment strategy.
53. All investments of monies under its control shall be made in the name of the Council or in the name of nominees approved by the Cabinet.
54. All money within the jurisdiction of the Council shall be aggregated for the purposes of Treasury Management and be under the control of the Director of Resources, except as procedures issued under these regulations may from time to time provide.
55. All securities (other than title deeds of land or buildings) the property of or in the name of the Council or its nominees shall be held in the custody of the Director of Resources, the Council's bankers, or the Pension Fund Managers as appropriate.

#### **Trustees, Receivers, Appointees and Agents**

56. All trust funds shall, wherever possible, be in the name of the Council and shall be operated in accordance with arrangements made by the Director of Resources.

57. All officers acting as trustees by virtue of their official position shall deposit all securities relating to the trust with the Director of Resources, unless the deed provides otherwise.
58. The Director of Adult and Community Services and the Director of Children's Services may delegate any responsibilities associated with an appointment made by the Court of Protection as receiver in respect of individuals unable to manage their own financial affairs by virtue of mental disorder as defined in Section 1 of the Mental Health Act 1983.
59. The Director of Adult and Community Services and the Director of Children's Services shall nominate in writing an officer or officers with authority to apply for appointment by the Secretary of State to act on behalf of individuals unable to act by reason of mental or other incapacity, in the exercise of rights under the Social Security Act. No other person, by virtue of their official position, may apply to act as an appointee.
60. The Director of Adult and Community Services may not delegate any responsibilities associated with an appointment as an agent authorised to cash Social Security benefit for a person in accommodation provided under Part III of the National Assistance Act 1948. No other person, by virtue of their official position, may act as an agent for these purposes except with the express authorisation of the Director of Adult and Community Services.

### **Assets**

61. Chief Officers shall be responsible for the security of all assets under their control.
62. Assets include land, property, money, stocks, stores, furniture, equipment and electronic data.
63. Records of these assets shall be maintained in a form and to an extent approved by the Director of Resources.
64. Where it is necessary for an employee of the Council to take custody of property which is not the property of the Council, that employee shall ensure that a complete inventory is prepared and that arrangements are made to secure the safe custody of each item of such property. The Director of Resources should be informed of any new insurable risk.

### **Insurance**

65. The Director of Resources shall effect, or authorise the effect of, all insurance cover, maintain a register of such insurance and, except to the extent that the Director indicates otherwise, in writing, submit, negotiate and settle all claims made by or against the Council in pursuance of such cover.
66. The Director of Resources shall report to the Cabinet not less than once in every two years on the insurance strategy for the authority.

67. Chief Officers shall:
- a) notify the Director of Resources of the extent and nature of all new insurable risks and any alterations affecting existing insurable risks.
  - b) Provide the Director of Resources with all documents including witness evidence to enable investigation of a claim/potential claim as required.
68. Except to the extent that the Director of Resources indicates otherwise, each Chief Officer shall inform the Director of Resources as soon as practicable of any fire, explosion, flood, accident, loss, or other occurrence affecting the property of the Council or property held by the Council and shall, if required by the Director of Resources, arrange for an estimated cost of making good the damage caused thereby.
69. Except to the extent that the Director of Resources indicates otherwise, each Chief Officer shall inform the Director of Resources of any occurrence involving:
- a) death of, or injury to, any employee of the Council, any Councillor, or any contractor or sub-contractor of the Council, whilst on Council business.
  - b) the death of, or injury to, any person where such death or injury occurred on any property owned or used by the Council, or was occasioned by the conducting of the Council's undertaking:
- and shall complete any necessary documentation as required by the Director of Resources.

### **Ex Gratia Payments**

70. Subject to compliance with any statutory provisions, a Chief Officer (in consultation with the Head of Legal and Democratic Services), has authority to make ex gratia payments up to a limit of £5000. Where the amount exceeds £5000 the Cabinet or Appointments etc Panel may approve an ex gratia payment on the joint recommendation of the relevant Chief Officer, the Head of Legal and Democratic Services and the Director of Resources.

### **Preparation of Statutory Financial Statements**

71. The Director of Resources shall make the necessary arrangements to facilitate the prompt preparation and completion of the final accounts of the Council at the end of each financial year. Chief Officers will assist the Director of Resources by ensuring compliance with those arrangements.

### **Applications and Claims for Grant or Subsidy**

72. Before any application or subsequent claim for the payment of grant or subsidy is submitted to any Government department, it shall be sent to the

Director of Resources for examination and certification. The approval of the Director of Resources shall be required before any bid or application or claim for grant or subsidy in respect of any revenue or capital initiative is submitted to any body or organisation.

**ARTICLES OF THE CONSTITUTION**  
**September 2012**

## ARTICLES OF THE CONSTITUTION

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## **ARTICLE 1 – THE CONSTITUTION**

### **1.1 The Constitution**

- (a) The Articles, and all appendices, comprise the Constitution of Worcestershire County Council.
- (b) The Council has adopted executive arrangements as the basis for its Constitution. Following public consultation, it has adopted the 'new style' Leader and Cabinet Executive (England) model with effect from 7 June 2009. The Constitution and particularly the following parts of it set out the executive arrangements:
  - (i) Article 6 (The Leader of the Council and the Cabinet) and Appendix 3 (the Cabinet Procedure Rules).
  - (ii) Article 7 (Decision- Making) and Appendix 5 (Access to Information Procedure Rules).
  - (iii) Article 8 (Overview and Scrutiny Arrangements) and Appendix 4 (Overview and Scrutiny Procedure Rules).
  - (iv) Appendix 1 (Scheme of Assignment of Responsibility for Functions).

### **1.2 Powers of the County Council**

The Council will exercise all its powers and duties in accordance with the law and this Constitution.

### **1.3 Purpose of the Constitution**

The purpose of the Constitution is to:

- (a) enable the County Council (in partnership with citizens, businesses and other organisations as appropriate) to provide broad leadership to and support for the communities of Worcestershire to improve their economic social and environmental well-being;
- (b) support the involvement of citizens in the process of local authority decision-making;
- (c) help councillors represent their constituents more effectively;
- (d) make clear how the Council is to operate, and enable decisions to be taken efficiently and effectively;
- (e) create a rigorous means by which decision-makers can be held to public account;

- (f) ensure that no-one will formally review or scrutinise a decision in which they have been directly involved
- (g) ensure that those responsible for decision-making are clearly identifiable to local people and that they explain the reasons for decisions; and
- (h) provide a means of improving the delivery of services to the community to meet the County Council's vision, as expressed in the policy themes in the Council's Corporate Plan/Sustainable Community Strategy.

#### **1.4 Interpretation and Review of the Constitution**

Where the Constitution permits the Council to choose between different courses of action, the Council will always choose that option which it thinks is closest to the purposes stated above.

The Council will monitor and evaluate the operation of the Constitution as set out in Article 15.

#### **1.5 Previous Policies/Decisions**

Unless negated by a provision of the Constitution, any decision made by or on behalf of the County Council and any plan, budget, policy or strategy approved by or on behalf of the County Council prior to the coming into effect of the Constitution shall have effect and apply as if it had been made in accordance with the requirements of the Constitution and shall remain in force as a decision or plan or budget or policy or strategy under the Constitution unless and until and to the extent that it is amended varied or replaced.

#### **1.6 Interpretation**

Throughout this Constitution references to the masculine gender shall be taken to mean both the masculine and the feminine gender and expressions in the singular shall include, where appropriate, the plural.



## ARTICLE 2 – MEMBERS OF THE COUNTY COUNCIL

### 2.1 Composition and eligibility

- (a) **Composition** The Council has 57 members, otherwise called councillors, as may be elected by the voters of each electoral division within the county in accordance with a scheme approved by the Electoral Commission and implemented by statutory order.
- (b) **Eligibility Legislation** governs the eligibility of candidates to be elected but in summary only registered voters of the county area or those living, working or occupying land there will be eligible to be elected to the office of councillor.

### 2.2 Election and terms of councillors

The regular election of councillors will be held on the first Thursday in May every four years from 2009 unless alternative legal provision is made. The terms of office of councillors will start on the fourth day after being elected and will finish on the fourth day after the date of the next regular election. A by-election may be held if a vacancy occurs in a division between each regular election, except if such vacancy occurs within 6 months of the date of the next regular election.

*(Note - the next regular election will be held in May 2013).*

### 2.3 Roles and functions of all councillors

#### (a) Key roles

All councillors will:

- (i) collectively be the ultimate policy-makers as set out in the Constitution and carry out strategic and corporate management functions;
- (ii) contribute to the good governance of the area and encourage community participation and citizen involvement in decision- making;
- (iii) effectively represent the interests of their electoral divisions and of individual constituents and bring their views into the Council's decision-making process;
- (iv) respond to constituents' enquiries and representations fairly and impartially;
- (v) participate in the governance and management of the Council, including scrutiny arrangements as appropriate;
- (vi) be available to represent the Council on other bodies; and

- (vii) maintain the highest standards of conduct and ethics in the conduct of the business of the Council or their office and comply with their Code of Conduct.

**(b) Rights and duties**

- (i) Councillors will have such rights of access to such documents and information as are necessary for the proper discharge of their functions and in accordance with the law;
- (ii) Councillors will not make public information which is confidential or exempt without the consent of the Council or divulge information given in confidence to anyone other than a Councillor or officer entitled to know it; and
- (iii) for these purposes, “confidential” and “exempt” information are defined in legislation and the Access to Information Rules in Appendix 5 of this Constitution.

**(c) Role Descriptions**

The County Council has agreed role descriptions for Councillors and the various office holders in the County Council and will keep these under review. These are contained, together with any protocols, in Appendix 12.

**2.4 Conduct**

Councillors will at all times observe the Members’ Code of Conduct as adopted from time to time and any Protocol on Member/Officer Relations as adopted from time to time (set out in Appendices 10 and 12 of this Constitution) and the conduct provisions of the Procedural Standing Orders (set out in Appendix 2) at meetings to which they apply.

**2.5 Allowances**

Councillors will be entitled to receive allowances in accordance with the Councillors’ Allowances Scheme set out in Appendix 13 of this Constitution.

## **ARTICLE 3 – CITIZENS AND THE COUNTY COUNCIL**

### **3.1 Citizens' rights**

Citizens have the following rights. Their rights to information and to participate are explained in more detail in the Access to Information Rules in Appendix 5 of this Constitution:

#### **(a) Voting and petitions**

Citizens on the electoral roll for the County area have the right to vote and to sign a petition to request a referendum for an elected mayor form of Constitution in accordance with legal provisions.

#### **(b) Information**

Citizens have the right in accordance with the Access to Information rules and the law to:

- (i) attend meetings of the County Council, the Cabinet and Committees of the Council (as defined in Article 7 and the law) except where confidential or exempt information is likely to be disclosed, and the meeting or agenda item is therefore closed to the press and public;
- (ii) attend meetings of the Cabinet when 'key decisions' are being taken, except where confidential or exempt information is likely to be disclosed, and the meeting or agenda item is therefore closed to the press and public;
- (iii) find out from the Forward Plan what key decisions will be taken by the Cabinet and when;
- (iv) see reports and background papers, and any records of decisions made by the Council, the Cabinet, and Committees of the Council, which are open to the public; and
- (v) inspect and object to the Council's accounts and make their views known to the external auditor.

#### **(c) Participation**

Citizens have the right to participate at meetings of the Council, the Cabinet, and Committees of the Council (unless different arrangements are made in particular cases) by the presentation of a petition, submission of a question or the making of comments in accordance with the procedure set out in the Council's Procedural Standing Orders (Appendix 2). Separate arrangements exist for addressing the Planning and Regulatory Committee in respect of planning applications.

The Council encourages Citizens and any other non-councillors with relevant expertise and knowledge to be involved and participate as part of its overview and scrutiny arrangements.

**(d) Complaints**

Citizens have the right to complain to:

- (i) the Council itself under its Corporate Representations Procedure (Comments, Compliments and Complaints);
- (ii) the Ombudsman after using the Council's Corporate Representations Procedure (Comments, Compliments and Complaints);
- (iii) the Monitoring Officer/Standards and Ethics Committee of the Council about a breach of the Members' Code of Conduct.

**3.2 Citizens' responsibilities**

Citizens must not be violent, abusing or threatening to councillors or officers and must not wilfully harm things owned by the County Council, councillors or officers.

**3.3 Equal Opportunities**

The County Council values the rich diversity of Worcestershire's local community and is committed, through effective dialogue with key interest groups, to promoting equal opportunities for all regardless of social, ethnic or economic background and to ensure effective compliance with equal opportunity employment practices within the Council.

## ARTICLE 4 – THE FULL COUNCIL

### 4.1 Functions

- (a) There are certain functions the responsibility for which and/or the exercise of which the Council must, by law, reserve to itself or has chosen to do so. These are contained in Appendix 1 which sets out the assignment of responsibility for the functions not only of the Council itself but also for executive functions, overview and scrutiny functions and other non-executive functions.
- (b) In summary, the main functions which the Council itself carries out are:
- (i) adopting and changing the Articles of the Constitution or authorising such adoptions and changes;
  - (ii) approving the 'Policy Framework' of the Council (meaning the plans and strategies which are required to be adopted by Council under the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 as amended or those which may be and have been so adopted as part of its policy framework from time to time, as set out in Appendix 1), the Budget, and Members' codes of conduct;
  - (iii) appointment of the Chairman, Vice-Chairman, and Leader of the Council;
  - (iv) establishing committees and their terms of reference for functions which are not the responsibility of the executive and appointing Chairmen and Vice-Chairmen of them, and appointing other positions in accordance with the Constitution of the Council;
  - (v) adopting a Councillors' allowances scheme;
  - (vi) making and amending byelaws, promoting or opposing local legislation in Parliament;
  - (vii) considering in certain circumstances overview and scrutiny reports;
  - (viii) any other matter which by law must be reserved to the Council or which maybe and has been so reserved.

NB: The functions of full Council are set out in more detail in Appendix 1. As a result of the adoption of executive arrangements under the Local Government Act 2000 as amended, full Council or its committees cannot deal with matters which are the responsibility of the Executive (i.e. Leader and Cabinet) referred to as Executive functions. Non-Executive functions are those which by law must not be the responsibility of the Executive. Local Choice functions are those where there

is a choice as to whether the Executive or other part of the Council exercise them.

#### **4.2 Council Meetings**

There are three types of County Council meeting:

- (a) the annual meeting;
- (b) ordinary meetings;
- (c) extraordinary meetings;

and they will be conducted in accordance with the Procedural Standing Orders in Appendix 2 of this Constitution.

## **ARTICLE 5 – THE CHAIRMAN OF THE COUNTY COUNCIL**

### **5.1 Role and function of the Chairman**

- (a) The Chairman and Vice-Chairman of the County Council will be elected by the Council annually.
- (b) The Chairman of the County Council, and in his/her absence, the Vice-Chairman, will have the following roles and functions:
  - (i) to be the Civic Leader of Worcestershire;
  - (ii) to promote the interests and reputation of the County Council and of Worcestershire as a whole, to act as an ambassador for both, to foster community identity and pride and to promote public involvement in the Council's activities;
  - (iii) to undertake civic community and ceremonial functions;
  - (iv) to uphold and promote the purposes of the Constitution;
  - (v) to preside over meetings of the Council so that its business can be carried out fairly and efficiently and with regard to the rights of councillors and the interests of the community;
  - (vi) to ensure that the Council meeting is a forum for the debate of matters of concern to the local community and a place at which members hold the Leader and Cabinet to account;
  - (vii) to determine any matter referred to him/her in relation to matters requiring an urgent decision pursuant to paragraph 17.16 of Appendix 4 (call-in), paragraph 16 of Appendix 5 (urgent decisions ) or paragraph 4 of Appendix 6 (urgent decisions outside budget and policy framework) of this Constitution;
  - (viii) to serve on any other bodies either within or outside the Council as appropriate or attend related events and conferences.
- (c) Neither the Chairman nor Vice-Chairman of Council may be appointed to the Cabinet.
- (d) Neither the Chairman nor Vice-Chairman of Council may be the Chairman of any Committee of the Council.

## **ARTICLE 6 – THE LEADER OF THE COUNCIL AND CABINET**

### **6.1 Role**

The Council has adopted the Leader and Cabinet Executive (England) governance model for its executive arrangements. The Leader of the Council is responsible for the discharge of such functions as are the responsibility of the Executive of the Council i.e. all functions which by law must be the responsibility of the Executive or which are not the responsibility of any other part of the Council whether by law or under this Constitution ('executive functions'). The Leader may make such arrangements as the Leader thinks fit from time to time for the delegation and discharge of executive functions.

### **6.2 Form and Composition of Cabinet**

- (a) Leader of the Council is responsible for the appointment of the Cabinet which will consist of the Leader and not less than 2 nor more than 9 other councillors, as the Leader shall determine. The Leader will allocate areas of political responsibility to members of the Cabinet as the Leader shall determine from time to time. The Leader may change the size of Cabinet (within the above parameters) and appointments to it at any time. Areas of political responsibility are set out in Appendix 1.
- (b) One of the members of the Cabinet will be designated by the Leader as Deputy Leader, to hold office until the end of the Leader's term of office, unless the Deputy Leader resigns, ceases to be a member, is disqualified, or is removed by the Leader at any time.
- (c) If for any reason the Leader is unable to act, or the office of Leader is vacant, the Deputy Leader must act in the Leader's place. If the Deputy Leader is unable to act or the office is vacant, the Cabinet must act in the Leader's place or arrange for a member of the Cabinet to do so.
- (d) The Cabinet is not a Committee of the Council. Its composition is not required to be in accordance with the political balance of the Council.
- (e) The Cabinet collectively, individual members of the Cabinet or officers will be responsible for the discharge of such functions of the executive as are allocated by the Leader of the Council from time to time (set out in Appendix 1).



### **6.3 Leader**

The Leader of the Council will be a councillor elected to that position by the County Council. The Leader will hold office until the first meeting of the Council following the next regular election unless:

- (a) he or she resigns from the office of Leader; or
- (b) he or she is disqualified from being or remaining a councillor; or
- (c) he or she is no longer a councillor of the Council for any reason; or
- (d) he or she is removed from office by a ordinary resolution on notice by the County Council at any time during the Leader's term of office (and in which case Council will elect a new Leader at that or a subsequent meeting).

### **6.4 Other Cabinet Members**

- (a) Only councillors may be appointed to the Cabinet by the Leader as above and there may be no co-optees and no Deputies nor Substitutes for Cabinet Members upon the Cabinet.
- (b) Neither the Chairman nor Vice-Chairman of the Council will be appointed to the Cabinet. Members of the Cabinet will not serve on the Overview and Scrutiny Performance Board or Scrutiny Panels or exercise Overview and Scrutiny functions.
- (c) A Cabinet Member shall hold office in the Cabinet until:
  - (i) he or she resigns from office; or
  - (ii) he or she is disqualified from being or remaining a member or is no longer a councillor for any reason; or
  - (iii) he or she is removed from office by the Leader of the Council.
- (d) If any Cabinet member, including the Leader, fails for 6 months to attend any meeting of the Cabinet, or any committee of it, then unless the failure was due to some reason approved by or on behalf of the Council, he/she shall cease to be a member of the Council in accordance with the provisions of the Local Government Act 1972.

*[Note – any councillor becomes disqualified if he or she fails for 6 months to attend any meeting of the authority without prior approval as above]*

## **6.5 Cabinet Members with Responsibility**

- (a) The Leader will decide on the number, and extent of areas of responsibility, of Cabinet members and will decide to which members of the Cabinet such areas of responsibility shall be allocated; and
- (b) The Leader will decide the extent to which responsibility for formal decision-making for functions of the executive is held collectively by the Cabinet, by individual members of the Cabinet or Officers.

## **6.6 Role Description / Protocols**

Role descriptions and protocols governing how Cabinet Members with Responsibility should carry out their responsibilities are contained in Appendix 12.

## **6.7 Proceedings of the Cabinet**

Proceedings of the Cabinet shall take place in accordance with the Cabinet Procedure Rules set out in Appendix 3 of this Constitution.

## **6.8 Responsibility for functions**

- (a) Appendix 1 sets out the functions assigned to the Cabinet and officers;
- (b) Unless delegated to an individual officer or Cabinet member the Leader may determine that the responsibility of the Cabinet for the exercise of an executive function and decision-making is collective;
- (c) The Leader may at any time delegate any responsibility of the Leader or the Cabinet for the exercise of an executive function to any Cabinet Member with Responsibility or any other individual member of the Cabinet, or officer;
- (d) The Leader or Cabinet, in relation to an executive function, may specify that a particular decision which would otherwise fall within a power delegated to an officer in accordance with the Scheme of Delegation to Officers shall not be exercised by that officer but shall be reserved or referred to the Leader, Cabinet or an individual Cabinet member for that decision to be made.
- (e) An officer may decide not to exercise any executive function delegated to him/her and invite the Leader or Cabinet to take a particular decision in relation to that function.

## **ARTICLE 7 – DECISION-MAKING**

### **7.1 Responsibility for decision-making**

The Council will issue and keep up to date a record of what part of the Council or individual has responsibility for particular types of decisions or decisions relating to particular areas or functions which are not the responsibility of the executive. The Leader will do the same with respect to executive functions. These records are collectively set out in Appendix 1 of this Constitution (scheme of assignment of responsibility for functions) and may change from time to time.

### **7.2 Principles of decision- making**

All decisions of the Council will be made in accordance with the following principles:

- (a) due regard to all relevant and material considerations and without regard to any irrelevant considerations;
- (b) where appropriate, the realistic evaluation of alternatives;
- (c) proportionality (i.e. the action must be proportionate to the desired outcome);
- (d) due consultation and the taking of professional advice from officers;
- (e) respect for human rights and equalities;
- (f) a presumption in favour of openness;
- (g) clarity of aims and desired outcomes; and
- (h) reasons being given for the decision, as appropriate.

### **7.3 Key decisions**

- (a) A 'key decision' is one made in the exercise of an executive function which is likely:
  - (i) to result in the County Council incurring expenditure which is, or the making of savings which are, significant having regard to the Council's budget for the service or function to which the decision relates; or
  - (ii) to be significant in terms of its effects on communities living or working in an area comprising two or more electoral divisions in the County area.
- (b) The Leader, Cabinet member or Cabinet may only make a key decision in accordance with the requirements of the Cabinet

Procedure Rules set out in Appendix 3 of this Constitution and the provisions of paragraphs 13 to 24 of the Access to Information Rules set out in Appendix 5 of this Constitution.

- (c) An officer may be specifically delegated authority to take a key decision but in general a key decision shall not constitute an action or decision taken by a Chief Officer under delegated powers which is in the furtherance of the day to day administration of the service for which the Chief Officer is responsible.

#### **7.4 Decision- making by the full Council**

Subject to Article 7.9 the County Council meeting will follow the Procedural Standing Orders set out in Appendix 2 of this Constitution when considering any matter.

#### **7.5 Decision- making by the Cabinet**

Subject to Article 7.9, the Cabinet will follow those parts of the Procedural Standing Orders set out in Appendix 2 which may apply to it and the Cabinet Procedure Rules set out in Appendix 3 of this Constitution when considering any matter. The procedures relating to the taking of key decisions are set out in paragraphs 13 to 24 of Appendix 5 of this Constitution (Access to Information Rules).

#### **7.6 Overview and Scrutiny**

- (a) Subject to Article 7.9, the Overview and Scrutiny Performance Board and the Health Overview and Scrutiny Committee and the formal Overview and Scrutiny Panels as indicated in Article 8 will, when considering any matter, follow those parts of the Procedural Standing Orders set out in Appendix 2 of this Constitution which may apply to them, and the Overview and Scrutiny Procedure Rules set out in Appendix 4 of this Constitution.
- (b) The Overview and Scrutiny Performance Board and the Health Overview and Scrutiny Committee have no executive decision-making powers in relation to the functions within their scope, nor does any Overview and Scrutiny Panel or Task Group established by the Council or Overview and Scrutiny Performance Board.
- (c) Scrutiny Task Groups will follow those parts of the Overview and Scrutiny Procedure Rules set out in Appendix 4 as apply to them.

#### **7.7 Decision-making by other Committees established by the Council**

Subject to Article 7.9 other Council Committees (and any Sub-Committees) will follow those parts of the Procedural Standing Orders set out in Appendix 2 of this Constitution as apply to them. 'Committees' for the purposes of this Constitution comprise those Committees and Panels of the Council established under Articles 8, 9 and 10 and for the avoidance of doubt include the Overview and Scrutiny Performance

Board, the Health Overview and Scrutiny Committee, the Overview and Scrutiny Panels but not Scrutiny Task Groups nor Joint Committees operating under their own rules of procedure.

### **7.8 Decision-making by Officers**

Subject to Article 7.9 certain officers are empowered to take decisions on behalf of the County Council in accordance with the provisions of the Constitution and scheme of delegation to officers in Appendix 1 of this Constitution. These provisions relate to both Executive and non-executive functions.

### **7.9 Decision- making by Council bodies acting in a quasi-judicial or appellate capacity**

The Council, councillors, a councillor or an officer acting as a tribunal or as an appellate body or in a quasi-judicial manner or determining/considering (other than for the purposes of giving advice) the civil rights and obligations or the criminal responsibility of any person will proceed in accordance with the requirements of natural justice and the Human Rights Act 1998.

## ARTICLE 8 – OVERVIEW AND SCRUTINY ARRANGEMENTS

### 8.1 Establishment

- (a) The Council will appoint an Overview and Scrutiny Performance Board which will have the role and functions as set out in the scheme of assignment of responsibility for functions (Appendix 1);
- (b) The Council will appoint a Health Overview and Scrutiny Committee and four Overview and Scrutiny Panels as set out below. Their respective roles and functions are set out in the scheme of assignment of responsibility for functions (Appendix 1)
- Children and Young People Panel
  - Environment and Economy Panel Adult Care and Well-Being Panel
  - Resources Panel
- (c) The Overview and Scrutiny Performance Board will comprise a Chairman and Vice-Chairman and 6 other Councillors, one of whom will chair the Health Overview and Scrutiny Committee and four of whom will chair and lead the work of the Overview and Scrutiny Panels;
- (d) Places on the Overview and Scrutiny Performance Board, Health Overview and Scrutiny Committee and Overview and Scrutiny Panels will be allocated in accordance with the political balance of the Council;
- (e) The Chairman of the Overview and Scrutiny Performance Board will not be a member of a political group forming part of the ruling administration. The Chairman will not, however, hold the position of a Group Leader within the Council;
- (f) The Health Overview and Scrutiny Committee will comprise 14 Members. In addition to 8 County Councillors, each District Council within Worcestershire will nominate one member to serve and who will be entitled to vote. The Chairman will be a County Councillor appointed by the Council and the Vice-Chairman will be selected by District Council representatives from amongst the District Council representatives serving on the Committee and approved by Council;
- (g) The Overview and Scrutiny Panels will comprise 8 members. The Overview and Scrutiny Performance Board and Overview and Scrutiny Panels will co-opt in a voting capacity such non-councillors as required by law when dealing wholly or in part with education matters. Other non-councillors may be co-opted in a non-voting capacity as and when required;

- (h) All members (other than Cabinet Members) are, irrespective of political group, eligible to serve on the Overview and Scrutiny Performance Board, Health Overview and Scrutiny Committee, Overview and Scrutiny Panels or any Scrutiny Task Groups;
- (i) Any Scrutiny Task Group established by the Overview and Scrutiny Performance Board will be led by an identified member of the Overview and Scrutiny Performance Board. The Chairman of the Overview and Scrutiny Performance Board is not expected to lead a Scrutiny Task Group carrying out an in-depth scrutiny. The size of each Scrutiny Task Group will vary according to the purpose for which it is established and its membership shall be agreed by the Overview and Scrutiny Performance Board in consultation with leaders of the political Groups;
- (j) Scrutiny Task Groups will not be established as Committees of the Council for the purposes of the Council's Procedural Standing Orders or Access to Information Rules. Places on Scrutiny Task Groups need not be allocated strictly in accordance with the political balance of the Council. Instead, the principle of proportionality will be applied more flexibly to enable members with a particular knowledge or interest or commitment to take part in a particular scrutiny task;
- (k) The Chairman of the Overview and Scrutiny Performance Board and Lead Scrutiny Members will be appointed by Council;
- (l) No substitute membership is permitted on the Overview and Scrutiny Performance Board, Health Overview and Scrutiny Committee, Overview and Scrutiny Panels or Scrutiny Task Groups.

## **8.2 Proceedings and Reports**

- (a) The Overview and Scrutiny Performance Board, Health Overview and Scrutiny Committee and Overview and Scrutiny Panels will conduct their proceedings in accordance with those Procedural Standing Orders (Appendix 2 of this Constitution) as apply to them and in accordance with the Overview and Scrutiny Procedure Rules set out in Appendix 4 to this Constitution.
- (b) Scrutiny Task Groups will conduct their proceedings in accordance with those parts of the Overview and Scrutiny Procedure Rules set out in Appendix 4 as apply to them.
- (c) The outline Scrutiny Programme developed by the Overview and Scrutiny Performance Board will be approved from time to time by Council.
- (d) The Overview and Scrutiny Performance Board will submit an Annual Scrutiny Report to the Council as part of the overview and scrutiny arrangements.

### **8.3 General role**

The terms of reference of the Scrutiny bodies are set out in Appendix 1. In summary their role is to:

- (a) assist the Council and Leader and Cabinet in the development of its budget and policy framework or other policy matters;
- (b) review or scrutinise decisions or actions taken in connection with the discharge of any of the Council's functions; and
- (c) exercise call-in powers in respect of executive decisions not yet implemented in accordance with Appendix 4.



## **ARTICLE 9 – PLANNING, REGULATORY, AUDIT AND APPELLATE FUNCTIONS**

- 9.1** The Council will establish the **Planning and Regulatory Committee** which will carry out the functions set out in the scheme of assignment of responsibility for functions (Appendix 1). The Chairman and Vice-Chairman of the Committee will be appointed by the Council.
- 9.2** Membership of the Committee may include the member of the Cabinet who leads on strategic planning but such member would not normally be the Chairman of the Committee.
- 9.3** Every member who serves on the Planning and Regulatory Committee will undertake to abide by the Planning Code of Conduct. No member may serve on the Planning and Regulatory Committee unless and until they have undertaken training considered suitable by the Director of Resources.
- 9.4** The Council will establish the **Audit and Governance Committee** which will carry out the functions set out in the scheme of assignment of responsibility for functions (Appendix 1). The Chairman and Vice-Chairman will be appointed by the Council.
- 9.5** The Council will establish an **Appellate Panel** from which the Director of Resources will select a small number of members to form individual ad hoc panels which will carry out the functions set out in the scheme of assignment of responsibility for functions (Appendix 1).
- 9.6** Each individual panel will include independent persons where so required.
- 9.7** No member will serve on an individual panel who has had any prior involvement in the particular matter or decision being appealed. Whilst members of the Cabinet are not precluded from serving on individual panels, they will not serve on any panel involving an appeal against a decision of the Cabinet.
- 9.9** The Council will establish an **Appointments etc Panel** to which the Director of Resources will appoint individual members to ad hoc panels which will carry out the functions set out in the scheme of assignment of responsibility for functions (Appendix 1).

## **ARTICLE 10 – THE STANDARDS AND ETHICS COMMITTEE**

### **10.1 Composition**

- (a) The Council will establish a Standards and Ethics Committee with responsibility for promoting a high standard of conduct by members
- (b) A maximum of one member of the Cabinet (who shall not be the Leader of the Council) may be a member of the Standards and Ethics Committee and that member may not be the Chairman of the Committee;
- (c) The Committee will comprise 8 elected County Councillors appointed in accordance with the rules of political balance plus three independent non-voting co-optees (who are neither officer nor members of the Council , and who are ineligible to be the Chairman or Vice-Chairman of the Committee.
- (d) The Committee may establish ad hoc sub-committees as appropriate to deal with particular cases.

### **10.2 Role and Function**

The Standards and Ethics Committee and its Sub-Committees will carry out the roles and functions set out in the scheme of assignment of responsibility for functions (Appendix 1)

## **ARTICLE 11 – JOINT ARRANGEMENTS**

### **11.1 Arrangements to promote well being or statutory functions**

The Council (in respect of matters which are not Executive functions), or the Leader or the Cabinet (in respect of matters which are Executive functions or otherwise the responsibility of the Executive), in order to promote the economic, social or environmental well-being of its area or in pursuance of any statutory functions, may:

- (a) enter into arrangements or agreements with any person or body;
- (b) co-operate with, or facilitate or co-ordinate the activities of, any person or body; and
- (c) exercise on behalf of that person or body any functions of that person or body.

### **11.2 Joint arrangements**

- (a) The Council may establish joint arrangements with one or more local authorities to exercise functions which are not executive functions in any of the participating authorities, or to advise the Council. Such arrangements may involve the appointment of joint Committees with those other local authorities;
- (b) The Leader or Cabinet may establish joint arrangements with one or more local authorities or their executives to exercise functions which are executive functions. Such arrangements may involve the appointment of joint Committees with those other local authorities or their executives;
- (c) Subject to (d), the Leader or Cabinet may only appoint Cabinet members to such a joint Committee referred to in (b) and those members need not reflect the political composition of the Council as a whole;
- (d) The Leader or Cabinet may appoint members from outside the Cabinet to a joint Committee in the following circumstances:-
  - the joint Committee has functions for only part of the area of the authority, and that area is smaller than two-fifths of the authority by area or population. In such cases, the Leader or Cabinet may appoint to the joint Committee any Councillor who is a member for an electoral division which is wholly or partly contained within the area
  - the joint Committee is between a County Council and a single District Council and relates to functions of the executive of the County Council. In such cases, the Leader or Cabinet of the County Council may appoint to the joint Committee any Councillor

who is a member for an electoral division which is wholly or partly contained within the area;

- In both cases the political balance requirements do not apply to such appointments;
- (e) Details of any joint arrangements including any delegation to Joint Committees are set out in the scheme of assignment of responsibility for functions (Appendix 1) of this Constitution.

### **11.3 Access to Information**

The Access to Information Rules in Appendix 5 of this Constitution apply as follows:

- (a) If all the members of a Joint Committee are members of the executive in each of the participating authorities then its access to information regime is the same as that applied to the Cabinet by legislation (set out in Appendix 5 of this Constitution) unless specific alternative provision is made compliant with legislation.
- (b) If the joint Committee contains members who are not on the executive of any participating authority then the access to information rules in Part VA of the Local Government Act 1972 will apply ) unless specific alternative provision is made compliant with legislation.

### **11.4 Delegation to and from other local authorities**

- (a) The Council may delegate non-executive functions to another local authority or, in certain circumstances, the Executive of another local authority, or receive such delegations;
- (b) The Leader or Cabinet may delegate Executive functions to another local authority or the executive of another local authority in certain circumstances, or receive such delegations.

### **11.5 Contracting Out**

The Council (in respect of functions which are not Executive functions) and the Leader or Cabinet (in respect of Executive functions) may contract out to another body or organisation functions as legally permitted and which are subject to an order under Section 70 of the Deregulation and Contracting Out Act 1994, or under contracting arrangements where the contractor acts as the Council's agent under usual contracting principles provided there is no delegation of the Council's discretionary decision-making.

## **ARTICLE 12 - AREA ARRANGEMENTS**

- 12.1** The County Council is committed to developing 'Act Local in Worcestershire' which incorporates aspects of the Localism Act 2011. Full support is to be given to Members to carry out their Community Leadership role across the County, making connections in the community, supporting various community projects and informing the work of Worcestershire Partnership, District Local Strategic Partnerships and WCC priority of Community Leadership. The Member Advisory Group (MAG) has been set up to ensure member involvement in the development of continuing support.
- 12.2** The Council believes that given the diverse nature of the county area, it is not appropriate to apply the same prescriptive arrangements to each part of its area. Instead flexible arrangements are more appropriate based on or within the District Council boundaries involving, as appropriate, Parish and District Councils, the public and partners/stakeholders according to local circumstances. The presumption is that any such arrangements are purely consultative with no decision-making powers, but the Council does not preclude the delegation of decision-making powers if and when it deems it appropriate.

### **12.3 District Local Strategic Partnerships**

One County Councillor (except a Cabinet Member with Responsibility) will represent, on a non-political basis, the County Council on each District Local Strategic Partnership. Such Councillors will represent an electoral division within the area of the respective Local Strategic Partnership. Protocols for representation on Local Strategic Partnerships are contained in Appendix 12 of the Constitution.

## ARTICLE 13 - OFFICERS

### 13.1 Management structure

#### (a) General

The County Council may engage such staff (referred to as 'officers') as it considers necessary to carry out its functions.

#### (b) Chief Officers

- (i) The County Council may engage a Chief Executive and such Directors with corporate or service responsibilities as it considers necessary (collectively known as Chief Officers).

*(Note: The Council has agreed that the following officers be the Chief Officers of the County Council:*

*Chief Executive*

*Director of Adult and Community Services\**

*Director of Business, Environment and Community (from 1 October 2012)*

*Director of Children's Services*

*Director of Public Health (jointly with Health)\**

*Director of Resources*

*[the 2 posts become the Director of Adult Services and Health from April 2013]*

#### (c) Head of Paid Service, Monitoring Officer, Chief Financial Officer and Scrutiny Officer

The Council must appoint to these positions and designate the following posts as shown:

Chief Executive -	Head of Paid Service
Head of Legal and Democratic Services -	Monitoring Officer
Director of Resources -	Chief Financial Officer
Overview and Scrutiny Manager -	Scrutiny Officer

Such posts will have the functions described in Article 13.2 – 13.5 below.

#### (d) Structure

The Head of Paid Service will determine and publicise a description of the overall organisational structure of the Council showing the management structure. This is set out in Appendix 14 of this Constitution.

## **13.2 Functions of the Head of Paid Service**

### **(a) Discharge of functions by the Council**

The Head of Paid Service where he/she considers it appropriate to do so will report to full Council on the manner in which the discharge of the County Council's functions is co-ordinated, the number and grade of officers required for the discharge of functions and the organisation and proper management of officers.

### **(b) Restrictions on designation**

The Head of Paid Service may not be the Monitoring Officer.

## **13.3 Functions of the Monitoring Officer**

### **(a) Maintaining the Constitution**

The Monitoring Officer will maintain an up-to-date version of the Constitution and will ensure that it is widely available for inspection by members, staff and the public.

### **(b) Ensuring lawfulness and fairness of decision making**

After consulting the Head of Paid Service and Chief Financial Officer, the Monitoring Officer will report to the full Council (or to the Leader or Cabinet in relation to an executive function) if he/she considers that any proposal, decision or omission has given rise to or is likely to or would give rise to unlawfulness, or maladministration (if investigated by the Ombudsman). Such report will have the effect of stopping the proposal or decision being implemented until the report has been considered.

### **(c) Supporting the Standards and Ethics Committee**

The Monitoring Officer will contribute to the promotion and maintenance of high standards of conduct through provision of support to the Standards and Ethics Committee and its Sub-Committees.

### **(d) Receiving Reports**

The Monitoring Officer will receive and act on reports and decisions of the Standards and Ethics Committee or its Sub-Committees.

### **(e) Conducting investigations**

The Monitoring Officer will conduct or arrange investigations into matters referred for investigation and make reports or recommendations in respect of such investigations to the Standards and Ethics Committee or its Sub-Committees as appropriate.

(f) **Proper officer for access to information**

The Monitoring Officer will ensure that Executive function decisions, together with any reasons for those decisions and relevant officer reports and background papers are made publicly available as soon as practicable.

(g) **Advising whether Cabinet decisions are within the budget and policy framework**

The Monitoring Officer in consultation, as necessary, with the Chief Financial Officer will advise whether decisions of the Leader or Cabinet are in accordance with the budget and policy framework.

(h) **Providing advice**

The Monitoring Officer will in consultation, as necessary, with the Chief Financial Officer provide advice on the scope of powers and authority to take decisions, and concerning maladministration, financial impropriety, probity and budget and policy framework issues to all councillors and will support and advise councillors in their respective roles.

(l) **Restrictions on Designation**

The Monitoring Officer cannot be the Chief Financial Officer or the Head of Paid Service.

#### **13.4 Functions of the Chief Financial Officer**

(a) **Ensuring lawfulness and financial prudence of decision making**

After consulting the Head of Paid Service and the Monitoring Officer, the Chief Financial Officer will report to the full Council (or to the Leader or Cabinet in relation to an executive function) and the Council's external auditor if he/she considers that any proposal, decision or course of action will involve incurring unlawful expenditure, or is unlawful and is likely to cause a loss or deficiency or if the Council is about to enter an item of account unlawfully.

(b) **Administration of financial affairs**

The Chief Financial Officer will have responsibility for:-

- (i) the proper administration of the financial affairs of the Council, under Section 151 of the Local Government Act 1972 and Section 114 of the Local Government Finance Act 1988; and
- (ii) conducting a continuous internal audit of the financial affairs of the Council as required by the Accounts and Audit (England)



Regulations 2011; for maintaining an adequate and effective system of internal audit as required by those Regulations; and for reporting to the Audit and Governance Committee on matters within its remit.

(c) **Contributing to corporate management**

The Chief Financial Officer will contribute to the corporate management of the County Council, in particular through the provision of professional financial advice.

(d) **Providing advice**

The Chief Financial Officer will in consultation, as necessary, with the Monitoring Officer provide advice in relation to financial matters on the scope of powers and authority to take decisions and concerning maladministration, financial impropriety, probity and budget and policy framework issues to all councillors and will support and advise councillors and officers in their respective roles.

(e) **Giving financial information**

The Chief Financial Officer will provide financial information relating to the Council to the media, the public and the community.

**13.5 (a) Function of the Scrutiny Officer**

- (i) to promote the role of the Council's Overview and Scrutiny Committees;
- (ii) to provide support to those committees and members of them;
- (iii) to provide support and guidance to all members and officers of the Council in relation to the functions of those committees.

(b) **Restrictions on Designation**

The Scrutiny Officer cannot be the Head of Paid Service, Monitoring Officer or Chief Financial Officer.

**13.6 Duty to provide sufficient resources to the Head of Paid Service, Monitoring Officer, Chief Financial Officer and Scrutiny Officer**

The County Council will provide the Head of Paid Service, Monitoring Officer, Chief Financial Officer, and Scrutiny Officer with such officers, accommodation and other resources as are in the opinion of those officers sufficient to allow their duties to be performed.

**13.7 Conduct**

Officers of the Council will comply with the Officers' Code of Conduct and any Protocol on Officer/Member Relations from time to time (set out in Appendices 11 and 12 of this Constitution).

### **13.8 Employment**

The recruitment, selection and dismissal of officers and the taking of any other personnel decisions will comply with the Officer Employment Procedure Rules set out in Appendix 9 of this Constitution.

## **ARTICLE 14 – FINANCE, CONTRACTS AND LEGAL MATTERS**

### **14.1 Financial management**

The management of the Council's financial affairs will be conducted in accordance with the Financial Regulations set out in Appendix 7 of this Constitution.

### **14.2 Contracts**

Every contract made by the Council will comply with the approved Contract Standing Orders set out in Appendix 8 of this Constitution, together with the approved Corporate Procurement Strategy and Code applicable from time to time.

### **14.3 Legal proceedings**

A Chief Officer is authorised to institute, defend, appeal, make any application or representation within or withdraw from any criminal or civil legal proceedings before any court, tribunal or inquiry, provided that the Head of Legal and Democratic Services or other officer authorised by him agrees that it is appropriate and in the Council's interests to take such action. The Head of Legal and Democratic Services may, in any case, take or authorise others to take such action on his/her own authority.

### **14.4 Authentication of documents**

Where any document is a necessary step in any legal procedure or proceedings on behalf of the County Council, it will be signed by the Head of Legal and Democratic Services or other person authorised by him/her, unless any enactment otherwise authorises or requires, or the Council has given the necessary authority to some other person for the purposes of such proceedings

### **14.5 Common Seal of the County Council**

- (a) The Common Seal of the Council shall be kept in a safe place in the custody of the Head of Legal and Democratic Services;
- (b) In any case where it is necessary that the Common Seal of the Council should be affixed to any document to give effect to a resolution of the Council (or any decision of the Cabinet, a Committee or other member body or of an officer of the Council where the Cabinet, Committee or other member body or officer has the power), that resolution (or decision) shall be of a sufficient authority for sealing that document;
- (c) The affixing of the seal shall be attested either by the Head of Legal and Democratic Services or any person authorised by him/her present at the sealing, and an entry of every sealing of a document shall be made in a book kept for the purpose and shall be initialled by the person who has attested the affixing of the seal.

## **ARTICLE 15 – REVIEW AND REVISION OF THE CONSTITUTION**

### **15.1 Duty to monitor and review the Constitution**

- (a) The Monitoring Officer will monitor and review the operation of the Constitution to ensure that the aims and principles of the Constitution are given full effect and may make recommendations for ways in which it can be changed.
- (b) In undertaking this task the Monitoring Officer may:
  - (i) observe meetings of different parts of the member and officer structure;
  - (ii) undertake an audit trail of a sample of decisions;
  - (iii) record and analyse issues raised with him/her by members, officers, the public and other relevant stakeholders; and
  - (iv) compare practices in the County Council with those in other comparable authorities, or national examples of best practice.

### **15.2 Changes to the Constitution**

- (a) **Articles**  
Changes to the Articles of the Constitution will only be approved or authorised by the full Council after consideration of a report and recommendations by the Monitoring Officer. Council may authorise the Monitoring Officer to make changes to the Articles.
- (b) **Change from a Leader and Cabinet form of Executive to another form of Executive or vice versa**  
The Council will take reasonable steps to consult local electors and other interested persons in the area when drawing up such governance proposals in accordance with statutory provisions.
- (c) The Monitoring Officer is authorised at any time to make any variations to the constitution (other than the Articles unless authorised to do so by Council) to give effect to any changes in the Articles or the law or where, in his/her opinion, needs and circumstances require it. The Monitoring Officer will make any necessary changes to the Articles of the Constitution to give effect to decisions of the Council.

## **ARTICLE 16 – INTERPRETATION AND PUBLICATION OF THE CONSTITUTION**

### **16.1 Suspension of the Constitution**

#### **Limit to suspension**

- (a) The Articles of this Constitution may not be suspended. Any provision of those parts of the Constitution other than the Articles may be suspended to the extent and in the manner permitted therein and by the law.
- (b) The extent and duration of any suspension will be proportionate to the result to be achieved, taking account of the purposes of the Constitution set out in Article 1.

### **16.2 Interpretation**

- (a) Notes in italics contained within the Articles are for information and do not form part of the Articles.
- (b) The Monitoring Officer shall, except to the extent otherwise provided for in the Constitution, be the final arbiter in relation to the interpretation and application of the Constitution and its provisions.

### **16.3 Publication**

- (a) The Monitoring Officer will ensure that a copy of the Constitution is accessible on the Council's website and may give a printed copy of it on request to any member of the authority.
- (b) The Monitoring Officer will ensure that such a copy is available for inspection at County Hall and can be purchased by members of the local press and the public on payment of a reasonable fee.
- (c) The Monitoring Officer will ensure that a summary of the Constitution is made widely available within the area and is updated as necessary.

## Appendix B

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# Worcestershire LTP3

## Scheme Appraisal Framework (SAF)

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### 1.1 Introduction

1.1.1 Halcrow and Worcestershire County Council (WCC) have jointly developed an assessment framework to assist WCC officers and scheme promoters with transport scheme prioritisation. The tool is used to assist with the sifting and prioritisation of schemes from small to major schemes that are being considered for delivery through funding associated with the Local Transport Plan 2011-2026 (LTP3) and other relevant and emerging funding sources.

1.1.2 The process for the assessing and prioritising local transport schemes can be subjective and inconsistent. The wide array of schemes competing for scarce funds can lead to difficulty in achieving agreement on the extent to which potential schemes meet the transport objectives set out by the authority. This in turn can lead to difficulty in achieving consensus as to which schemes should be selected and prioritised.

1.1.3 The aim of the assessment framework is to assist with and improve, the decision making process. This will help to ensure that use of the limited funds available for transport schemes in Worcestershire is optimised and allocated in an open and transparent way that is aligned with the transport objectives for the county, as in so doing achieves best value for Worcestershire.

### 1.2 Objectives of the Appraisal Framework

1.2.1 The over-arching objective is for Worcestershire to be able to implement a clear and consistent process for prioritising potential transport measures for funding, which is accepted by officers across the various departments that are connected with developing and delivering LTP3 schemes. In particular the aim is to provide the LTP3 Programme Board (or its equivalent over time) and senior management with the necessary information to identify the schemes which:

- *meet LTP3 policy objectives*
- *represent value for money*
- *are defensible*
- *are supported by officers, members and stakeholders*

1.2.2 The Scheme Assessment Framework (SAF) has been developed to compare and prioritise potential local transport schemes. The schemes are to be judged against their contribution towards locally agreed policy objectives and priorities. In establishing such a framework, the debate over the relative importance of objective priorities is settled prior to assessment of how closely these are met by potential transport schemes.

1.2.3 The County Council can expect to see the following benefits from application of the SAF:

- *a renewed focus on outcomes and objectives in scheme development and decision making;*
- *a common approach for presentation and comparison of schemes;*
- *improved transparency in, and traceability of, decision making;*
- *increased objectivity with less reliance on subjective decision making;*

- *improved understanding within the County Council of the process that staff need to follow to progress schemes;*
- *an opportunity to broadly assess areas how schemes could be improved at an early stage in their development, and how they compare against competing schemes;*
- *a mechanism which can be applied with relative ease to schemes to the value of £5million, and which can also be used, with caution, in early stage review for schemes of £5million and above;*
- *improved access to, and understanding of, the range of desired outcomes and performance indicators that schemes will be benchmarked against (including a proportion of those required for Major Scheme Funding Bids);*
- *enhanced knowledge of the particular issues associated with certain types of projects, in terms of both delivery, and performance after implementation; and*
- *improvements in efficiency associated with a clearly defined process that will promote interrogation of a scheme at the earliest stages of development.*

1.2.4 The brief for the development of the SAF is provided in **Appendix A**.

### **1.3 Who will use the Appraisal Framework**

1.3.1 The SAF is designed to be used by a range of officers. This will include those sponsoring and/or developing the schemes who will need to define the scheme such that it can be assessed, the Transport Policy and Strategy Team who will review and audit the overall scheme assessments whilst also ensuring consistency of inputs, and the Programme Board who will have access to results that can be used to make decisions on scheme funding.

### **1.4 Current Practice**

1.4.1 The SAF is based on current guidance, including the Department for Transport (DfT), 'Guidance on the Prioritisation of Smaller Transport Schemes', and best practice from similar approaches that have been successfully used to compare and prioritise schemes within the counties of Somerset, Kent and Buckinghamshire. The SAF uses a Multi-Criteria Analysis (MCA) to score and rank the various criteria inputs, producing overall scheme scores.

### **1.5 Inputs of the Tool**

1.5.1 Inputs for each scheme are based on the following main areas, with each area having a number of sub-criteria used in the assessment process. The areas are linked to local and national policies, including those in the draft LTP3:

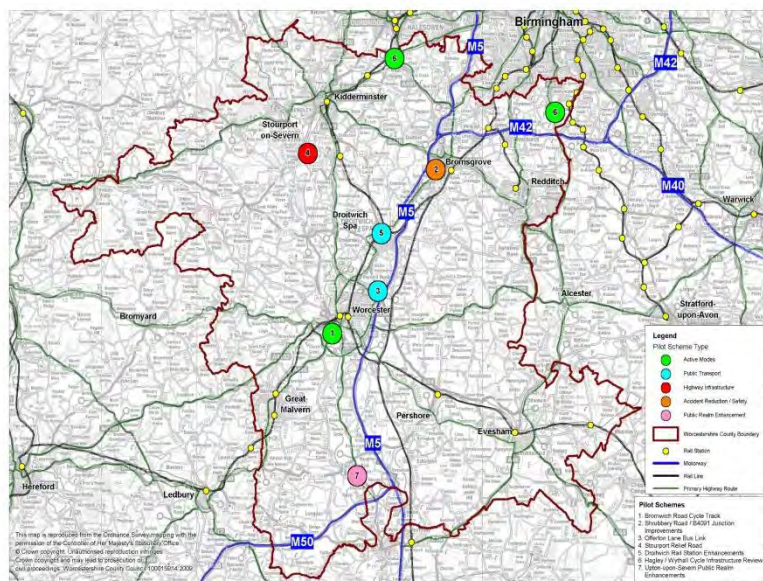
- *Support Economic Growth;*
- *Reduce Carbon Emissions;*
- *Promote Equality of Opportunity;*
- *Better Safety, Security, Health;*
- *Improve Quality of Life and Healthy Natural Environment Contribution to Key Indicators;*
- *Deliverability; and*
- *Costs and Funding.*



## 1.6 Pilot Schemes

1.6.1 The SAF is currently being tested on a range of schemes, as listed below:

- *Bromwich Road Cycle Track*
- *Shrubbery Road/B4091 Worcester Road*
- *Offerton Lane Bus Link*
- *Stourport Relief Road*
- *Droitwich Rail Station Enhancements*
- *Review of Cycle Friendly Infrastructure*
- *Upton-upon-Severn Public Realm Enhancements*



## 1.7 Conclusions and Next Stages

1.7.1 Following the testing of the schemes and discussions with WCC officers, use of the SAF will be expanded over the summer to cover a wider range of schemes proposed within LTP3. Training in the use of the SAF will be provided to relevant officers. It is envisaged that the SAF will be subject to further developments as more schemes are entered, and the strengths and weaknesses of the SAF are better understood. This will serve to highlight where refinements should be considered in relation to the scoring and weighting processes that have been adopted for example.

# Appendix A - Brief for the Worcestershire SAF

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1.1 The Appraisal Framework must be capable of the following:

- *A multi-tiered process, where;*
  - Schemes are firstly appraised against a series of LTP3 objectives and policies, with schemes "scored" according to their ability to deliver against these objectives. (The model must have the ability to apply a weighting/prioritisation to identified objectives)
  - Schemes are appraised against NATA style objectives, which again must be capable of being prioritised
  - Schemes are appraised in terms of "risk" to the authority, e.g. to reflect schemes which have less detail in terms of costs, benefits etc. which again must be capable of being prioritised
  - A qualitative element, which enables a qualitative score to be applied (to enable political will to be represented)
  - An overall prioritisation is provided based on a schemes performance against all criteria
- *The appraisal "model" must be "transparent" and easy to use with "friendly" user interface (some members will want to see how the model operates before they will agree to its use)*
- *Variable appraisal periods (10, 20, 30 and 60 year appraisal periods)*
- *Ability to appraise schemes with a value of between £10,000 to £10,000,000+*
- *Ability to appraise schemes based on very limited data/information (but with the "riskiness" taken into account for those schemes with limited data)*
- *Provision of a "Scheme Outputs Report" which would provide the necessary information to enable decision making. This could include:*
  - CAPEX and profile over appraisal period (and highlighting renewal/refurbishment costs)
  - OPEX and profile over appraisal period (differentiating between staff: non-staff related costs and recurring:non-recurring revenue costs)
  - Value of benefits and profile (differentiating between £ benefits to WCC and wider societal benefits not "captured" by WCC in terms £ "saved")
  - First Year Rate of Return
  - A Benefit : Cost Ratio
  - A Net Present Value
  - A series of policy (objective) compliance scores and/or a compound score
  - Revenue savings (if any) to WCC
  - A Scheme Description

- 1.2 Also included in the appraisal framework, a method of apportioning SoFA (Statement of Funds Available) to identify which schemes can arbitrarily be delivered during a defined delivery plan period. This could potentially be delivered through the process of prioritising LTP3 objectives, by identifying a scoring mechanism for each "spend area" (such as Traffic Management) in terms of its capacity to deliver against identified, pre-scored objectives.

# WCC LTP3 Scheme Prioritisation Tool

## User Guide

Version 1.0

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# Quality Assurance Record

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# **1. Introduction to the WCC Scheme Prioritisation Tool**

## **1.1 Background to the tool**

1.1.1 The WCC Scheme Prioritisation Tool (SPT) has been commissioned by Worcestershire County Council (WCC) to assist officers with transport scheme prioritisation. The tool can be used to compare and prioritise a wide variety of potential local transport schemes, and thus provide an advisory input into decision making processes. These schemes are to be judged on the basis of their contribution towards the policy objectives and priorities that are expected to be set out within the third Worcestershire Local Transport Plan (LTP3).

1.1.2 The officers and members of Worcestershire County Council will see the following benefits from using the tool:

- a renewed focus on outcomes and objectives in scheme development and decision making
- a common approach for presentation and comparison of schemes
- improved transparency in, and traceability of, decision making, with assumptions and resulting outputs being easy to understand and interpret
- increased objectivity with less reliance on subjective decision making
- improved understanding within WCC of the process that officers need to follow to progress schemes
- The ability to compare different schemes at varying levels of development in a fair manner with ability to select only schemes at a similar lower level of technical development for comparison
- an opportunity to broadly assess how schemes could be improved at an early stage in their development, and how they compare against competing schemes
- a mechanism which can be applied with relative ease to schemes up to the value of £10million, and which can also be used, with caution, in early stage review for schemes over £10million
- improved access to, and understanding of, the range of desired outcomes and performance indicators that schemes will be benchmarked against
- enhanced knowledge of the particular issues associated with certain types of projects, in terms of both delivery, and performance after implementation
- improvement in efficiency associated with a clearly defined process that will promote interrogation of a scheme at the earliest stages of development

## **1.2 Who should use the tool?**

- 1.2.1 The tool is designed to be used by a range of officers. This will include those developing the schemes who will need to provide inputs in relation to scheme details and existing assessments; the Transport Policy and Strategy Team who will manage the overall scheme assessment and audit process and review use of the tool to ensure consistency of inputs, and the Programme Board who will have access to and/or be provided with headline results to input into their deliberations on scheme prioritisation.
- 1.2.2 Access within the tool interface is configured in such a way as to make the appropriate functions available to the appropriate user.

## **1.3 What is the basis for the tool?**

- 1.3.1 The tool is based on current guidance, including the Department for Transport (DfT), 'Guidance on the Prioritisation of Smaller Transport Schemes' and the Department for Communities and Local Government, 'Multi-Criteria analysis: a manual'. Best practice from similar tools that have been successfully used to compare and prioritise schemes has also been reviewed and incorporated. These wider references are combined with requirements stemming from Worcestershire's own priorities and concerns, the result being a bespoke local tool. The tool uses a Multi-Criteria Decision Analysis (MCDA) framework to score and rank the various criteria inputs, producing overall scheme scores.
- 1.3.2 Inputs for each scheme are based on the following main areas, with each area having a number of sub-criteria used in the assessment process. The areas are linked to local and national policies, namely those currently proposed for inclusion in WCC LTP3 and those within DfT's DaSTS – Delivering a Sustainable Transport System:
- Support Economic Growth
  - Reduce Carbon Emissions
  - Promote Equality of Opportunity
  - Better Safety, Security, Health
  - Improve Quality of Life and Healthy Natural Environment Contribution to Key Indicators
  - Deliverability
  - Costs and Funding
- 1.3.3 More background information on the criteria, and their incorporation in the tool, is included in Chapter 3 of the LTP3 Appraisal Tool Main Report.



## 1.4 Installation and structure

- 1.4.1 The tool components are supplied within a zip. This should be saved in an appropriate location, and the contents association files are to be kept, and the contents extracted. This might either be on a server, or on a machine designated to host the tool. The tool can be run on any Microsoft Windows based machine with Microsoft Excel 2003 or later installed.
- 1.4.2 The filename of the zip file will be in the form WCC-SPT-v1-0. The whole number refers to a tool build version; the decimal to an agreed core weighting within that build. The highest numbered version is considered as the current version.
- 1.4.3 The register sits in the main folder at the top of the file hierarchy, along with current tool version. There is also an archive folder, containing archived versions of the tool. The structure is shown in Figure 1.1.

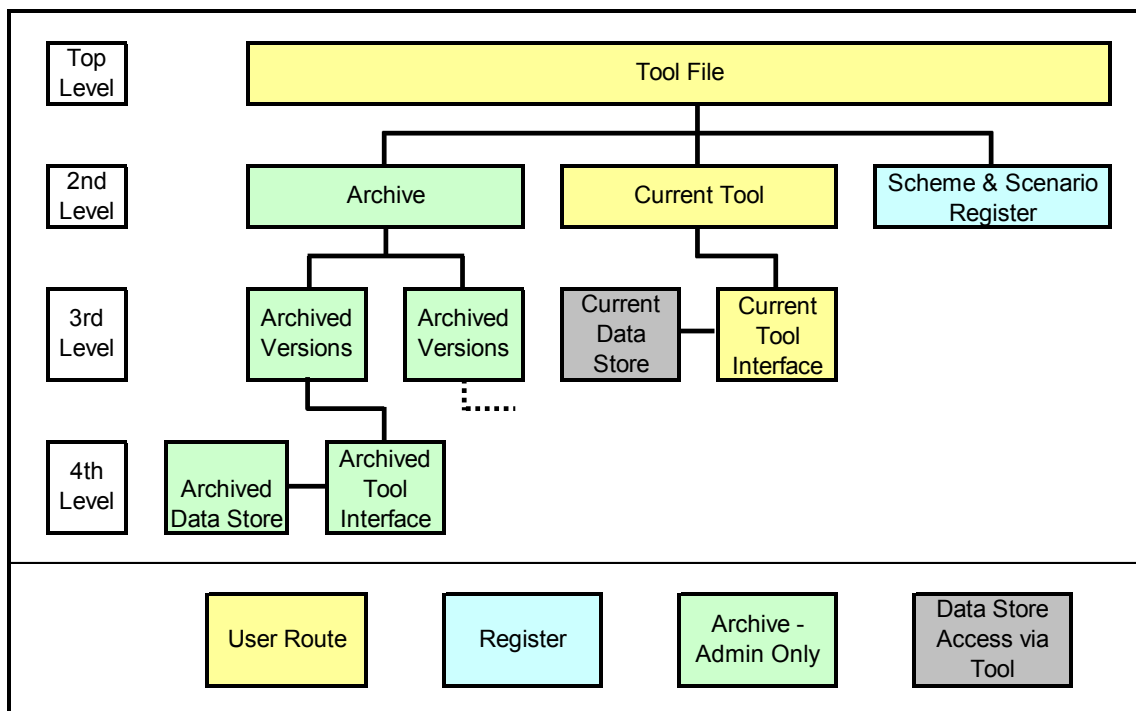


Figure 1.1: Tool Folder and File Structure

- 1.4.4 The hierarchical structure of the files within the tool folder should not be amended or adjusted; to do so risks making functions within the tool interface either inoperative, or may result in erroneous outputs. The file “WCC-SPTi-v1-0.xls” forms the tool interface. Copies of this file may be made by an administrator, for use in different scenarios. These different scenarios may have:

- A different mix of active and inactive schemes;
- Test weighting applied; and/or
- A different selection of parameters in the ranking sheet.

- 1.4.5 Any such variations should be saved with an appended letter, i.e. in the form WCC-SPTi-v1-0-A.xls, and recorded in the scheme register, as described in section 2.2. These can be stored in the current tool folder, unless there is a need to freeze that particular ranking set at a point in time, for example for decision making.
- 1.4.6 Data extraction for decision making should only be undertaken by a trained person, with administrator designation (more detail on user types is provided in section 3.2 below). An archive version of the entire tool should be made at this time, and saved to ensure full audit capability. This is due to the fact that Scheme Assessment Worksheets (SAWs) remain editable in the current tool version. Archiving a version will preserve a snapshot in time.

## 2. Tool Structure

### 2.1 Overview of Tool Structure

2.1.1 The tool has three components, as shown below:

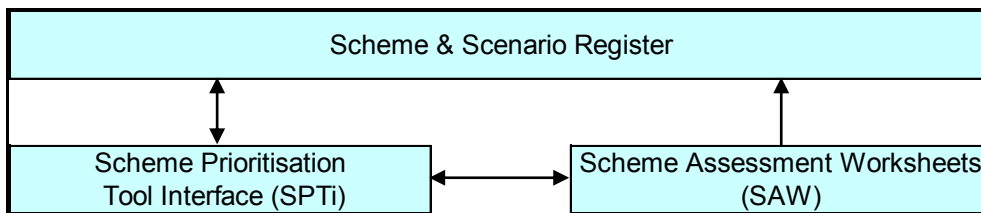


Figure 2.1: Tool Components

2.1.2 The core 'entry' component is the Scheme Prioritisation Tool Interface (SPTi). The Scheme Assessment Worksheets (SAWs) are accessed through the SPTi, with the register sitting separately above the SPTi. Each of these components is now looked at in turn.

### 2.2 Scheme register

2.2.1 The scheme register holds outline information on all schemes for which a SAW has been created, and also charts progress through different SAW versions for a particular scheme as the scheme progresses through changes of detail, and/or through scheme stages.

2.2.2 When schemes are edited, new SPTi scenarios are created, or new versions of the tool are released, this information should be entered in the scheme register; examples of register entries are shown below. The register is accessible through the SPTi interface.

The screenshot shows the 'SPT - Scheme Register' interface. It features the 'worcestershire county council' logo and a table with the following data:

Entry Number	Rev	Active/Inactive	Date Added	Added By	Last Amended	Amend By	Date Audited	Auditor
002-10	1	Active	25/06/10	DPL	12/07/10	DPL		
002-10	2	Active	18/07/10	DPL	10/07/10	DPL		
003-10	1	Active	25/06/10	DPL	13/07/10	DPL		

Figure 2.2: Screenshot of Scheme Register

***NB: All data shown in example screenshots is for illustrative purposes only and should not be considered to accurately represent the status of any scheme***


 <span style="float: right;">Scenario / Tool Issue Register</span>						
Tool Reference	Description of Test	Date Added	Added By	Date of Last Update	Updated by	Status
v1.101	Core Test	19/07/2010	DPL	19/07/2010	DPL	Active
v0.9 beta	Core Test - Draft	06/07/2010	DPL	06/07/2010	DPL	Superseded

Figure 2.3: Screenshot of Scenario/Tool Issue register

### 2.3 SPTi – Scheme Prioritisation Tool Interface

2.3.1 This Excel workbook guides the user through the tool processes: SAW creation, scheme editing, data input and ranking. By working with and through the interface, all necessary tasks can be undertaken. A diagram of the structure of the interface, and linkages with it, is shown below:

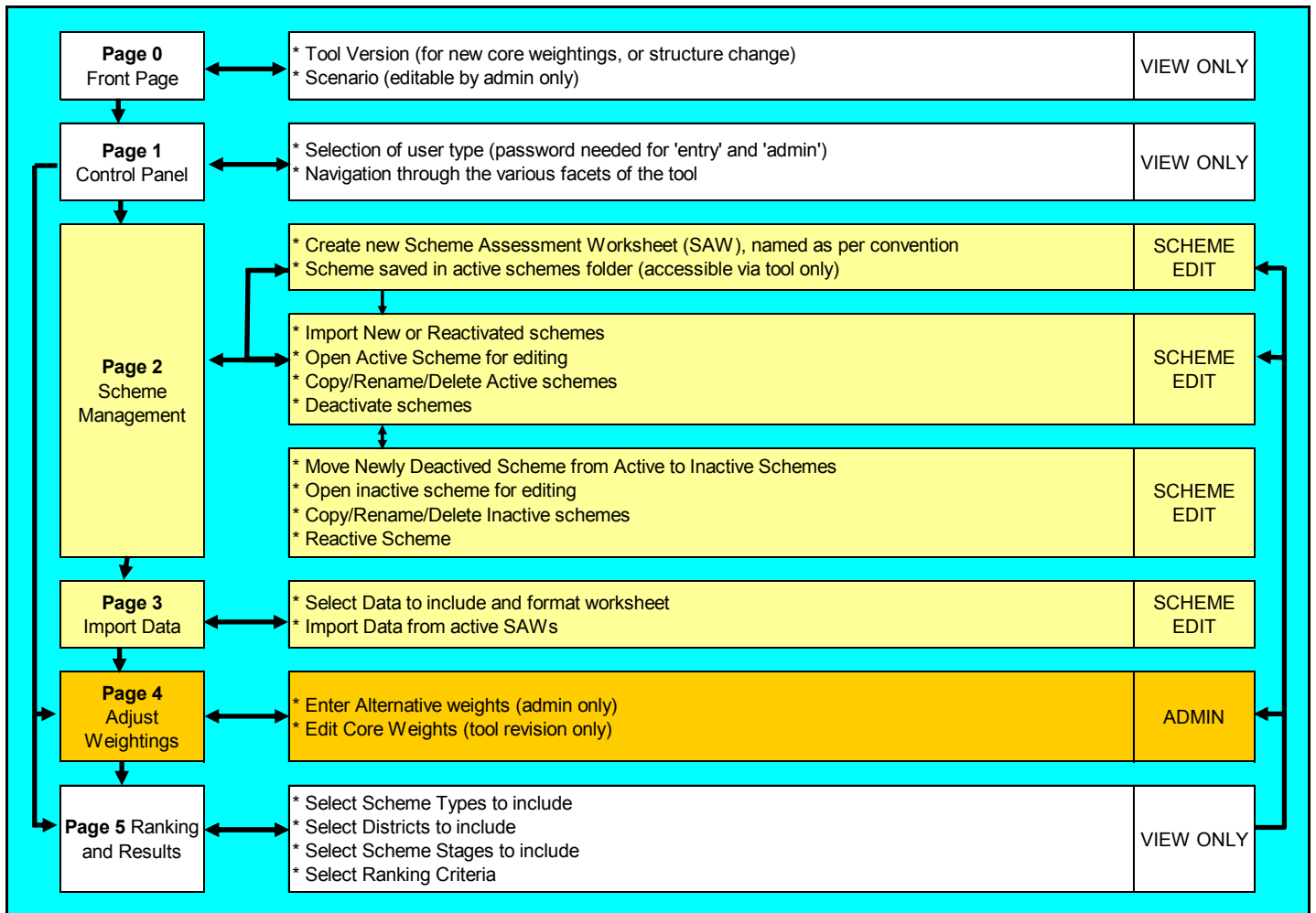


Figure 2.4 Scheme Prioritisation Tool Interface Structure

2.3.2 As can be seen, the interface has various access levels:

- View only
- Scheme Edit
- Administrator

2.3.3 Details of the functions available to each user type are provided in following section.

## **2.4 SAW – Scheme Assessment Worksheets**

2.4.1 The scheme assessment worksheet is the store of all scheme information. A template is provided in the tool, a copy of which must be made for each scheme. The hierarchical structure of the worksheet is illustrated in figure 2.5. Also shown are the core agreed weightings, as they were at time of writing.

2.4.2 SAWs can be categorised as ‘active’ or ‘inactive’. The data from active SAWs is read into the interface, whereas inactive schemes are simply logged in the inactive schemes page of the interface without their data being read in. The status of SAWs can be changed between ‘active’ and ‘inactive’ as described in sections 5.4 and 5.5.

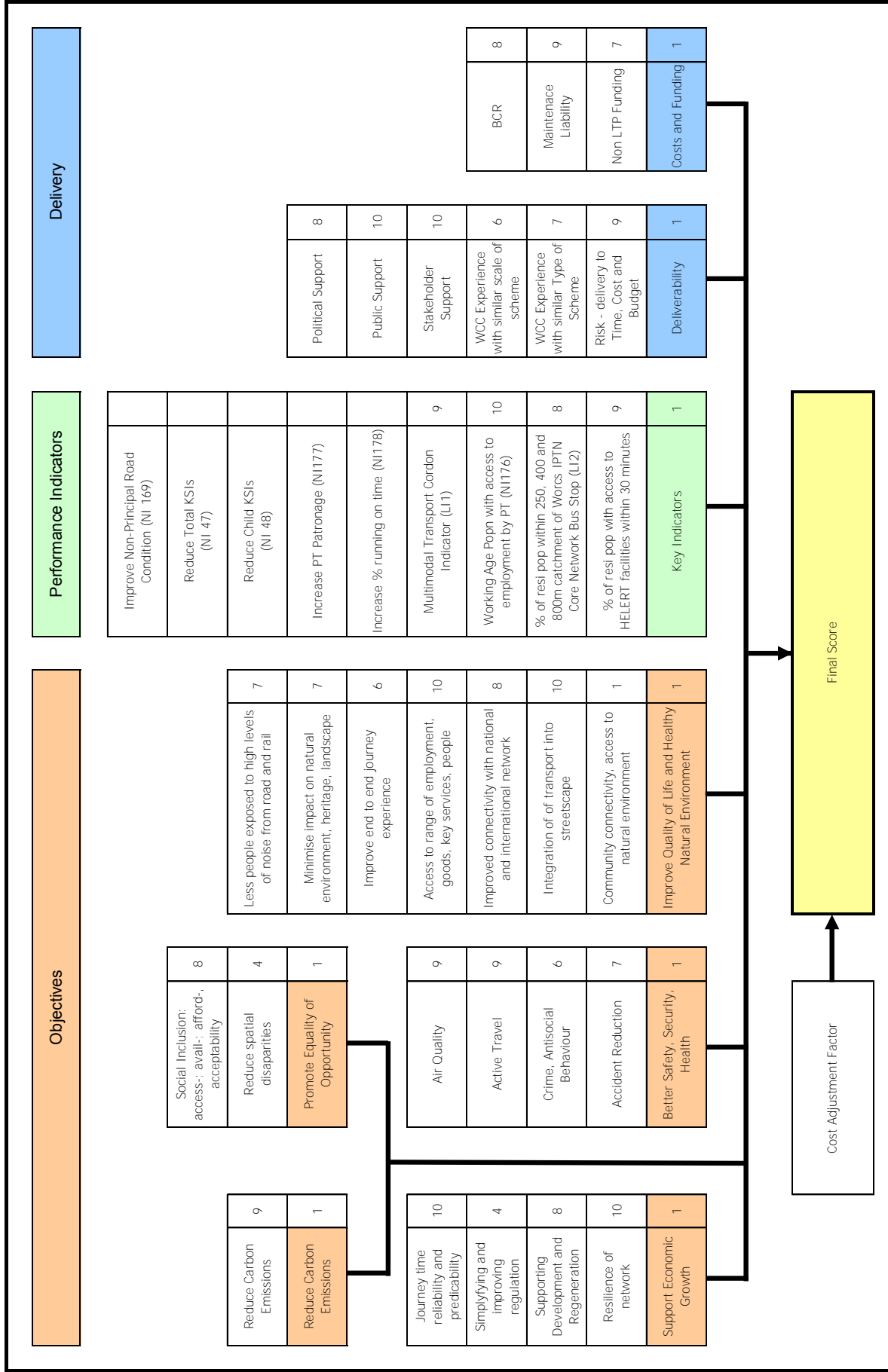


Figure 2.5: SAW Criteria Hierarchy Structure and Weightings

### 3. SPTi Control Panel

#### 3.1 Opening the tool

3.1.1 Upon opening the tool spreadsheet, the user will be presented with the control page. You will notice that there are three user types – each giving different levels of access to undertake different tasks. The level of access for each is shown in the ‘Choose Task’ section, under ‘Access Rights’. This means that access can be controlled and the integrity of the tool maintained.

**Worcestershire county council** **Scheme Prioritisation Tool Control**

**User Type**

View Only  Scheme Editing  Admin

Password

**Choose Task**

Tasks	Proceed to Task	Access Rights		
		View	Entry	Admin
Create New Scheme	<input type="button" value="Create New Scheme"/>	✘	✔	✔
Manage Existing Schemes	<input type="button" value="Manage Existing Schemes"/>	✘	✔	✔
View Scheme Rankings	<input type="button" value="View Scheme Rankings"/>	✔	✔	✔
Adjust Non Core Weights	<input type="button" value="Weightings"/>	✘	✘	✔
Adjust Core Weights	<input type="button" value="Weightings"/>	✘	✘	✔

**Status of Sheets**

Active Schemes	Inactive Schemes	SAW data input
<input type="button" value="Go To Active Schemes"/>	<input type="button" value="Go To Inactive Schemes"/>	<input type="button" value="Go To Data Transfer"/>
Periodical refresh recommended.	Periodical refresh recommended.	No actions required.

For scheme editing or admin access, enter password in password box, and update permissions

Click button for task  
Task Availability depends on permission level

Check status of sheets;  
If any show red, update sheets as appropriate

Figure 3.1: Annotated screenshot of SPTi Control Panel

#### 3.2 User types

3.2.1 There are three levels of user access defined in the tool:

- Level 1: View Only – for officers who wish to view and work with rankings
- Level 2: Scheme Editing – for officers entering or editing scheme details and auditors
- Level 3: Administrator - designated trained officers who are able to access to set/agreed parameters, and produce fixed outputs for the council board

- 3.2.2 Access is restricted to certain parts of the tool so as to ensure the integrity of the tool, facilitate the auditing and registration/log procedures, and ensure that anyone permitted to make changes is suitably aware of the SPT procedures and the potential consequences of any changes. As such, only those users with a need for enhanced access and trained to the appropriate level will be permitted access as a scheme editor or administrator.
- 3.2.3 By default, the tool will open in View Only mode, with the View Only box checked. Only the sheets appropriate for view only users will be visible, and only the permitted tasks will be available. All the functions available at Level 1 are available to Level 2 users, with full functionality being available to Level 3 users.
- 3.2.4 To enter as a scheme editor or an administrator, the appropriate password must be entered into the password box. The tick will move to the appropriate box when the correct password is entered. Then click on the 'update permissions', which will reveal the sheets available, and make the appropriate tasks available.
- 3.2.5 There is an additional integrity safeguard requirement which needs to be met in order to alter the structure of the interface itself. This function is retained by officer identified as the tool owner. A new release of the tool is considered to have occurred if the structure of the interface is altered.

### **3.3 Task selection**

- 3.3.1 This allows the user to select the task that they wish to undertaken. The availability of the task to the various rights holders is also shown. A guide to the tasks themselves is given by user class availability in sections 4-6 below.

### **3.4 Sheet status**

- 3.4.1 The Status of scheme indicators inform the user if the tool has been updated with the latest SAW information. If indicators are at red, change has been made to the base SAW data that has not been reflected in the SPTi. An orange for the scheme sheets, and green for the data input means that the SPTi is fully up to date with the latest information.
- 3.4.2 View Only users should refer to a Scheme Editor or Administrator should the indicators show that there is an issue. Scheme Editors and Administrators can run the necessary update and import process, as described below, to update the tool.

### **3.5 Navigating around the tool**

- 3.5.1 There are navigation buttons on each page which allow the user to move to the other key pages within the tool, including the control panel. These should normally used in preference to the sheet tabs.



## 4. Functions – Level 1: View Only

### 4.1 Overview

4.1.1 The functions available for the default ‘view only’ user type are:

- View status (on control sheet)
- Working with Rankings

### 4.2 Working with rankings

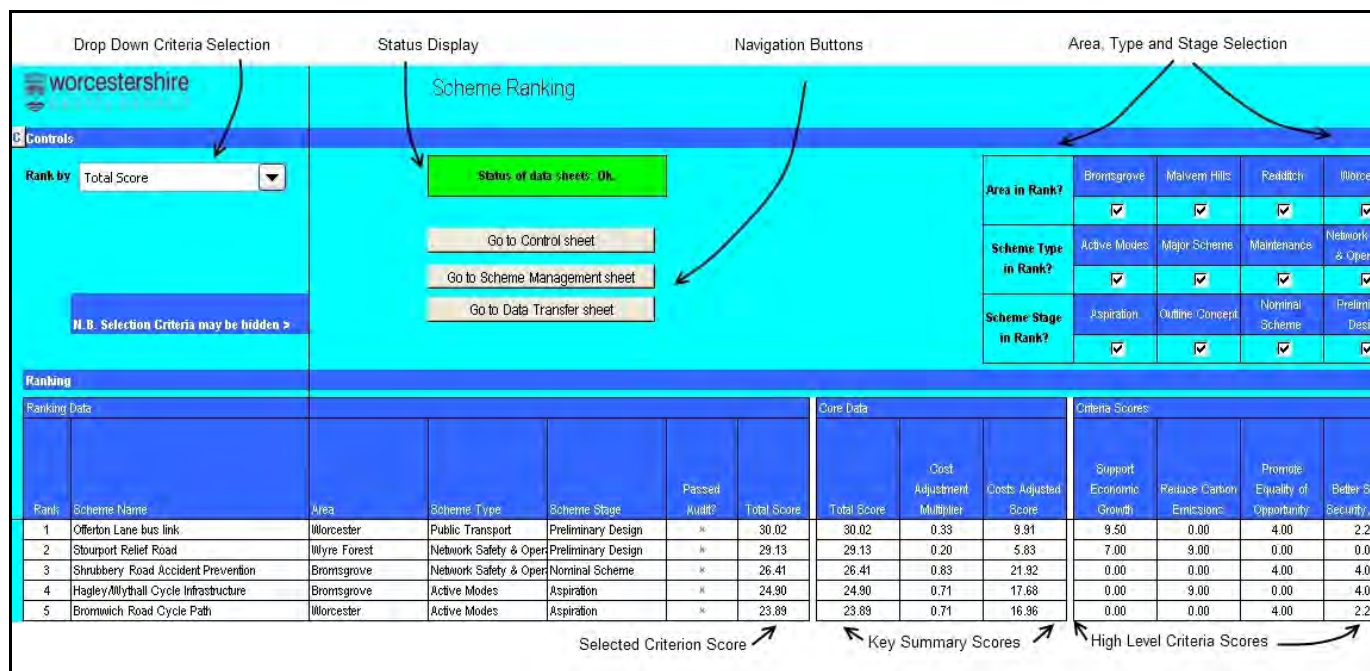


Figure 4.1: Annotated screenshot of SPTi rankings sheet)

4.2.1 The first choice to be made on the ranking sheet is associated with the Criteria for inclusion. These are:

- Location (District)
- Type of Scheme
- Stage of Development
- Audit Status

Only the schemes meeting the criteria selected in the checkbox matrix, which is shown in Figure will then be displayed.

Area in Rank?	Bromsgrove	Malvern Hills	Redditch	Worcester	Wlychavon	Wlyre Forest	
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Scheme Type in Rank?	Active Modes	Major Scheme	Maintenance	Network Safety & Operation	Public Transport	Travel Behaviour	Packages
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Scheme Stage in Rank?	Aspiration	Outline Concept	Nominal Scheme	Preliminary Design	<b>Audited Schemes in Rank?</b>	Passed Only	
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input type="checkbox"/>	

Figure 4.2 Selection Matrix

4.2.2 Following the completion of choice on the selection matrix, the criterion by which the schemes are to be ranked is chosen by use of the drop down menu. The schemes will then be sorted according to the chosen criterion, with the score achieved for the selected criterion being displayed in final column of the Ranking Data section.

4.2.3 Regardless of the selected of criterion from the drop down menu, the Core Data section displays the Total Score, Cost Adjustment Multiplier and Cost Adjusted Score, i.e. the key summary scores. The score for each of the high level criteria is then provided to the right of this section.

### **4.3 Key Issues/Risks**

4.3.1 Particular headline issues that require essential consideration are imported from the SAW front page, and displayed in this results sheet. For example, a scheme that scores very well across the boards might have one key factor that means that it can not be progressed. This might well be 'hidden' by the scoring; therefore it is important that any such risk or issue is highlighted alongside the score.

### **4.4 Financial Information**

4.4.1 For those schemes for which it is available, financial information is included in the ranking sheet. This can be found at the far right of the sheet.

## 5. Functions – Level 2: Scheme Editing

### 5.1 Overview

5.1.1 In addition to the above, scheme editors are able to:

- Create New Schemes (SAWs)
- Update the SAW lists in the interface tool
- Open and Edit existing SAWs
- Create Copies of SAWs
- Rename SAWs
- Designate SAWS as active or inactive
  - Transfer SAWs so designated between the active and inactive Scheme Repositories
- Import Data

*The register should be updated for these activities as appropriate.*

### 5.2 Creating new schemes

5.2.1 Having gained 'scheme entry' access, click on 'create new scheme' in the tasks list. A prompt will appear for a user name. This should take the form:

**XXX-YY-RI**

XXX = next scheme number

YY = year of entry

RX = Revision number.

5.2.2 When prompted, either close the SAW to edit later, or leave open to input scheme information

### 5.3 Input scheme information

5.3.1 To enter scheme information, the scheme editor must work through the various sections of the SAW, completing the white text entry boxes, as appropriate and insofar as is possible with the scheme information available. The scheme editor should NOT complete Page 0 – Audit. This should be completed by an approved auditor, designated by the tool manager or delegate. The audit process itself is described in Section 7.

5.3.2 The scoring options for each sub criteria are displayed by clicking on the drop down box to the right side of the sheet. Guidance is given on many of the criteria in the worksheet. This guidance appears when the cursor is passed over a cell that has a red triangle in the corner. The various components of a SAW sheet for completion are shown in the annotated screenshot in Figure 5.1 example below:

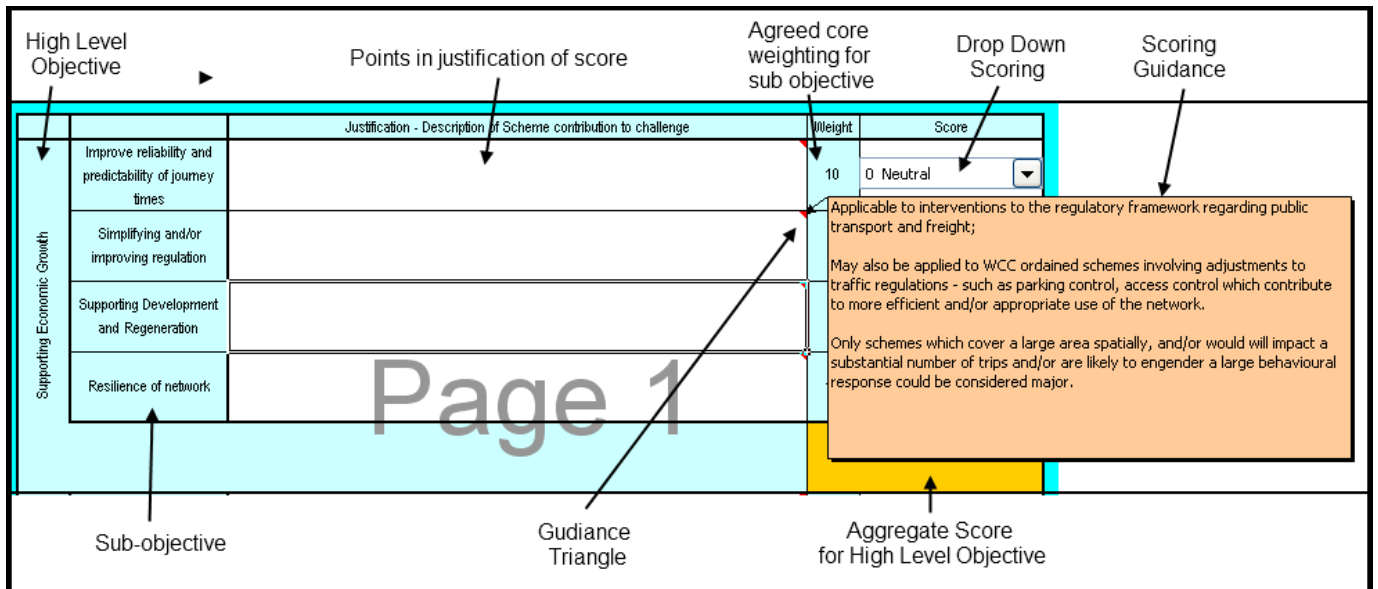


Figure 5.1: Annotated Screenshot of Scheme Assessment Worksheet (part)

## 5.4 Update List of Schemes

5.4.1 To add a new SAW to active schemes, click 'manage existing schemes' on the control panel task list. This will display '2a Active Schemes' (a screenshot of the controls on this page is shown in Figure 5.1 below). Click on 'Update'; this will add the new scheme to list, and will also import the scheme data, in default format, into '3 Import Data'. Pop up windows will appear describing the activity that is occurring – click on OK for each.

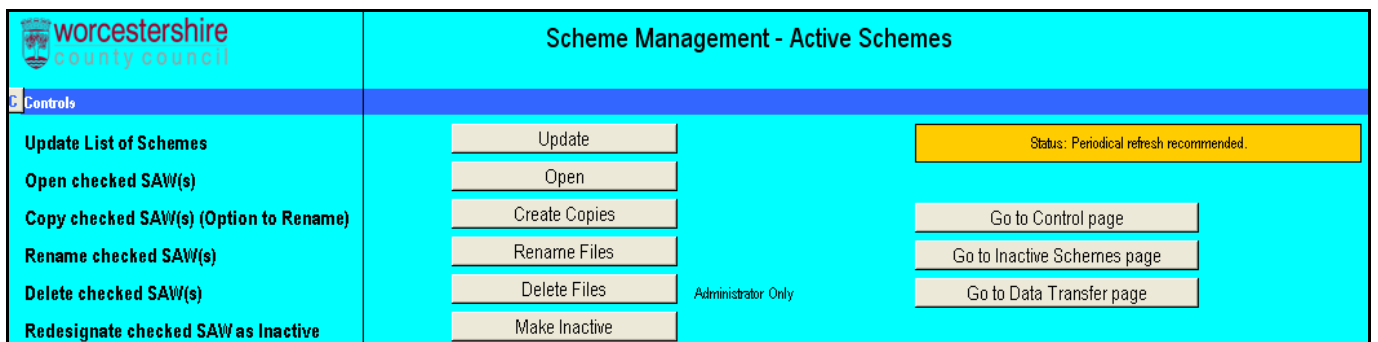


Figure 5.2: Screenshot of controls on '2a Active Schemes'

## 5.5 Working with Existing Active Schemes

5.5.1 A number of functions are available for existing active SAWs. These are selected by checking the function in the options matrix for the desired SAW. The associated function buttons, as shown in Figure 5.2, is then clicked:

- Update – imports information about new schemes as above – also imports information about previously inactive schemes which have been redesignated active. Pop up windows will appear describing the activity that is occurring – click on OK for each.

- Open – opens scheme for edit/review. If the scheme is being fully reappraised and/or moving on a stage in development, a copy of the scheme should be made for update, and the original made inactive, to ensure that a record of progression and change is maintained
- Copy – makes a copy of the SAW within the active scheme repository; a new filename should be provided. This should be used when a scheme moves through a stage, or an assessment is being updated due to more information. Superseded SAWs should be deposited in the inactive schemes repository.
- Rename – facility to rename a specific SAW
- Make inactive – tags a SAW as inactive, ready for transfer to the inactive schemes repository.

5.5.2 The Delete function which is available deletes the SAW as well as the entry in the SPTi. It should NOT be used other than by an administrator; and then only in rare circumstances and with great caution. Generally, where schemes have been superseded due to update and/or passage through scheme stages, the old versions should be retained in the inactive schemes repository.

## 5.6 Working with existing Inactive schemes

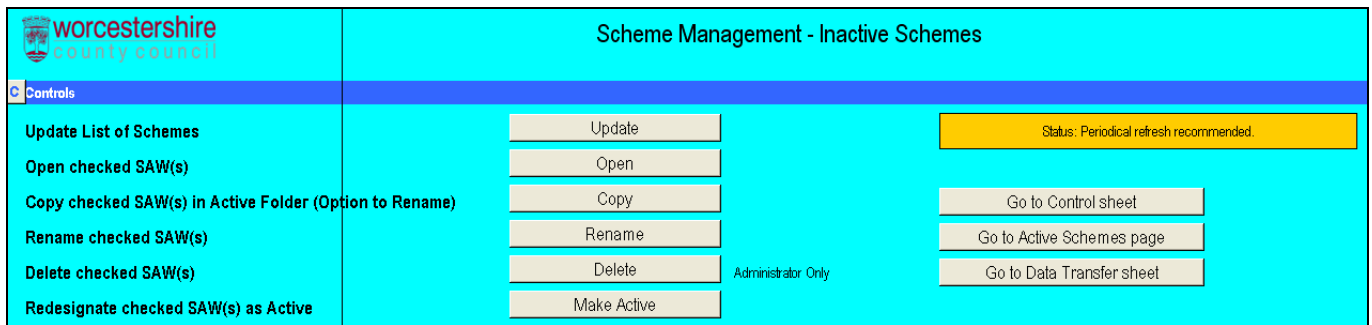


Figure 5.3: Screenshot of controls on '2b Inactive Schemes'

5.6.1 It is important to note that some of the functions available for inactive schemes differ slightly from those for active schemes in their operation:

- Update – used to import information on previously active schemes which are being made inactive
- Open – opens SAW for review/edit
- Copy – creates a copy of the SAW in the active schemes folder. The user will be prompted for a filename and a scheme name. The active schemes sheet will be updated with the copied SAW information. Pop up windows will appear describing the activity that is occurring – click on OK for each. To edit the new copy, the user should go to the active schemes sheet, as described above.
- Rename - facility to rename a specific SAW
- Make Active - tags a SAW as active, ready for transfer to the inactive schemes repository.

5.6.2 The Delete function which is available deletes the SAW as well as the entry in the SPTi. It should NOT be used other than by an administrator; and then only in rare circumstances and with great caution. Generally, where schemes have been superseded due to updates and/or passage through scheme stages, the old versions should be retained in the inactive schemes repository.

## 5.7 Importing data – additional options

5.7.1 Under normal use, the data import occurs automatically as part of the ‘update’ process in the active schemes sheet. The functions available on ‘3 - Import Data’, as shown in figure 5.4, allow the user to also import the following text information in addition to the numerical information:

- Justification/Descriptions for indicators
- Justification/Descriptions for Criteria
- Full scheme definition

The screenshot shows a web interface for 'Import Data from active SAWs'. On the left, a 'Controls' sidebar lists four options: 'Import Data for Active Schemes', 'Show Descriptions for Indicators', 'Show Descriptions for Criteria', and 'Show Full Scheme Definition'. The main area contains a central panel with 'Import Data' and 'Format Worksheet' buttons, each preceded by a checked checkbox. To the right, a green status bar indicates 'Status: No actions required.', and three buttons below it allow navigation to 'Control sheet', 'Scheme Management sheet', and 'Ranking sheet'.

## 5.8 Background sheets

5.8.1 For the scheme editor, a number of additional sheets are available for review. These summarise the data harvested from the SAWs, with a sheet corresponding with each SAW sheet. This allows the scheme editor to investigate how their scheme performs compared to other schemes.

## 6. Functions – Level 3: Scheme Administrator

### 6.1 Overview

6.1.1 The scheme administrator has access to all of the functions available to scheme editors. In addition, they can:

- Archive tool versions/scenarios
- Adjust weights for a test scenario
- Adjust weights to give a new core scenario

### 6.2 The mix of active and inactive schemes

6.2.1 When a mix of active and inactive schemes is saved in a scenario for presentation/decision making, the selection of active and inactive schemes should be transparent and auditable. It is important that a presentation scenario dated folder of the tool is created and archived according to date at such times, so that the worksheets and selection that gave rise to those decisions at that time are preserved.

### 6.3 Test adjustment of weights

6.3.1 There is a facility available to administrators to test alternative weightings to ascertain their impact on ratings. This should always be undertaken in a new scenario copy of the SPTi.

6.3.2 The yellow weightings, as shown in Figure 6.1, should be adjusted to the chosen test weightings, and the ‘Use Test Weights’ checkbox should be checked.

		TEST		CORE				TEST		CORE	
		1	1			1	1			1	1
Sub Criteria	Indicators			Sub Criteria	Indicators			Sub Criteria	Indicators		
	Improve reliability and predicability of journey times	10	10		Reduce in CO2 emissions and other greenhouse gases	9	9		Social Inclusion: access; avail; afford, acceptability	8	8
	Simplify and improve regulation	4	4						Reduce spatial disparities	4	4
	Supporting Development and Regeneration	8	8								
	Resilience of network	10	10								

Figure 6.1: Screenshot of SPTi Weights sheet

## **6.4 Core adjustment of Weights**

6.4.1 Core weights should only be adjusted in a new release of the tool, following a new exercise to arrive at a revised consensus as to what the weights to be applied should be.

## **6.5 A note on filenames**

6.5.1 The file “WCC-SPTi-v1-0.xls” forms the tool interface. Copies of this file may be made by an administrator, for use in different scenarios. These different scenarios may have:

- A different mix of active and inactive schemes to be saved
- Test weighting applied
- A different section of parameters in the ranking sheet

6.5.2 Any such variations, which pivot from a certain core scheme should be saved with an appended ‘pivot’ letter, i.e. in the form WCC-SPTi-v1-0-A.xls, and recorded in the scheme register.

6.5.3 When a set of rankings is produced for decision making, to ensure that there is a record maintained of the basis for the rankings, an archive version of the tool folders should be created. This means that the worksheets and tool parameters selected will be preserved.

6.5.4 It should be noted that unless an archive is made, the position of schemes can alter, as schemes are added and/or edited. This makes the archive version critical for purposes of audit.



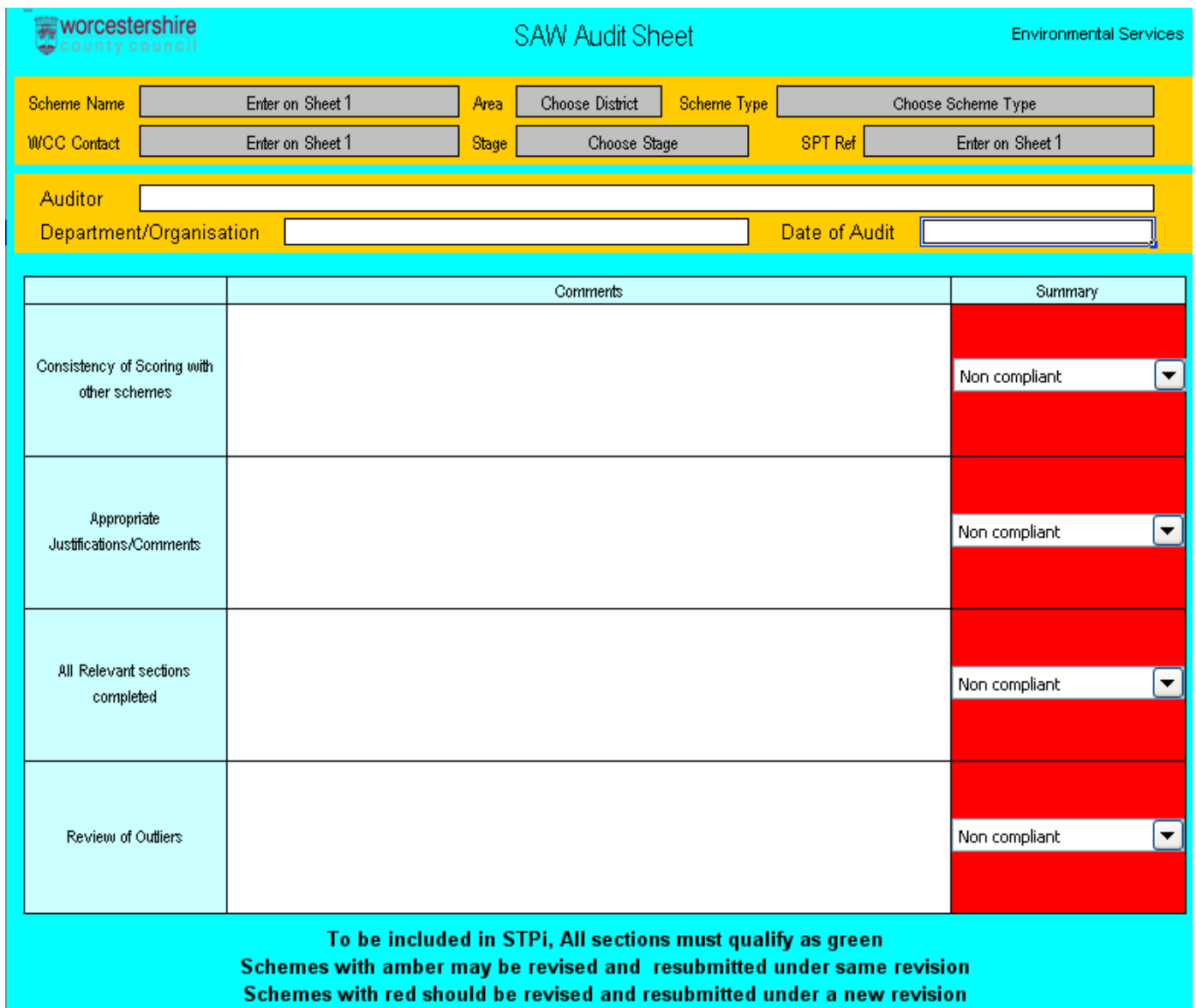
## 7. SAW Auditing

### 7.1 Overview

7.1.1 The SAW audit helps to ensure consistency between schemes in the approach to completing SAWs, and hence the integrity and robustness of the SPT process.

### 7.2 SAW Auditor

7.2.1 The audit sheet, “0 – Audit” of the SAW should be completed by a nominated auditor once the scheme editor has entered all of the scheme information into the SAW and complete and justified the rankings given. The auditor will be nominated by the SPT Lead Officer. They should not have a close attachment to either the scheme in question, or schemes that it is likely to be competing against for funds.



**worcestershire**  
county council

SAW Audit Sheet

Environmental Services

Scheme Name  Area  Scheme Type

WCC Contact  Stage  SPT Ref

Auditor

Department/Organisation  Date of Audit

	Comments	Summary
Consistency of Scoring with other schemes		Non compliant <input type="button" value="v"/>
Appropriate Justifications/Comments		Non compliant <input type="button" value="v"/>
All Relevant sections completed		Non compliant <input type="button" value="v"/>
Review of Outliers		Non compliant <input type="button" value="v"/>

**To be included in STPi, All sections must qualify as green**  
**Schemes with amber may be revised and resubmitted under same revision**  
**Schemes with red should be revised and resubmitted under a new revision**

Figure 7.1: Screenshot of Saw Audit Sheet

7.2.2 The auditor should assess the SAW according to the criteria set out on the audit sheet, as shown in Figure 7.1, these being:

- Consistency of scoring with other schemes;
- Appropriate justification and comments;
- Completeness; and
- Review of Outliers.

The rankings given should be supported by appropriate comments.

7.2.3 Upon completion of the audit, the auditor should contact the scheme editor to advise them of the outcomes, and provide feedback and advice. Until any issues have been rectified to the satisfaction of the auditor, the scheme should not be made active and thus will not be included in any rankings produced by the SPT.

LTP3 POLICY	POLICY NAME
C1	PARTNERSHIP WORKING TO DELIVER CYCLING MEASURES
C2	CYCLE NETWORK INFRASTRUCTURE AND OTHER MEASURES FOR CYCLISTS
C3	MAINTENANCE
C4	SPATIAL PLANNING AND DEVELOPER CONTRIBUTIONS FOR CYCLING
C5	LIGHTING OFF-ROAD CYCLE ROUTES
C6	ENHANCEMENTS TO TRAFFIC REGULATION ORDERS
C7	PARKING FOR BICYCLES
C8	CYCLE NETWORK DIRECTION SIGNAGE
C9	CYCLE HIRE
C10	CYCLE TRAINING
C11	CYCLE PROMOTION AND INFORMATION
C12	DRIVER EDUCATION
C13	CYCLE SECURITY
C14	CYCLE MEASURES AT THE WORKPLACE
DC1	PLANNING SUSTAINABLE DEVELOPMENT
DC2	PLANNING ENVIRONMENTALLY SUSTAINABLE DEVELOPMENT
DC3	PLANNING SAFE AND SUSTAINABLE DEVELOPMENT
DC4	MAXIMISING USE OF EXISTING TRANSPORT INFRASTRUCTURE AND SERVICES
DC5	DELIVERING ACCESSIBLE DEVELOPMENTS
DC6	EVIDENCE BASE NEEDED TO SUPPORT PLANNING AND DELIVERY OF SUSTAINABLE DEVELOPMENT
DC7	TRANSPORT INFRASTRUCTURE AND SERVICES NEEDED TO DELIVER SUSTAINABLE DEVELOPMENT
DC8	DEVELOPER CONTRIBUTIONS FOR TRANSPORT INFRASTRUCTURE AND SERVICES
DC9	ONGOING REVENUE SUPPORT FOR TRANSPORT INFRASTRUCTURE AND SERVICES
DC10	TRAVEL PLANS
DC11	TRANSPORT RELATED DEVELOPMENT CONTROL PROCESSES
IPT1	IDENTIFYING AN INTEGRATED PASSENGER TRANSPORT NETWORK
IPT2	TARGETING INVESTMENT IN PASSENGER TRANSPORT TOWARDS SCHEMES WHICH SUPPORT THE ECONOMY
IPT3	DELIVERING AN ACCESSIBLE PASSENGER TRANSPORT NETWORK
IPT4	DELIVERING A SAFE PASSENGER TRANSPORT NETWORK
IPT5	DELIVERING A RELIABLE PASSENGER TRANSPORT NETWORK
IPT6	DELIVERING AN INTEGRATED PASSENGER TRANSPORT NETWORK
IPT7	DELIVERING AN EQUITABLE AND INCLUSIVE PASSENGER TRANSPORT NETWORK
IPT8	DELIVERING A PASSENGER TRANSPORT NETWORK THAT IS EASY TO UNDERSTAND AND USE
IPT9	DELIVERING A PASSENGER TRANSPORT NETWORK THAT IS REFLECTIVE OF MODERN LIFESTYLES
IPT10	DELIVERING AN AFFORDABLE AND VALUE FOR MONEY PASSENGER TRANSPORT NETWORK
IPT11	DELIVERING AN INTEGRATED PASSENGER TRANSPORT NETWORK UTILISING THE MOST APPROPRIATE PASSENGER TRANSPORT TECHNOLOGIES
IPT12	ESTABLISH A THREE-TIER INTEGRATED PASSENGER TRANSPORT NETWORK WITH LEVEL OF SERVICE ALIGNED WITH DEMAND
IPT13	DELIVER A WORCESTERSHIRE STANDARD FOR PASSENGER TRANSPORT INFRASTRUCTURE
IPT14	PASSENGER TRANSPORT INFRASTRUCTURE – MISSING BUS STOPS
IPT15	DELIVERING RELIABLE URBAN AND INTERURBAN BUS SERVICES THROUGH PARTNERSHIP WORKING
IPT16	PASSENGER TRANSPORT VEHICLES AND ROLLING STOCK ALIGNED WITH MARKET NEED
IPT17	DELIVERING AN INTEGRATED FARES AND TICKETING SYSTEM FOR THE WORCESTERSHIRE PASSENGER TRANSPORT NETWORK.
IPT18	WORKING IN PARTNERSHIP TO DELIVER AN INTEGRATED PASSENGER TRANSPORT NETWORK
ITS1	OPTIMISING THE SUSTAINABILITY OF ITS ASSETS
ITS2	TRAFFIC MANAGEMENT DATA COLLECTION, MONITORING AND STRATEGIC TRAFFIC MODELS
ITS3	UTMC OPTIMISATION AND INTERCONNECTIVITY
ITS4	UTMC STRATEGY MANAGER
ITS5	INTELLIGENT TRAFFIC SIGNALS
ITS6	USE OF CAMERA TECHNOLOGY
ITS7	COMMUNICATIONS
ITS8	USE OF REAL TIME INFORMATION SYSTEMS

ITS9	INCIDENT MANAGEMENT
ITS 10	ITS ASSOCIATED WITH NEW DEVELOPMENTS AND HIGHWAY IMPROVEMENT SCHEMES
M1	PARTNERSHIP WORKING TO DELIVER A STRATEGIC MOTORCYCLING POLICY
M2	MOTORCYCLE PARKING
M3	IMPROVING ACCESSIBILITY USING MOTORCYCLES, MOPEDS AND SCOOTERS
F1	THE WORCESTERSHIRE FREIGHT QUALITY PARTNERSHIP
F2	MONITORING FREIGHT MOVEMENTS IN WORCESTERSHIRE
F3	RAIL FREIGHT IN WORCESTERSHIRE
F4	WATER FREIGHT IN WORCESTERSHIRE
F5	HGV PARKING
F6	ENHANCING HIGHWAY NETWORK INFRASTRUCTURE TO SUPPORT EFFICIENT FREIGHT OPERATIONS
F7	TRAFFIC REGULATION ORDERS (TRO) AND SIGNING FOR FREIGHT VEHICLES
F8	SATELLITE NAVIGATION SYSTEMS
F9	FREIGHT CONSOLIDATION CENTRES
F10	PROVISION OF INFORMATION
F11	FUNDING
SCP1	SMARTER CHOICES PARTNERSHIP WORKING
SCP2	GENERAL APPROACH TO PROVIDING TRAVEL INFORMATION
SCP3	PRINTED PASSENGER TRANSPORT TIMETABLE INFORMATION
SCP4	PRINTED MAPS AND GUIDES FOR PASSENGER TRANSPORT, WALKING AND CYCLING
SCP5	THE LOCAL MEDIA
SCP6	WORCESTERSHIRE COUNTY COUNCIL TRANSPORT WEBSITE
SCP7	USE OF SOCIAL NETWORKING SITES
SCP8	SMARTER CHOICES BRANDING
SCP9	MARKET RESEARCH
SCP10	SMARTER CHOICES MARKETING CAMPAIGNS
SCP11	INDIVIDUAL TRAVEL MARKETING
SCP12	TRAVEL PLAN BONDS (MANDATORY TRAVEL PLANS)
SCP13	STATION TRAVEL PLANS
SCP14	WORKPLACE TRAVEL PLANS
SCP15	REDUCING GREY FLEET MILES
SCP16	RESIDENTIAL TRAVEL PLANS
SCP17	SCHOOL TRAVEL PLANS
SCP18	NEW, REDEVELOPED OR EXTENDED SCHOOLS
SCP19	SMARTER CHOICES IN THE CURRICULUM
SCP20	S.T.A.R. ACCREDITATION SCHEME
SCP21	SMARTER CHOICES INITIATIVES
SCP22	FUNDING FOR SMARTER CHOICES
TMP1	PARTNERSHIP WORKING TO DELIVER STRATEGIC URBAN TRAFFIC MANAGEMENT AND PARKING PLANS
TMP2	TRANSPORT MODAL (USER) HIERARCHIES
TMP3	ENFORCEMENT
TMP4	PARK AND RIDE
TMP5	COACH PARKING AND LAYOVER FACILITIES
A1	ACCESSIBILITY METHODOLOGY
A2	DATA AND RESOURCE MANAGEMENT
A3	MULTI-MODAL ACCESSIBILITY ANALYSIS
A4	ASSESSING ACCESS TO KEY SERVICES AND FACILITIES IN WORCESTERSHIRE
A5	IDENTIFYING WHERE POOR ACCESSIBILITY IMPACTS ON ACHIEVEMENT OF DEFINED OBJECTIVES
A6	ASSESSING AND APPRAISING MEASURES TARGETED AT IMPROVING ACCESSIBILITY TO SUPPORT FUNDING BIDS
A7	NON-TRANSPORT METHODS OF IMPROVING ACCESSIBILITY
A8	ACCESSIBILITY AND LAND USE PLANNING
A9	MONITORING AND REPORTING ACCESSIBILITY IN WORCESTERSHIRE
AQ1	MEASURING AND MONITORING AIR QUALITY
AQ2	PARTNERSHIP WORKING
AQ3	APPROACH TO AIR QUALITY MANAGEMENT IN WORCESTERSHIRE
AQ4	IDENTIFYING AND ASSESSING THE AIR QUALITY IMPACTS OF NEW LAND USE DEVELOPMENTS AND UNCONSTRAINED TRAFFIC GROWTH

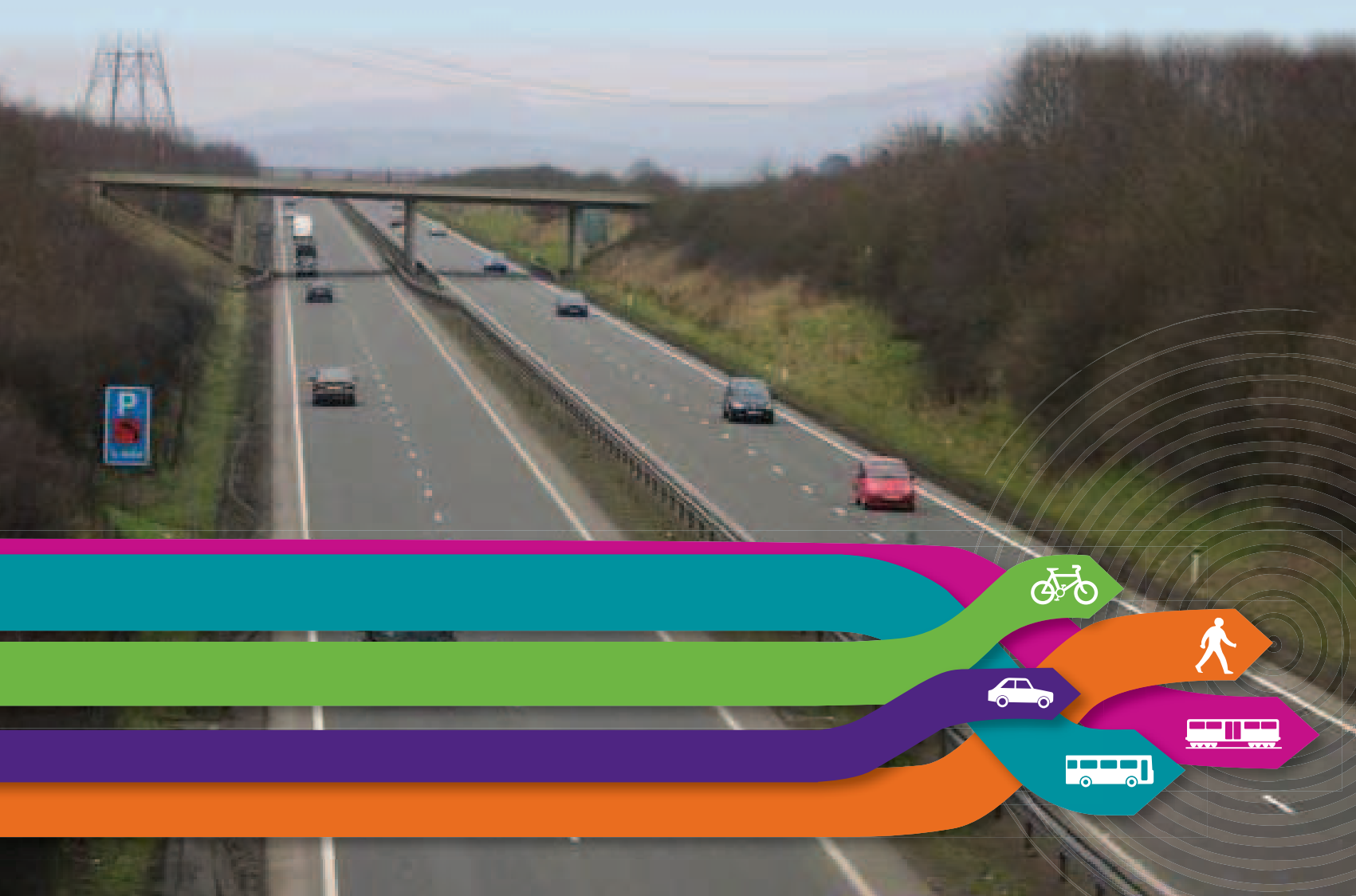
<b>AQ5</b>	TARGETING EXISTING AIR QUALITY MANAGEMENT AREAS CAUSED BY TRANSPORT EMISSIONS
<b>AQ6</b>	MANAGING THE IMPACT ON AIR QUALITY OF NEW DEVELOPMENTS
<b>AQ7</b>	DEVELOPING MEASURES TO DEAL WITH POTENTIAL FUTURE AIR QUALITY MANAGEMENT AREAS
<b>TCC1</b>	REDUCING HARMFUL EMISSIONS FROM VEHICLES
<b>TCC2</b>	ENCOURAGING AND ENABLING SMARTER AND MORE SUSTAINABLE TRAVEL CHOICES
<b>TCC3</b>	OPTIMISING THE ENERGY EFFICIENCY OF TRANSPORT OPERATIONS AND ASSET
<b>TCC4</b>	REDUCING THE NEED TO TRAVEL
<b>TCC5</b>	INTEGRATING CLIMATE CHANGE MITIGATION INTO TRANSPORT POLICY AND STRATEGY
<b>TCC6</b>	RAISING AWARENESS OF THE ISSUES SURROUNDING TRANSPORT AND CLIMATE CHANGE
<b>TCC7</b>	MONITORING CLIMATE CHANGE: THE WEATHER AND ITS IMPACT ON TRANSPORT
<b>TCC8</b>	MAXIMISING THE RESILIENCE OF TRANSPORT ASSETS TO CLIMATE CHANGE
<b>TCC9</b>	MAXIMISING THE EFFECTIVENESS OF EMERGENCY PLANNING AND RESPONSE
<b>TCC10</b>	REDUCING THE IMPACTS OF FLOODING
<b>TCC11</b>	PLANNING FOR AND ADAPTING TO POTENTIAL WATER SHORTAGE
<b>TCC12</b>	DEVELOPING AND IMPLEMENTING APPROPRIATE LOCAL PLANS, POLICIES AND STRATEGIES
<b>TS1</b>	ENHANCING ROAD SAFETY IN DISADVANTAGED AREAS
<b>TS2</b>	SPEED LIMITS OUTSIDE SCHOOLS
<b>TS3</b>	20MPH ZONES IN RESIDENTIAL AREAS
<b>TS4</b>	RURAL ROADS SPEED LIMIT POLICY
<b>TS5</b>	CASUALTY REDUCTION SITES/ROUTES
<b>TS6</b>	DESIGNING ROADS FOR LOWER SPEEDS
<b>TS7</b>	HIGHWAY SAFETY AUDITS
<b>TS8</b>	DEPLOYMENT OF VEHICLE ACTIVATED SIGNS
<b>TS9</b>	ENFORCEMENT OF SPEED LIMITS
<b>TS10</b>	SAFETY CAMERAS
<b>TS11</b>	TRANSPORT SAFETY COMMUNICATION STRATEGY
<b>TS12</b>	ROAD SAFETY EDUCATION IN SCHOOLS
<b>TS13</b>	NATIONAL DRIVER OFFENDER RETRAINING SCHEMES
<b>W1</b>	PARTNERSHIP WORKING TO DELIVER A STRATEGIC WALKING NETWORK AND PUBLIC REALM
<b>W2</b>	MAINTENANCE
<b>W3</b>	WINTER MAINTENANCE
<b>W4</b>	PUBLIC REALM
<b>W5</b>	SPATIAL PLANNING AND DEVELOPER CONTRIBUTIONS FOR WALKING AND PUBLIC REALM IMPROVEMENTS
<b>W6</b>	AT-GRADE PEDESTRIAN CROSSINGS
<b>W7</b>	GRADE SEPARATED PEDESTRIAN CROSSINGS
<b>W8</b>	PEDESTRIAN GUARD RAILINGS
<b>W9</b>	DROPPED KERBS
<b>W10</b>	NEW FOOTWAYS
<b>W11</b>	STREET FURNITURE
<b>W12</b>	PAVING MATERIALS
<b>W13</b>	STREET LIGHTING
<b>W14</b>	STREET TREES
<b>W15</b>	TRADING OUTDOOR SEATING AND ADVERTISING BOARDS ON THE HIGHWAY
<b>W16</b>	EVENTS ON THE HIGHWAY
<b>ROWIP1</b>	MEETING THE NEEDS OF THE PUBLIC
<b>ROWIP2</b>	EASE OF USE
<b>ROWIP3</b>	BALANCING USER NEEDS AND WIDER INTERESTS
<b>ROWIP4</b>	PROMOTING THE NETWORK

Appendix 2 – Submitted Scheme Pro-formas

# A4440 Southern Link Road, Worcester – Dualling Project



## Worcestershire Local Transport Body Funding Application May 2013



# WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

<b>Scheme Name</b>	A4440 Southern Link Road Dualling Scheme
<b>Promoter</b>	Worcestershire County Council (WCC)

## 1. Headline Description

The A4440 Southern Link Road (SLR) forms a key part of Worcestershire's Primary Road Network (PRN) and links the Strategic Road Network (M5, J7) and the eastern side of Worcester City with the A38, A449, A4103 and A44 as well as existing and planned residential and commercial developments on the southern and western side of the city. The A4440 SLR is one of only two road crossings of the River Severn in Worcester and is an important bypass around the south of the city of Worcester providing a key link to West Worcestershire.

The current performance of the A4440 SLR is poor, particularly during the peak periods. The journey times and speeds are forecast to deteriorate further in future years in the absence of infrastructure improvement works.

In view of the importance of the A4440 SLR, an improvement scheme has been developed to be implemented in phases, as follows:

- Whittington Junction improvements: Implemented 2012
- Ketch Junction improvements: To be implemented by April 2015 (DfT funding secured)
- Dualling Ketch – Whittington Junction: To be implemented by 2020 (end of first phase of the South Worcestershire Development Plan)
- Further capacity enhancements between Powick Junction and the M5

This funding bid is related to the third phase of improvements to the A4440 SLR and includes:

- Dualling Broomhall Way
- Enlarging Norton Junction
- Dualling Crookbarrow Way between Norton and Whittington Junctions

## 2. Geographical Area

The plans in Annex 1 illustrate the location of the A4440 Southern Link Road (SLR) in relation to the wider South Worcestershire transport network, including the Highways Agency managed Strategic Road Network (SRN). It also indicates the location of the development sites set out in the Local Planning Authorities (LPA's) South Worcestershire Development Plan (SWDP) and associated Infrastructure Delivery Plan (SWIDP).

## 3. Strategic Case

### 3.1 Scheme Description

#### *Summary*

The A4440 SLR Dualling scheme will address a significant constraint on the performance of the transport network in Worcester and wider South Worcestershire. It will provide additional link and junction capacity over a key section of the A4440 SLR and forms the third phase of an



## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

enhancement scheme for this road:

- Phase 1: Whittington Junction improvements: Implemented 2012
- Phase 2: Ketch Junction improvements: To be implemented by April 2015
- Phase 3: Dualling Ketch – Whittington Junction: To be implemented by 2020 (end of first phase of the SWDP)
- Phase 4: Further capacity enhancements between Powick Junction and the M5

The delivery of the scheme is a priority for Worcestershire County Council, the Worcestershire Local Enterprise Partnership (LEP), Chamber of Commerce, Members of Parliament and the Worcestershire District Authorities. The scheme is aligned with agreed priorities, in particular in terms of supporting economic growth in Worcestershire. The A4440 SLR Dualling is included within Worcestershire's adopted Local Transport Plan (LTP3), the Worcester Transport Strategy (WTS) and the South Worcestershire Development Plan (SWDP) and associated Infrastructure Delivery Plan (SWIDP). It is one of the three major schemes being promoted by Worcestershire County Council for funding via the emerging Worcestershire Local Transport Body (WLTB), the other two being Worcestershire Parkway and the Hoobrook Link Road.

The scheme includes:

- Upgrade to dual carriageway standard of the 1.8km section of the A4440 SLR between Ketch Junction and Whittington Junction
- Increase to the capacity of Norton Junction
- Replacement of the existing railway bridge with new structure able to accommodate a dual carriageway
- Provision of a new pedestrian cycle and equestrian bridge adjacent to the railway bridge, such that users do not have to cross the carriageway at grade
- Replacement of an existing farm access bridge

Failure to deliver this scheme will critically undermine the ability of the Worcestershire transport network to accommodate the planned growth set out in the LPA's SWDP. As such the scheme, once delivered will:

- Support the delivery of the SWDP and its planned 23,200 new homes and 315 hectares of employment land by 2030 and the wider delivery of Worcestershire LPA's proposed 35,500 new homes and 4,345 hectares of commercial development by 2030
- Support the growth of the Worcestershire economy by reducing travel times and costs imposed on businesses, transport operators and other network users by the current and forecast traffic congestion on the A4440 SLR
- Improve the performance and attractiveness to users of the A4440 SLR as a bypass for Worcester City Centre, thereby helping to better manage traffic conditions in the constrained central area
- Improve access to the Strategic Road Network from areas to the west and north west of Worcester, including Malvern Hills District, Herefordshire and parts of the Welsh Marches
- Improve access to key international hubs, including Birmingham International Airport
- Provide 'High Value for Money', with a strong combined economic and financial BCR of 2.1
- Contribute to environmental objectives, particularly addressing the perverse incentive for

# WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

traffic to route via the constrained Worcester City Centre rather than use the A4440 SLR as a bypass

## 3.2 Description of Problems to be Addressed

### *Objectives and Priorities*

The objectives and priorities of Worcestershire County Council and its partners, including the Worcestershire LEP, are set out in the authority's Corporate Plan and the Worcestershire LEP's Business Plan, with economic growth a key aim. The priorities are set out in a range of documents, including:

*Worcestershire County Council's Corporate Plan*

[www.worcestershire.gov.uk/cms/general-council-information/corporate-plan-2011-2017.aspx](http://www.worcestershire.gov.uk/cms/general-council-information/corporate-plan-2011-2017.aspx)

*Economic Strategy*

[www.worcestershire.gov.uk/cms/research-and-intelligence/economy/local-economic-assessment/purpose-and-scope.aspx](http://www.worcestershire.gov.uk/cms/research-and-intelligence/economy/local-economic-assessment/purpose-and-scope.aspx)

*Infrastructure Strategy*

[www.worcestershire.gov.uk/cms/strategic-planning/infrastructure-planning.aspx](http://www.worcestershire.gov.uk/cms/strategic-planning/infrastructure-planning.aspx)

*Local Transport Plan (LTP3)*

[www.worcestershire.gov.uk/LTP3](http://www.worcestershire.gov.uk/LTP3)

*The associated transport strategy for Worcester, the Worcester Transport Strategy:*

[www.worcestershire.gov.uk/cms/transport-and-highways/transport-schemes/worcester-transport-strategy.aspx](http://www.worcestershire.gov.uk/cms/transport-and-highways/transport-schemes/worcester-transport-strategy.aspx)

The priorities are also consistent with the transport elements of the South Worcestershire Development Plan (SWDP) policies and associated infrastructure Delivery Plan (SWIDP). The need to dual the A4440 SLR is a specific transport infrastructure improvement referenced within the SWDP and SWIDP.

[www.swdevelopmentplan.org/](http://www.swdevelopmentplan.org/)

[www.swdevelopmentplan.org/?s=IDP](http://www.swdevelopmentplan.org/?s=IDP)

These priorities are closely aligned with those of the Worcestershire LEP as set out in its 2012 Business Plan.

[www.wlep.co.uk/read-all-about-it/](http://www.wlep.co.uk/read-all-about-it/)

### *Economic Context and Problems*

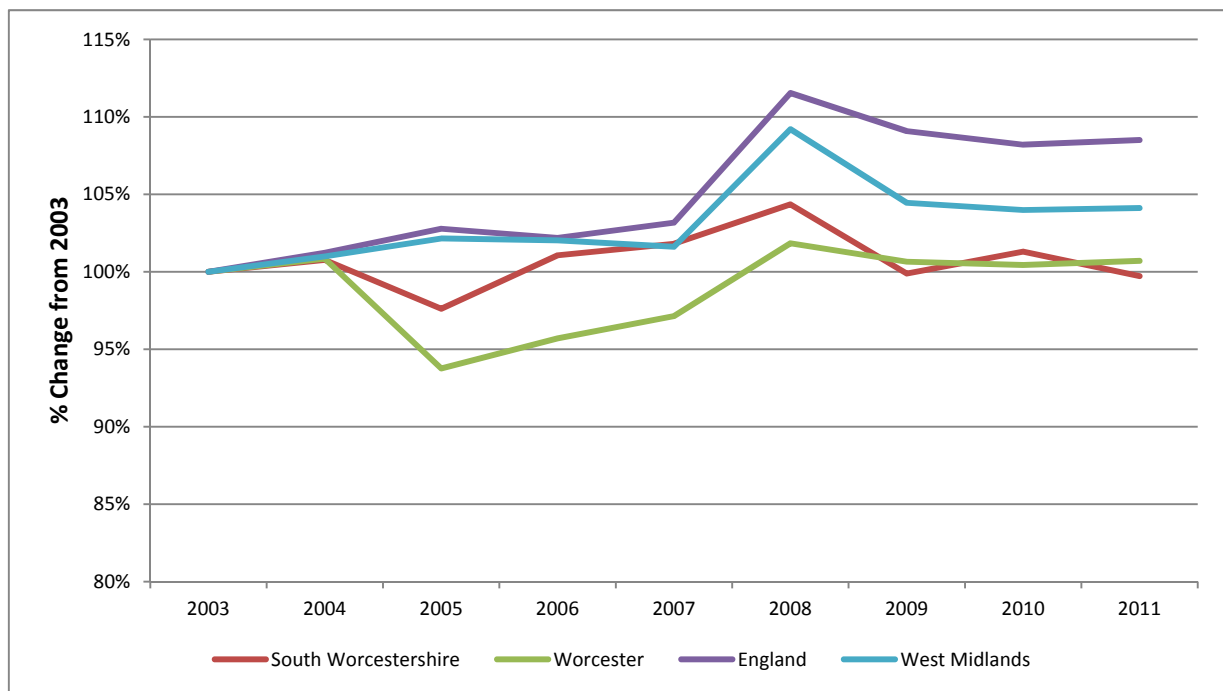
South Worcestershire covers the largely rural districts of Malvern Hills and Wychavon, and the predominantly urban area of Worcester City. Although South Worcestershire has relatively high levels of economic participation and low levels of unemployment, economic trends in the sub-region over the past decade have been mixed. The area's employment grew sluggishly between 2003 and 2008, prior to the global economic downturn. In addition, employment levels in the urban areas of South Worcestershire were already declining prior to the recession.

The Worcestershire economy is still regarded as weak, with a significant proportion of employment within the public sector, which is and will be subject to contraction. There is a clear need to stimulate economic growth and activity through improving conditions to support new and expanded businesses. In the City of Worcester, the unemployment rate currently stands at 4.2%.

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Since the recession, the South Worcestershire economy has shrunk considerably in terms of employment opportunities. In particular, the number of jobs reduced by 4.4% between 2008 and 2011. In comparison, the number of jobs nationally declined by 2.7% over the same period. Furthermore, the employment data sourced from the Office of National Statistics suggests that the number of jobs in South Worcestershire in 2011 were marginally less than the 2003 estimates for the sub-region. In comparison, the number of jobs across the West Midlands and England is nearly 5% and 10% higher than 2003 levels respectively.

*Figure 1: Employment Growth 2003 to 2011 (indexed based on 2003 levels)*



*Source: ABI Workplace data and BRES data, Office of National Statistics*

As a consequence of the decline in employment in South Worcestershire, job density data shows that the number of jobs per working age population in the area has reduced from 0.84 in 2003 to 0.79 in 2011 (a decline of 6%). In comparison, jobs density across England fell by 3% over the same period. The general decline in job numbers in South Worcestershire is compounded in some areas by a reliance on public sector employment and a slow-growing private sector, particularly in the sub-region's urban areas, such as Worcester. Data sourced from the Department of Business Innovation and skills confirms that Worcester has a higher proportion of public sector workers than the national average (28% vs. 21%) and a private sector that was growing slowly relative to national levels (1.6% growth vs. 5.3% growth) prior to the economic downturn.

The recently prepared **South Worcestershire Development Plan: Economic Prosperity Background Paper (2012)**, suggests that a continuation of such trends of sluggish or no growth poses significant threats to the area. The document highlights the area's limited ability to create new jobs could reflect that the ageing demographic of South Worcestershire would have failed to provide enough economic opportunities and new homes for the local youth. Subsequently, young people and families would be priced out of the local housing markets. In this context, the local talent would look toward migrating out of the area.

Furthermore, the document states that the inadequate labour supply caused by the housing shortage could force businesses to relocate out of the area and there would be little investment in infrastructure or jobs. With depressed markets, existing businesses would subsequently find it difficult to grow and inward investors wouldn't see Worcester and South Worcestershire as the

## WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

right place to locate. A decline in the area's economic output would affect the local consumer spending, subsequently impacting on the vitality of the area's city, town and neighbourhood centres.

### Policy Drivers

Recognising such real threats, the South Worcestershire Development Plan (SWDP) states that the key challenges facing the area in planning for the future are:

- job creation to promote economic prosperity
- housing provision and addressing a crucial need for affordable housing, and
- ensuring adequate infrastructure, particularly transport infrastructure.

In particular, the SWDP seeks to create 25,000 new jobs and deliver 23,200 new homes in South Worcestershire by 2030.

The SWDP allocates some 280 hectares of employment land to facilitate the creation of 25,000 new jobs by 2030. Table 1 demonstrates that despite this provision, South Worcestershire has made limited progress on its employment target.

*Table 1: South Worcestershire's progress against its employment target*

Indicator	Estimate	Source
A. Employment Growth Target by 2030	25,000	Sourced from SWDP: Economic Prosperity Background Paper
B. Total FTE Employment 2006	123,365	ABI 2006 Workplace Analysis.
C. Total FTE Employment 2011	121,723	BRES 2011 Employment
D. Growth 2006 to 2011	-1,642	$D = C - B$
D1. Achieved Annual Growth Rate 2006 to 2011	-328	$D1 = D / 5$
E. Outstanding Employment Requirements from 2012 - 2030	26,642	$E = A - D$
E1. Outstanding Annual Employment Requirements from 2012 – 2030	1,402	$E1 = E / 19$

Similarly, Table 2 demonstrates that South Worcestershire has been lagging behind its housing target.

**WORCESTERSHIRE LOCAL TRANSPORT BODY  
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*Table 2: South Worcestershire's progress against its housing target*

Indicator	Estimate	Source/Comment
A. Housing Growth Target 2006 to 2030	23,200	Source: Net Dwellings South Worcestershire, SWDP (Jan 2013)
A1. Housing Annual Growth Target Rate 2006 to 2030	967	$A1 = A / 24$
B. Target Housing Growth 2006-2011	4,833	$B = A1 \times 5$
C. Achieved Housing Growth 2006-2011	3,951	Worcester City/Malvern Hills AMR's 2010-11, Wychavon Housing Land Availability Monitor and Five Year Housing Land Supply Update, Net Completions
D. Shortfall / Surplus 2006-2011	-882	$D = C - B$
E. Outstanding Housing Requirements from 2012 - 2030	19,249	$E = A - C$
E1. Outstanding Annual Housing Requirements from 2012 - 2030	1,013	$E1 = E / 19$

**Barriers to Growth**

The core reasons for South Worcestershire's poor performance against its employment and housing targets are beyond the implications of weak economic climate. In particular, the area's poor transport infrastructure, including the highways network, is identified as a major constraint to bring forward development sites which are critical for achieving South Worcestershire's growth aspirations. That said, the prevailing economic conditions, which impact the financial viability of developments, significantly reduce the prospect of private sector led investment and delivery of important highways (and other transport) infrastructure, which is typically classed as a "public good".

In response, SWDP and supporting SWIDP has identified the need for approximately £204 million of investment in transport infrastructure schemes in the area to support the plan. This includes the delivery of the Worcester Transport Strategy and associated phased major improvements to A4440 SLR, identified in the Worcestershire Local Transport Plan 3 (LTP3).

Analysis of A4440 SLR traffic flows and conditions indicates that traffic flows vary from approximately 2,000 vehicles per hour (vph) between the Ketch and Norton junctions to over 2,700 vph between Norton and Whittington Roundabouts. Further assessment of the ratio of flow to capacity shows that both of these sections of the A4440 SLR are operating with a ratio of flow to capacity (RFC) of 90% in both AM and PM peaks and over 100% westbound in the AM peak.

An RFC of approximately 85% indicates a junction having peak time congestion and values over 100% indicate very unstable conditions with regular and severe congestion and queuing occurring. The current RFC values for the A4440 SLR are at, or close to, 100%, indicating severe peak time

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

congestion and very unstable operating conditions. These conditions will deteriorate as the development envisaged in the SWDP comes to fruition.

Within this context, the SWDP states that the delivery of the wider housing and employment requirements for South Worcestershire (as outlined in Policy SWDP3) will require implementation of the transport infrastructure promoted in LTP3, including partial dualling of the A4440 SLR during the first period of the plan (to 2020), with further capacity enhancements to this road during the subsequent plan period to 2030. Furthermore, Policy SWDP45 specifically states that deliverability of Broomhall Community and Norton Barracks site (also known as the South Worcester Urban Extension), which seeks to deliver 2,450 new homes and bring forward 20 hectares of employment land, is contingent on proposed improvements to the A4440 SLR, including the dualling between Ketch Junction and Whittington Junction by 2020.

### ***Proposed Solution***

In light of the above, implementation of the proposed dualling of the A4440 SLR between Ketch and Whittington Roundabout (as part of the phased improvements between the A44/A449/A4103 and the M5) will remove one of the major barriers to growth identified in the SWDP. The scheme is also integrated with the other improvements to Worcester's transport network as set out in the LTP3 and Worcester Transport Strategy and identified as being needed to support the planned growth.

Hence, the delivery of the project will create conditions for the area to facilitate the achievement of its growth targets of bringing forward 280 hectares of employment land, creation of 25,000 new jobs and delivering 23,200 new homes by 2030 (refer to the location plans in Annex 1 for details of the location of envisaged employment and housing growth in South Worcestershire).

On a similar note, the A4440 SLR dualling scheme's implementation will create certainty for development of the single most significant site allocated in the SWDP, Broomhall Community and Norton Barracks, which lies within the immediate vicinity of the scheme proposals.

### **3.3 Options Considered**

The improvements to the A4440 SLR form part of the wider transport strategy for Worcestershire (LTP3), South Worcestershire and Worcester City. The dualling of the A4440 SLR forms a key part of the Worcester Transport Strategy (WTS) which is also referenced within the adopted LTP3, the SWDP and the SWIDP.

The WTS was developed over the period leading up to the publication of the LTP3 and the separate (but parallel) submission of the Worcester Transport Strategy Major Scheme Bid (WTSMSB). A preliminary appraisal of the WTS was undertaken during this period. The findings were set out in a Preliminary Appraisal Report (PAR), prepared during 2009. A copy of the PAR is available and will be provided upon request.

#### **Summary of WTS PAR**

The composition of the WTS has been driven by a set of 'desired outcomes' (economic growth, increased accessibility, reduced congestion and more sustainable travel) which in turn have been derived from agreed policies and objectives.

In addition, it was necessary to consider the future development of the City of Worcester and the future transport needs of the city. Inputs included the Regional Spatial Strategy (RSS) for the West Midlands and the South Worcestershire Joint Core Strategy (SWJCS) which was developed to plan the delivery of this growth (this was a predecessor to the current SWDP).

In developing and updating the WTS, it was apparent that without increased transport capacity, Worcester's ability to grow and remain a key centre in Worcestershire and the wider region would

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

be significantly constrained. Traffic congestion was forecast to increase, access to key services reduced, and negative environmental impact would occur due to reduced air quality, resulting in a decline in the quality of life for residents and reduction in the overall attractiveness of the City for businesses and visitors.

Bringing together the problems, desired outcomes and growth requirements, it was recognised that a wide-ranging package of multi-modal transport measures would be required, including the following potential components:

- Highway infrastructure improvement schemes to increase transport capacity for local and strategic movements, supporting proposed new land-use developments.
- Improvements to multi-modal transport infrastructure along key corridors
- New walk and cycle schemes, including improvements to the public realm in the City Centre
- Adoption of an intelligent transport system to maximise the capacity of the existing road network and including elements such as real time passenger information for bus passengers and variable message signing for car drivers
- Improved bus stop facilities and information, and new interchange locations
- Smarter Choices measures to encourage sustainable travel
- Introduction of new park & ride services and facilities, integrated with the commercial bus network and with supporting measures on access routes to the City Centre;
- Measures aimed at reducing traffic demand, including the reallocation of road space and provision of improved alternatives to the private car, in order to increase transport choice;

The experiences and plans of a number of comparable cities (e.g. Oxford, Cambridge, York, Lincoln) with similar underlying issues on congestion, accessibility and a need to encourage economic growth were examined. These cities are proposing/implementing a phased package of measures, containing sustainable modes and local highway schemes, providing high value for money and supporting economic growth. As such, this model was seen as best practice.

The WTS was split into phases, to ensure deliverability and to fit with available funding. The proposed phasing approach follows the example set by other cities which had successfully secured funding for transport packages. The first phase of the WTS, which formed the subject of a successful Major Scheme Business Case (MSBC) to the DfT, comprised the following:

- Junction capacity enhancements on the A4440 SLR (this is NOT the dualling scheme)
- Key corridor improvements (along two corridors)
- Upgrades to two rail stations
- Implementation of an Intelligent Transport System scheme

It was recommended that the subsequent phase of the WTS included the rest of the package including one or more of the major strategic highway infrastructure projects, e.g. A4440 SLR dualling.

### **Appraisal of the WTS Package**

The preliminary assessment of the WTS was undertaken, following DfT requirements and was designed to identify the package and wider strategy which offered the best value for money in the round.

*WTS Phase 1:* The appraisal showed it to deliver strong positive benefits across DfT appraisal

## WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

criteria.

*WTS Phase 2:* The case for the subsequent phase of the WTS (including the dualling of the A4440 SLR) is as robust as Phase 1 in terms of the value for money offered.

A copy of the PAR is available and can be provided upon request.

### Option Development

#### *Narrow lanes through existing Railway Bridge (avoid need for a new bridge)*

The first option to be considered involved “squeezing” four lanes of traffic through the existing railway bridge. The primary obstacle to this is that there is only just over 13m between the safety fences. This is insufficient to fit four lanes of traffic and a central reservation, even if narrow lanes are utilised. If the road was constructed without a central reservation, the traffic lanes would have to be narrower than the standard width of 3.65m. Four lanes of 3.2m would be feasible; however, this would not leave sufficient room to retain the existing combined footway/cycleway.

Although single carriageway four-lane roads are seen in urban situations (subject to a 30mph or 40mph speed limit), this is not appropriate for the A4440 SLR due to the high speed nature of the alignment (straight and on a gradient), the rural character of the location and the designated national speed limit. These factors combine to make it difficult to discourage high vehicle speeds. It is considered that this layout is not sufficiently safe to justify the required departure from standards for the reduced lane width.

#### *Offline Dual Carriageway*

This option assumes retaining the existing rail bridge and using the existing road as the eastbound carriageway of the dual carriageway. The new westbound carriageway would pass under the railway through a newly constructed bridge, which would be similar in form and dimensions to the existing rail bridge. Because the new bridge could not be constructed directly alongside the existing one, the nominal spacing between them creates a very large central reservation, hence the new carriageway would be ‘offline’ relative to the existing one.

The advantages to this layout occur primarily during construction. The new bridge and carriageway could be constructed with only nominal disturbance to existing traffic, as a large portion of the construction work would be away from the current highway. In addition, the new bridge could be “jacked” under the railway and, with traffic temporarily diverted onto the new carriageway, the existing bridge could be demolished and the new deck lifted in without implementing a full road closure.

The main disadvantages of this layout; however, are that it involves greater land take and excavation/disposal. The westbound carriageway is located further south; therefore, the area of land to purchase is larger. In addition, the route would also be in cutting, resulting in significantly more excavated material to dispose of. This has implications on cost and the environment. Other factors considered include the cost of the extra spans of the farm accommodation bridge and footbridge, which offset the cost savings of the smaller rail bridge (compared with the online option proposals).

One operational difficulty with the offline option is that carriageways that are clearly separate are less intuitive for drivers because it may not necessarily be obvious to a driver that they are driving on a dual carriageway road. In addition, large central reservations, particularly with structure supports located within them, have a higher maintenance liability and will require interim night-time closures of the high speed lanes to facilitate these operations (e.g. inspections and maintenance).



## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

### *Online Dual Carriageway*

The online option provides a conventional dual carriageway cross section between Whittington and Norton Roundabout. The new larger span rail bridge will be constructed on the same site as the existing one, with the demolition of the old bridge and lifting in of the new bridge deck taking place during an extended closure of both the rail line and the A4440.

This option has the advantage to road users of being a clearly recognisable dual carriageway, designed and constructed to normal standards. It has a smaller land take footprint than the offline option and will require a smaller span footbridge. The deck of the existing farm accommodation bridge will be reused on new abutments.

In cost terms, the online and offline options are broadly similar, with the additional cost of the 'online' structures being offset by the additional costs of 'offline' land take and earthworks.

The route alignments for the offline and online options are presented in Annex 2.

As part of the feasibility study, a detailed workshop was completed to determine the preferred route of the highway scheme (online v offline). The appraisal tested the options across the following key criteria:

- Strategic fit with the core objectives of the Worcester Transport Strategy & Dualling of the Southern Link Road
- Key stakeholder acceptability
- Technical robustness
- Deliverability
- Value for money in terms of benefit-cost-ratio.

The outcome of the workshop determined that the overall preferred option was the online option. This option scored higher in 11 categories out of 23 compared with 4 for the offline option. The remaining categories were scored equally. As such, the online option is being progressed and forms the basis of the proposed scheme in this submission.

### **3.4 Expected Benefits / Outcomes**

This phase of the A4440 SLR dualling improvements (i.e. between Ketch and Whittington Junctions), the focus of this funding bid, are a critical integrated element of the SWDP's transport schemes identified to support growth in South Worcestershire.

**The scheme represents good value for money with a BCR of 2.1 placing it in the DfT's High/Medium category). The net present value of benefits of A4440 SLR dualling scheme is £75million.**

The implementation of the major transport infrastructure schemes identified in the SWDP and SWIDP will result in the following impacts in the South Worcestershire area:

- Facilitate delivery of 23,200 homes by 2030, in particular create certainty for delivery of 19,249 units between 2012 and 2030;
- Remove barriers to bring forward 280 hectares of employment land by 2030; and
- Create conditions to support the delivery of 25,000 new jobs by 2030.

As identified later in this funding application, the costs of the first phase of the A4440 SLR dualling proposals are estimated at £31 million (outturn costs). This relates to approximately 14% of costs estimated for all transport infrastructure improvements required in the area. Within this context,

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14% of the above mentioned outputs of the SWDP's transport schemes, in particular the housing and employment impacts, will be attributable to the first phase of the A4440 SLR dualling proposals. The A4440 SLR dualling proposal contained within this bid is estimated to:

- Facilitate delivery of 2,695 homes across South Worcestershire by 2030,
- Create conditions to bring forward 3,554 new jobs across South Worcestershire by 2030.

Using the sectoral breakdown for the employment impacts identified in the South Worcestershire Development Plan: Economic Prosperity Background Paper and the per capita per annum Gross Value Added (GVA) benchmarks sourced from Annual Business Survey data, the GVA impact of the proposed scheme is estimated at:

- £1.24 billion, undiscounted, over the appraisal period
- £811 million, discounted, over the appraisal period.

(Note: the estimation of GVA impacts assumes that the persistence of each job created is 10 years.)

Furthermore, during the construction phase, the £29 million capital expenditure (including design development but excluding land costs) will also result in GVA and employment impacts. These impacts, which will materialise by 2018/19, are estimated at:

- 196 construction based gross new full-time equivalent jobs
- £11.01 million of GVA (undiscounted).

The results of the economic appraisal are provided in Annex 3, but in summary, the scheme is forecast to generate (excluding GVA benefits):

- A Present Value of Benefits of £75m
- A Net Present Value of £38.6m
- A benefit cost ratio of 2.1 (excluding air quality, noise, accidents and journey quality and no benefits claimed for bus passengers and active modes which would be expected to accrue)

### **3.5 Project Scope**

The scope of the project is to upgrade the existing Southern Link Road between the Whittington junction and the dual carriageway that will be constructed to the East of the Ketch Roundabout. It includes upgrading the existing Junction at Norton and an enlarged bridge beneath the Worcester – Norton Junction Railway line. The scheme will also include a new footbridge for non-motorised users and replacement of an existing farm access accommodation bridge.

Value Engineering has not yet been carried out, as the scheme is in the early stages of development. It is anticipated that the deck for the accommodation bridge can be reused by lifting it off and placing it on new abutments.

### **3.6 Related Activities**

The scheme assumes that the Ketch Roundabout improvement will be constructed before this scheme, so that the dual carriageway can be continued between the Whittington and Ketch Roundabouts.

Land will have to be acquired to construct the scheme. Whilst negotiations with land owners are in progress to obtain land by agreement, the programme has allowed for the Compulsory Purchase of the land.

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The scheme is also dependant on the successful construction of a larger railway bridge beneath the Oxford Worcester Wolverhampton Rail line to accommodate the widened carriageway. This involves reaching agreement with Network Rail on the form, construction methods and construction programme for the bridge. Discussions with Network Rail are underway to agree these and related issues.

### **3.7 Consequences of Funding Not Being Secured**

South Worcestershire has significant employment and housing targets, namely to deliver 25,000 new jobs and 23,200 new homes by 2030. The delivery of these targets is contingent to the successful and timely implementation of the first phase of the A4440 SLR improvements dualling improvements (i.e. between Ketch and Whittington Junctions), the focus of this funding bid.

As demonstrated in response to Question 3.2, highways infrastructure requirements such as A4440 SLR improvements are already impacting negatively on South Worcestershire's performance against its growth targets. If the bid is unable to secure the requested funding, Worcestershire County Council and its partners will not be able to deliver the identified and much needed improvements to this road.

Hence, failure to secure funding would also result in continuation of A4440 SLR position as a major growth constraint for South Worcestershire. This would significantly impact upon South Worcestershire's ability to achieve its employment and housing targets, which are critical to revive the area's struggling economy.

Failure to renew South Worcestershire's economic prospects and housing market poses significant threats to the area, not least in terms of continued decline in employment levels, business investment and economic output. This will have a significant detrimental impact on South Worcestershire's attractiveness as a business location or place to live leading to a downward spiral for the area's economy.

## **4. Fit with Strategic Policy & Objectives**

### **4.1 Fit with Over-Arching Economic Objectives**

#### *Economic Context*

Economic trends in South Worcestershire over the past decade have been mixed. The area's employment grew sluggishly between 2003 and 2008, prior to the global economic downturn. The number of jobs per working age population in South Worcestershire reduced by 6% between 2003 and 2011 (compared with 3% across England). The general decline in job numbers in South Worcestershire is compounded in some areas by a reliance on public sector employment and a slow-growing private sector, particularly in Worcester.

The recently prepared South Worcestershire Development Plan: Economic Prosperity Background Paper (2012) suggests that a continuation of such trends of sluggish or no growth poses significant threats to the area.

#### *Objectives and Priorities*

The objectives and priorities of Worcestershire County Council and its partners, including the Worcestershire LEP, are set out in the authority's Corporate Plan and the Worcestershire LEP's Business Plan, with economic growth a key aim.

#### *Worcestershire County Council's Corporate Plan*

The Corporate Plan highlights the relatively poor performance of the Worcestershire economy. The county's Gross Value Added is £4,200 per annum below neighbouring Warwickshire's, with this

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a longer term problem than current economic difficulties. The Corporate Plan is aiming to try and close this gap, including through developing the County's assets and skills base and investments in the County's infrastructure where this addresses barriers to economic growth. This will include investment in transport infrastructure where this supports Corporate Objectives.

The Corporate Plan highlights that spending on capital programmes will be a priority where this tackles enablers critical to growth, including transport schemes such as:

- Strategic route improvements
- Rail station improvements

The A4440 SLR scheme falls within the strategic route improvements category.

### *Worcestershire LEP*

The Worcestershire LEP recognises that connectivity and good transport infrastructure is essential to maximise Worcestershire's potential and to create a competitive environment. Examples include the improvement of pinch points that are barriers to growth, which would include the A4440 SLR.

### *Worcestershire Economic Strategy*

One of the strategic objectives of the Worcestershire Economic Strategy for Worcestershire is to support the sustainable development of the county through infrastructure development, especially transport. The Strategy highlights the need for targeted capital investments such as the A4440 SLR dualling, which can create conditions for growth.

## **4.2 Fit with Local Policy Objectives**

The A4440 SLR scheme is closely aligned with the objectives and priorities of Worcestershire County Council and its partners, with economic growth a key aim. The need to improve the performance of the A4440 SLR is referenced in the Worcestershire LTP3. The dualling of the A4440 SLR is a specific LTP3 policy (W16), whilst the earlier phases of the improvements to the A4440 SLR are also referenced in LTP3 policies W4 (Ketch Junction) and W5 (Whittington Junction).

### *Local Transport Plan*

Worcestershire's LTP3 highlights that an efficient multi-modal transport network is important in sustaining economic success in modern economies, and that slow and unreliable transport networks will inhibit economic performance. The economic objective of the LTP3 is to support Worcestershire's economic competitiveness and growth through:

- Prioritising limited funding towards improving the transport infrastructure and services and reducing transport costs along the busiest /most used transport corridors and in congested urban areas, such that the Worcestershire economy obtains the greatest benefits from investment
- Dealing with 'pinch points' on Worcestershire's transport networks, to ensure the efficient movement of people and goods around Worcestershire

In mature economies like Worcestershire's, with well-established transport networks and where connectivity between economic centers is already in place, investment should be focused on maintaining or enhancing the performance of the existing networks (across all modes of transport), particularly where journey time reliability is deteriorating (as with the A4440 SLR).

Hence, the LTP3 identifies major improvements to A4440 SLR as a major priority for the area going forward.

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### *South Worcestershire Development Plan*

The need to dual the A4440 SLR is a specific transport infrastructure improvement referenced within the SWDP and associated SWIDP. The need to improve the capacity of the A4440 SLR is also referenced by the Highways Agency in their comments on the SWDP and their inputs to the SWIDP

The SWDP aspires to improve, protect and manage sustainable growth via a set of overarching aims:

- Delivering economic prosperity with Worcester at the heart;
- Locally justified housing;
- Infrastructure-led development.

The aims are aligned with Worcestershire LEP's strategic objective to address planning, development and transport infrastructure in the area. The key housing and employment targets identified in SWDP are outlined in Policy (SWDP3), and include:

- 280ha of employment land, of which 80ha will be in Worcester City and 120ha in total across the wider Worcester Area;
- 23,200 net dwellings, of which 5,500 will be in Worcester City and 9,400 in total across the wider Worcester Area.

The SWDP also outlines 200 land allocations for various housing, employment and mixed-use development schemes over the plan period. The largest individual site is South Worcester Urban Extension (SWDP8/1), located just south of Worcester and the A4440 SLR. The site is allocated for 2,450 dwellings and 20 ha of employment land, or 11% and 7% of the total housing and employment land respectively.

The SWDP highlights that the A4440 SLR dualling forms a critical integrated element of the Plan's transport schemes identified to support growth in South Worcestershire. The SWDP policy which crystallises this approach is: SWDP 4 - Moving around South Worcestershire. This is the key transport policy within the plan.

In the section of Policy SWDP 4, titled; *Delivering transport infrastructure to support economic prosperity* it states that:

*"With respect to growth at Worcester.....The implementation of 9,400 dwellings and 117ha of employment land up to 2030 will therefore be dependent upon the development and satisfactory implementation of additional [to Phase 1] elements of the Local Transport Plan 3 Worcester Transport Strategy, including:*

- i. Partial dualling of the Southern Link Road [i.e. the subject of this bid]*
- ii. Multi-modal enhancements on all the remaining key radial and orbital transport corridors in Worcester City*
- iii. Additional walk and cycle route enhancements*
- iv. Upgrade of Worcester Shrub Hill station and associated improvements to the local highway network*
- v. Smarter Choices (Choose How You Move) measures at all new developments (traffic generation increases by approximately 10% without these measures)"*

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**5. Deliverability**

**5.1 Details of Any Previous Work Undertaken**

<b>Concept Study</b>	✓
<b>Feasibility</b>	✓
<b>Preliminary Design</b>	✓
<b>Detailed Design</b>	
<b>Risk Register</b>	✓
<b>Detailed Work Programme</b>	✓
<b>Quantified Risk Assessment</b>	✓
<b>Environmental Appraisal</b>	✓
<b>Member Approval</b>	✓
<b>Commitment of Partners</b>	✓
<b>Consultation with Key Stakeholders</b>	✓
<b>Strategic Business Case</b>	✓
<b>Business Case with BCR</b>	✓
<b>Other (Specify)</b>	

**5.2 Dependencies and Risks / Barriers to Delivery**

**5.2.1 Land Ownership**

In order to construct the scheme, land will need to be purchased from five different private land owners. The adjacent land is either farmland or earmarked for development. The proposed development is dependant on improvements to the Southern Link Road being undertaken.

**5.2.2 Requirement for Compulsory Purchase**

Whilst negotiations with land owners are in progress to obtain land by agreement, the programme has allowed for the Compulsory Purchase of the land. This will reduce risk to the scheme programme.

**5.2.3 Land Type** (e.g. all highways, presently occupied etc.)

The land required for the scheme is a combination of WCC Highways and privately owned land. The privately owned land is distributed between five parties. In assessing the value of the land, Worcestershire County Council has taken account of the current usage and as set out in the SWDP (where this differs). This ensures that the scheme costs take account of planned development potential.

**5.2.4 Requirement for Major Statutory Instruments** (e.g. TWA, Side Road Orders etc.)

If required, compulsory purchase of land will be carried out under the powers of the Acquisition of Land Act 1981. This will also rely on the following sections of the Highways Act 1980:

- Section 239: which deals with general powers for the acquisition of land for the construction of a highway.
- Section 240: which deals with general powers for the acquisition of land required for, or for use in connection with construction of the highway.
- Section 246: which deals with the acquisition of land for the purpose of mitigating any

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adverse effect which the existence or use of the proposed highway will have on its surroundings.

### 5.2.5 Requirements for Planning Consents

Current advice is that the scheme will require planning consent. This has been allowed for within the programme and cost estimates. It is not anticipated at this time that a statutory Environmental Impact Assessment (EIA) will be required, however, a screening opinion is to be prepared and submitted to Worcestershire County Council planning department to confirm this. Regardless of the screening decision, the programme will not be adversely affected.

### 5.2.6 Known Environmental Impacts (e.g. SSSIs, Ancient Monuments, Green Belt etc.)

The A4440 and the immediate surrounding area does not lie within a conservation area although there is a Scheduled Monument nearby. The anticipated environmental impacts are not considered to be significant. An initial environmental appraisal has been undertaken and further details are provided in Section 9 and in the Value for Money Report in Annex 3.

### 5.2.7 Other

The detailed design is yet to be undertaken, however, the impacts of the risks associated with this (e.g. on cost and programme) have been considered and due allowance has been made for this risk in the Quantified Risk Assessment and programme.

## 6. Timescales

### 6.1 Earliest Start on Site

April 2016

### 6.2 Scheme Delivery Date Assessment

Delivery Period		Overall Deliverability <i>(Tick only one row)</i>				
		Highly Deliverable	Readily Deliverable	No Major Barriers	Moderate Delivery Risks	Significant Delivery Risks
Before 2014/15						
2014/15 to 2018/19 (inclusive)	✓			✓		
2019/20 to 2025/26 (inclusive)						
Beyond 2026						

### 6.3 Approximate Duration of the Scheme

24 months

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**7. Delivery Agency**

**7.1 Proposed Delivery Agency**

Worcestershire County Council

**7.2 Partnership Bodies (if any) you Plan to Work with During Design or Delivery**

None, however, we are and will continue to be work closely with Network Rail and the Highways Agency.

**8. Costs & Funding**

**8.1 Cost**

Specific estimate if available	£31.36m (outturn cost)
--------------------------------	------------------------

**8.2 Proposed Sources of Funding**

Source	Contribution ( <i>tick</i> )	Approx %
LTP		
Major Scheme Funding	✓	19.1
CIL		
Highways Agency		
Network Rail		
Regional Growth Fund		
Local Authority (e.g. Prudential Borrowing / asset release)	✓	23.5
Transport Operator		
Private Sector	✓	57.4
Other (specify if known)		



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**8.3 Project Costs**

**8.3.1 Table A: Funding Profile (Nominal Terms)**

£000s	Earlier years	2015/16	2016/17	2017/18	2018/19	Later Years	Total
<b>LTB funding sought</b>		0	4,500	1,500	0		6,000
<b>Local Authority contribution</b>	2,060	230	1,110	3,470	490	0	7,360
<b>Third Party contribution</b>	1,000	2,550	6,800	5,100	2,550	0	18,000
<b>TOTAL</b>	3,060	2,780	12,410	10,070	3,040	0	31,360

**8.3.2 Table B: Cost Estimates (Nominal Terms)**

Cost Heading	Cost (£000s)	Date Estimated	Status (e.g. Target Price)
Scheme development including surveys/design development/3rd party costs (e.g. Network Rail), PI costs, etc...	4,720	March 2013	Cost Estimate
Works Cost (incl Land, excl. Pt1 Claims)	22,840	March 2013	Cost Estimate
Works Supervision	670	March 2013	Cost Estimate
Quantified Risk	3,130	March 2013	Cost Estimate
<b>TOTAL</b>	31,360		

*Notes:*

1) LTB funding must not go beyond 2018/19 financial year.

2) A minimum local contribution of 10% (local authority and/or third party) of the project costs is required.

3) Costs in Table B should be presented in outturn prices and must match the total amount of funding indicated in Table A.

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**9. Economic Assessment**

	<i>Tick <u>one</u> box for each row only</i>						
	<i>Large / High Beneficial</i>	<i>Moderate Beneficial</i>	<i>Slight Beneficial</i>	<i>Neutral</i>	<i>Slight Adverse</i>	<i>Moderate Adverse</i>	<i>Large / High Adverse</i>
<b><i>Economic</i></b> (Note: VfM: Low = 0>1.4, Medium 1.5 > 2.0, High 2.0+)							
<i>Transport Economic Efficiency (VfM)</i>		✓					
<i>Reliability</i>		✓					
<i>Wider Economic Benefits</i>	✓						
<b><i>Environment</i></b>							
<i>Noise</i>				✓			
<i>Local Air Quality</i>				✓			
<i>Greenhouse Gasses</i>				✓			
<i>Landscape / Townscape</i>						✓	
<i>Heritage</i>					✓		
<i>Biodiversity</i>						✓	
<i>Water Environment</i>				✓			
<b><i>Social</i></b>							
<i>Physical Fitness</i>				✓			
<i>Journey Quality</i>		✓					
<i>Accidents</i>				✓			
<i>Security</i>				✓			
<i>Access to Services</i>	✓						
<i>Affordability</i>				✓			
<i>Severance</i>				✓			
<i>Option Values</i>				✓			

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*Provide a brief bullet point summary of justification for the above WebTAG appraisal based on each of the three main headings only:*

<b>Economy</b>	<ul style="list-style-type: none"> <li>• The package delivers time saving benefits to business trips. Over 60% of trips will have a time saving, and 7% will be over 2 minutes of travel time, and 3% over 5 minutes. A proportion of traffic will also divert from Worcester City Centre to use the improved A4440 SLR, with consequent benefits to the city centre network.</li> <li>• The A4440 SLR dualling scheme will provide opportunities to unlock the SWDP sites, in particular those located in and around Worcester and its planned large urban extensions, including that adjacent to the scheme. The scheme will also provide new housing, employment and economy benefits to the City and County.</li> </ul>
<b>Environment</b>	<ul style="list-style-type: none"> <li>• There may be an increase in noise levels associated with increases in traffic flows and if traffic speed increases. There is also the potential for changes in noise level at properties adjacent to the wider road network resulting from changes in traffic patterns. Dualling to the south would take some traffic further away from sensitive receptors located north of Crookbarrow Way.</li> </ul>
<b>Social</b>	<ul style="list-style-type: none"> <li>• Reduction in traveller stress through less unproductive time, less opportunity for conflict and easier trip planning / scheduling. In order to minimise driver uncertainty, high quality road markings / signage will be provided as part of the proposed works.</li> <li>• Reduced journey times and improved reliability for local bus services as a result of decongestion. Benefits will accrue to the full range of trips on the local highway, which will include commuters and business users.</li> <li>• The scheme will unlock the development potential associated with the SWDP sites, in particular those located in and around Worcester and its planned large urban extensions, including that adjacent to the scheme.</li> </ul>

### 10. Financial Case – Affordability & Risk

*a) What risk allowance has been applied to the project cost and what is the basis of this allowance?*

The risk allowance is £3.13m. This allowance excludes any risks associated with ongoing operation costs. Refer to the summary of Scheme Costs, Risk Management Plan (including High Level Risk Register) and Quantified Risk Assessment in Annexes 4, 5 & 6 respectively for further details.

*b) How will cost overruns be dealt with?*

WCC has allocated sufficient budget to deliver this scheme on the basis of its proposed funding contribution and accepts its responsibility to meet any costs over and above the LTB contribution requested, including potential cost overruns and the underwriting of any funding contributions expected from third parties.

*c) What are the main risks to project delivery timescales and what impact this will have on cost?*

The key “fixed” milestone in the programme is the extended railway possession required for the

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demolition of the existing bridge structure and installation of the new deck. This is programmed to occur over Christmas 2017 and failure to meet this deadline could result in a 3 to 12 month delay because the required length of possession is only achievable at Christmas or Easter. The programme has taken this into consideration; however, the key risk to achieving this date is if the CPO Public Inquiry (if required) takes significantly longer than anticipated.

*d) How will cost overruns be managed?*

WCC accepts its responsibility to meet any costs over and above the LTB contribution requested, including potential cost overruns and the underwriting of any funding contributions expected from third parties. This responsibility includes seeking increases in third party contributions where this is considered to be appropriate and feasible.

### 11. The Economic Case – Value for Money

The scheme represents good value for money with a BCR of 2.1 placing it in the DfT's High/Medium category). The net present value of benefits is £75million.

Annex 3 includes the Value for Money Assessment for the proposed scheme. Chapter 2 of this report covers the traffic modelling of the scheme using the Worcester Transport Models, developed as part of the Worcester Transport Strategy and assessed as fully WebTAG compliant by DfT. Included in the report is a summary of the model validation showing compliance against DMRB for flows and journey times, demonstrating the model is fit for purpose for testing of a major scheme. Also included in this chapter is analysis of the impacts of the scheme with assessments including flow changes and congestion relief to the network, reflecting positive and negative impacts. Chapter 4 of the value for money report includes the economic appraisal, and Table 4.4 reports the distribution of time saving benefits and the number of gainers and losers, in terms of travel time impacts, of the scheme. Overall, the gainers will exceed the losers by 25%, with 95% of time savings less than 1 minute.

Annex 3 includes the Value for Money Report, with Chapter 4 covering the estimate of the BCR. The approach to calculating the Benefits Costs Ratio (BCR) has been completed in a spreadsheet, and is based on TUBA and the values in WebTAG. The outputs from the WTM Model covering changes in vehicle hours and kilometres travelled between the reference case and the scheme form the inputs to the economic appraisal.

A summary of the economic results for the scheme are shown below. Full TEE, PA and AMCB tables are provided in Annex 3, Chapter 4.

Benefits / Costs	Central Case
PVB	74.9
PVC	36.2
NPV	38.6
<b>BCR</b>	<b>2.1</b>

To reflect uncertainty in the case, a number of sensitivity tests have been completed, as reported below. The combined effect of the potential downsides to the economic case would reduce the BCR from 2.1 to 1.6. Clearly, there is also the potential for upside impacts to the case that would increase the BCR to above the central case to a value of 2.3.

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<b>Benefits / Costs</b>	<b>Central Case</b>	<b>+10% Capital Costs</b>	<b>Halved Maintenance Cost</b>	<b>Low Demand Growth</b>	<b>High Demand Growth</b>	<b>Exclude Developer Contribution</b>
<b>Impact</b>	Central Case	Downside	Upside	Downside	Upside	Downside
<b>PVB</b>	74.9	74.9	74.9	58.4	84.6	103.7
<b>PVC</b>	36.2	41.2	28.9	36.2	36.2	65.0
<b>NPV</b>	38.6	33.6	45.9	22.2	22.2	38.6
<b>BCR</b>	2.1	1.8	2.6	1.6	2.3	1.6

## **12. The Commercial Case**

An outline procurement strategy will require development for the proposals at the earliest opportunity to allow a high level preliminary sift of potential options that, once a select number of options have been identified, can be revised and further developed in due course. The procurement will be in line with the WCC Procurement Code and, due to the scheme value, will be via OJEU.

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**13. The Management Case - Delivery**

**13.1 Development and Construction Milestones**

Description	Estimated Date
Surveys	January 2014
Outline design	May 2014
Planning Approval	May 2014
Publish CPO (if required)	Sept 2014
Inspectors Report (if required)	Sept 2015
Commence Procurement (OJEU)	May 2015
Award Construction Contract	February 2016
Commence site works	April 2016
Planned Rail bridge closure	December 2017
Scheme open to traffic	May 2018

A high level project plan in Gantt chart form is provided in Annex 7.

**13.2 Previous Delivery Performance**

Worcestershire County Council is currently delivering the £19.56m Worcester Transport Strategy (Phase 1) Major Scheme (WTS). This scheme comprises a series of improvements to the network in and around the city of Worcester including improvements to key corridors into Worcester city centre and upgrading of the existing Ketch roundabout on the A4440 Broomhall Way (part of the Southern Link Road). The Ketch roundabout upgrade scheme has been specifically designed to be compatible with the proposed dualling scheme. The WTS scheme continues until March 2015 and is currently on programme and within budget.

Worcestershire County Council is currently delivering the £8.2m Evesham Abbey Bridge project funded through the DfT Major Scheme process. This major scheme comprises the replacement of a key bridge over the River Avon in Evesham, the modification of an adjacent junction and provision of improved facilities for pedestrians and cyclists. The scheme has involved managing the development and procurement of a bridge design compatible with the area and which offers value for money within available funding, preparation and submission of a successful planning application and associated consultation (and ongoing communications) with the public and key stakeholders and the preparation of a traffic management strategy for the period of construction. The bridge is currently under construction, and will be operational by the end of 2013. The scheme is currently on programme and within budget.

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### 14. Statutory Powers and Consents

*Please list separately each statutory power / consent required.*

<b>Statutory Powers and Consents Required</b>		
<b>Description</b>	<b>Act or Legislation</b>	<b>Comments</b>
Full Planning Consent	Planning Act 2008	To be determined by Worcestershire County Council.
Compulsory Purchase Order	Highways Act 1980	To be determined by Secretary of State. May not be required if third party negotiations are successful.
Land Drainage Consent	Land Drainage Act 1991	
European Protected Species Licence	Conservation of Habitats and Species Regulations 2010	To be determined by Natural England. Low potential for EPSL to be required, but would be necessary if bat roost or otter holt impacted.
Badger Disturbance Licence	Badger Protection Act 1992	To be determined by Natural England if a badger sett is impacted/ disturbed.

### 15. Governance

Project Governance details are provided in Annex 8.

### 16. Risk Management

A Risk Management Strategy is provided in Annex 5. A summary of the QRA is provided in Annex 6.

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### 17. Stakeholder Management

*(a) Please provide a summary of your strategy for managing stakeholders, with details of the key stakeholders together with a brief analysis of their influences and interests.*

Please see the Communications Review (which includes the Communications Plan) in Annex 9 which presents any engagement undertaken to date and outlines the strategy for managing key stakeholders up to and beyond the funding application.

Letters of Support for the proposals have been secured from primary stakeholders and the stakeholders are aware of this application to the Worcestershire Local Transport Body.

*(b) Can the scheme be considered as controversial in any way? If yes, please provide a brief summary (in no more than 100 words)*

The scheme could be considered contentious by a small number of residential properties adjacent to the proposals.

*(c) Have there been any external campaigns either supporting or opposing the scheme? If yes, please provide a brief summary (in no more than 100 words)*

No

### 18. Benefits Realisation, Monitoring and Evaluation

#### Introduction

A commitment to monitor scheme impacts, and evaluate the impact of the scheme once implemented and its benefits realisation is based on WebTAG guidance to bidders for major transport schemes. The guidance requests details on the likely benefits and how they will be measured and reported. It is proposed that this will broadly follow the 'standard monitoring' approach set out in the 'Monitoring and Evaluation Framework for Local Authority Major Schemes', although this effort will be adjusted accordingly, to be appropriate, proportionate and cost effective. "Standard monitoring" should include measures covering inputs, outputs, outcomes and impacts of the scheme. For the purposes of this scheme, it is proposed to consider the following questions:

- Was the scheme delivered to cost and timescale?
- Has the scheme delivered the type and scale of benefits forecast?
- Has the scheme delivered the desired outcomes?

#### Costs and Delivery

The scheme build would be monitored, covering procurement, achievement of timescale and key milestones, risk outcomes, and stakeholder feedback. The actual scheme as delivered would be assessed, including success of the design and materials used. Outturn costs will be compared to forecasts and on-going maintenance costs, ensuring the scheme remains affordable and demonstrates value for money. This could include indicative outturn BCR based on final costs and benefits outcomes.



## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

### **Benefits, Impacts and Monitoring**

Desired outcomes from the scheme include:

- Maximising the efficiency of the road network;
- Reducing congestion and transport costs;
- Increasing journey time reliability; and
- Supporting growth and development, by addressing constraints on network performance.

As such, outcome analysis will concentrate on travel time savings (for journeys using the link and adjacent corridors) and traffic flows (on the Southern Link Road and surrounding and parallel routes). This will be accomplished through data collection in Worcester, including monitoring traffic flows and journey times on the Southern Link Road and associated routes (such as A449 and A4440).

Existing program data sources will be used as much as possible with limited bespoke data collection. For instance, journey times can be monitored through manual observation and/or use of StrateGIS, BLISS or TrafficMaster data (if available). Data collection and reporting would include before opening (Stage 1), 1 year after full opening of the link (Stage 2) and 5 years after full opening (Stage 3), with reporting at stages 2 and 3.

As the scheme is specifically targeted at unlocking development land, impacts on the local economy are also important. Statistics on changes in employment and development permissions and completions would be collated, covering size, timescale, occupancy and take up of sites in the South Worcester Development Plan sites and wider Worcestershire.

## **19. Equality Analysis**

See Annex 10 for a copy of the Equality Impact Screening undertaken for the Hoobrook Link Road scheme.

**WORCESTERSHIRE LOCAL TRANSPORT BODY  
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**20. Senior Responsible Owner DECLARATION**

As Senior Responsible Owner for A4440 Southern Link Road Dualling Scheme I hereby submit this request for funding consideration to the Worcestershire Local Transport Body.

Name: PETER BLAKE

Signed:

Position: HEAD OF INTEGRATED TRANSPORT

**21. Section 151 Officer DECLARATION**

As Section 151 Officer for Worcestershire County Council I declare that the scheme cost estimates quoted in this bid are accurate to the best of my knowledge and that Worcestershire County Council has allocated sufficient budget to develop and deliver this scheme on the basis of its proposed funding contribution

Name: SEAN PEARCE

Signed:

Position: HEAD OF CORPORATE FINANCIAL STRATEGY

**22. Contact Details For Further Enquiries**

Lead Contact:  
Position:  
Tel:  
E-mail:

Andy Maginnis  
Programme and Commissioning Manager  
07771 842873  
Amaginnis@worcestershire.gov.uk

Alternative Contact:  
Position:  
Tel:  
E-mail:

Steve Harrison  
Transport Policy & Strategy Team Leader  
01905 766 179  
SHarrison@worcestershire.gov.uk

# Worcestershire Parkway Station

## Worcestershire Local Transport Body Funding Application

May 2013



# WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

<b>Scheme Name</b>	Worcestershire Parkway
<b>Promoter</b>	Worcestershire County Council (WCC)

## 1. Headline Description

A new parkway station for Worcestershire at the intersection of the Worcester – London (Cotswold Line) and Birmingham – Bristol lines at Norton, 3.5 miles east of Worcester.

Network Rail, the Department for Transport and Train Operating Companies have been working collaboratively with Worcestershire County Council (WCC) to ensure parkway's integration with other planned enhancements to rail infrastructure and services. This has resulted in a phased approach to the scheme delivery:

- Phase 1: New platform on the Cotswold Line, station building, interchange facilities, 300 space car park, new highway access and passive provision for the Phase 2 infrastructure. Station served by Worcester – Oxford/London services.
- Phase 2: Two new platforms and associated access arrangements on the Birmingham-Bristol Line and additional 200 car parking spaces. Station served by Cardiff-Nottingham services.
- Phase 3: Additional Cross-Country services calling at the station.

Phase 2 of the scheme will provide a new footbridge over the Birmingham – Bristol Line to replace the existing at-grade crossing.

## 2. Geographical Area

The proposed station is to be built at the intersection between the Cotswold Line and Birmingham – Bristol lines at Norton.

Location:

- On the Cotswold Line, Western Route at approximately mileage 116 miles 66 chains on engineering line reference OWW between Evesham and Norton Junction.
- On the Birmingham and Gloucester line, Western Route at approximately mileage 68 miles 15 chains on engineering line reference BAG(2) between Bromsgrove and Abbotswood Junction.

A location plan is attached in Annex 1.

## 3. Strategic Case

### 3.1 Scheme Description

#### *Summary*

Worcestershire Parkway will provide a new (two-level) station at the intersection between the Cotswold Line and Bristol – Birmingham lines at Norton. The Worcestershire Parkway scheme will:

- Deliver a step-change in direct rail access to London, the South East, Heathrow Airport, the Thames Valley, Bristol and the South West and the North West and North East
- Release rail travel demand suppressed by existing journey times, limited train frequency, and

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

the constrained parking capacity

- Increase Worcestershire station car park capacity from 437 to 937 spaces
- Provide improved access to rail for 93,000 passengers per annum, of which approximately 50% will be new to rail or transferred from road
- Provide 'High Value for Money', with a strong economic and financial Benefit to Cost Ratio of 3.54 for Phase 1 and 2.97 for Phases 1 and 2
- Support economic growth and generate an increase of over £18 million in GVA for the Worcestershire economy and up to 1,100 new jobs
- Support the growth of the County economy by stimulating earlier delivery of the County's proposed 35,500 homes and 4,345 hectares of commercial development between 2013 and 2030
- Contribute to environmental objectives, particularly addressing the perverse incentive for Worcestershire rail users to travel by road to other stations such as Birmingham International, Warwick Parkway and Cheltenham Spa
- Help to sustain planned growth and development in Worcester and wider South Worcestershire
- Help to sustain the economic performance of the Cotswold Line following the opening of the competing Chiltern Railways Oxford-London service in 2014/2015, generating approximately £2.54 million of rail revenue per annum for the Cotswold Line.

To ensure the parkway's integration with Network Rail's other planned enhancements to rail infrastructure and services the scheme will be implemented in phases:

### *Phase 1:*

- One 256m platform on the Cotswold line with associated access facilities, including a lift and stairs together with passenger shelters and associated information screens
- New station building including passenger information, toilets, a staffed booking office & provision for supporting retail use
- A 300-space car park together with new highway access from the adjacent B4084
- Short-stay parking facilities for setting-down/collecting rail passengers
- Bus stops and secure cycle parking
- The Phase 1 design also includes for passive provision for the Phase 2 infrastructure

Following completion of Phase 1 of the scheme, Worcestershire Parkway would be served by the Greater Western service from London Paddington to Worcester Foregate Street, Great Malvern and Hereford. In the current programme Phase 1 is scheduled for completion during 2016/17.

The scheme is also integrated with the DfT and Network Rail aspirations under the Intercity Express Programme (IEP) within Control Period 5 (2014 – 2019). This includes the provision of an enhanced service providing:

- One train per hour between London Paddington, Worcester Foregate Street and Hereford
- A journey time of 2 hours or less between London and Worcester

### *Phase 2:*

- Two 256m platforms on the Birmingham – Bristol Line with associated access facilities,

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

including a lift and stairs together with passenger shelters and associated information screens

- Additional parking taking the overall capacity up to 500 spaces
- A new footbridge over this line to replace the existing at-grade public right of way crossing of the Birmingham - Bristol Line.

Following completion of Phase 2, Worcestershire Parkway would be served by Cardiff-Nottingham services

*Phase 3:*

Additional Cross-Country services calling at the station (no further infrastructure required).

### ***Timetabling***

WCC is undertaking (in partnership with Network Rail and Train Operating Companies) further timetable development and performance modelling within GRIP Stage 3 works. This builds upon previous timetable work undertaken for the Council and will update this to take account of the latest plans, including Control Period 4 developments and the High Level Output Statement for Control Period 5. The previous timetable assessment work is attached at Annex 2.

### ***Programme***

A strategic development programme for the delivery of the Worcestershire Parkway scheme as a whole is provided in Annex 3, with the more detailed programme for Phase 1 shown in Annex 4.

Key project dates and milestones for Phase 1 are as follows:

- April 2013: Commence GRIP3 'Option Selection' for Phases 1 and 2
- January 2014: Completion of GRIP3 for Phases 1 and 2
- February 2014: Commence GRIP4 'Single option selection' for Phase 1
- Spring 2014: Submission of Planning Application
- Autumn 2014: Planning Consent awarded
- December 2014: Completion of Phase 1 GRIP4
- January 2015: Commence GRIP5 'Detailed design'
- April 2015: Commence Phase 1 construction
- June 2015: Complete GRIP5 'Detailed design'
- April 2016: Complete Phase 1 construction & scheme commissioning
- May 2016: Cotswold Line Platforms operational – Phase 1 GRIP7
- June 2016: Phase 1 project close out, GRIP8

## **3.2 Description of Problems to be Addressed**

### ***Objectives and Priorities***

The objectives and priorities of Worcestershire County Council and its partners, including the Worcestershire LEP, are set out in the authority's Corporate Plan and the Worcestershire LEP's Business Plan, with economic growth a key aim. The priorities are set out in a range of documents, including:

## WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

*Worcestershire County Council's Corporate Plan*

[www.worcestershire.gov.uk/cms/general-council-information/corporate-plan-2011-2017.aspx](http://www.worcestershire.gov.uk/cms/general-council-information/corporate-plan-2011-2017.aspx)

*Economic Strategy*

[www.worcestershire.gov.uk/cms/research-and-intelligence/economy/local-economic-assessment/purpose-and-scope.aspx](http://www.worcestershire.gov.uk/cms/research-and-intelligence/economy/local-economic-assessment/purpose-and-scope.aspx)

*Infrastructure Strategy*

[www.worcestershire.gov.uk/cms/strategic-planning/infrastructure-planning.aspx](http://www.worcestershire.gov.uk/cms/strategic-planning/infrastructure-planning.aspx)

*Local Transport Plan (LTP3)*

[www.worcestershire.gov.uk/LTP3](http://www.worcestershire.gov.uk/LTP3)

*The associated transport strategy for Worcester, the Worcester Transport Strategy:*

[www.worcestershire.gov.uk/cms/transport-and-highways/transport-schemes/worcester-transport-strategy.aspx](http://www.worcestershire.gov.uk/cms/transport-and-highways/transport-schemes/worcester-transport-strategy.aspx)

The priorities are also consistent with the transport elements of the South Worcestershire Core Plan (SWDP) policies and associated Infrastructure Delivery Plan (SWIDP). The need to improve rail links between Worcestershire and key national and international markets in and accessed via London and the South East and in Birmingham is a specific transport improvement referenced within the SWDP and SWIDP, which also includes Worcestershire Parkway.

[www.swdevelopmentplan.org/](http://www.swdevelopmentplan.org/)

[www.swdevelopmentplan.org/?s=IDP](http://www.swdevelopmentplan.org/?s=IDP)

These priorities are closely aligned with those of the Worcestershire LEP as set out in its 2012 Business Plan.

[www.wlep.co.uk/read-all-about-it/](http://www.wlep.co.uk/read-all-about-it/)

### ***Supporting Economic Growth***

The Worcestershire economy is still regarded as weak, with a significant proportion of employment within the public sector, which is and will be subject to contraction. There is a clear need to stimulate economic growth and activity through improving conditions to support new and expanded businesses. In the City of Worcester, the unemployment rate currently stands at 4.2% and in Wychavon District the rate is 2.9%. It should be noted, however, that the unemployment rates in towns within Wychavon District exceed the rate for the District as a whole; for example Droitwich Spa is 3.5%, Evesham is 3.9% and Pershore is 3.5%.

Although South Worcestershire has relatively high levels of economic participation and low levels of unemployment, economic trends in the area over the past decade have been mixed. The area's employment grew sluggishly between 2003 and 2008, prior to the global economic downturn. The data also suggests employment levels in the sub-region's urban core were already declining prior to the recession.

Since the recession, the area's economy has shrunk considerably in terms of employment opportunities. In particular, the number of jobs reduced by 4.4% between 2008 and 2011. In comparison, the number of jobs nationally declined by 2.7% over the same period. Furthermore, the number of jobs in South Worcestershire in 2011 was marginally less than the 2003 estimates for the area. In comparison, number of jobs across the West Midlands and England was nearly 5% and 10% higher than 2003 levels respectively.

As a consequence of the decline in employment in South Worcestershire, job density data shows

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that the number of jobs per working age population in the area has reduced from 0.84 in 2003 to 0.79 in 2011 (a decline of 6%). In comparison, jobs density across England fell by 3% over the same period. The general decline in job numbers in South Worcestershire is compounded in some areas by a reliance on public sector employment and a slow-growing private sector, particularly in South Worcestershire's urban areas such as Worcester. Department of Business Innovation and Skills data confirms that Worcester has a higher proportion of public sector workers than the national average (28% vs. 21%) and a private sector that was growing slowly relative to national levels (1.6% growth vs. 5.3% growth) prior to the economic downturn.

The South Worcestershire Development Plan (SWDP): Economic Prosperity Background Paper (2012) suggests that a continuation of such trends of sluggish or no growth poses significant threats to the area. It highlights that the area's limited ability to create new jobs which could reflect the ageing demographic of South Worcestershire and failure to provide enough economic opportunities and new homes for the local youth. In this context, the local talent would look toward migrating out of the area.

The inadequate labour supply caused by the housing shortage could force businesses to relocate out of the area and there would be little investment in infrastructure or jobs. With depressed markets, existing businesses would subsequently find it difficult to grow and inward investors wouldn't see Worcester and South Worcestershire as the right place to locate. A decline in the area's economic output would affect the local consumer spending, subsequently impacting on the vitality of the area's city, town and neighbourhood centres.

Recognising the threats to the area's economic prosperity, the South Worcestershire Development Plan (SWDP) seeks bring forward 280 hectares to create 25,000 new jobs by 2030. However, the analysis presented in Table 1 demonstrates that South Worcestershire is falling behind its employment creation targets.

*Table 1: South Worcestershire's progress against its employment target*

Indicator	Estimate	Source
A. Employment Growth Target by 2030	25,000	Sourced from SWDP: Economic Prosperity Background Paper
B. Total FTE Employment 2006	123,365	ABI 2006 Workplace Analysis.
C. Total FTE Employment 2011	121,723	BRES 2011 Employment
D. Growth 2006 to 2011	-1,642	$D = C - B$
DI. Achieved Annual Growth Rate 2006 to 2011	-328	$DI = D / 5$
E. Outstanding Employment Requirements from 2012 - 2030	26,642	$E = A - D$
EI. Outstanding Annual Employment Requirements from 2012 - 2030	1,402	$EI = E / 19$

Going forward, the area will need to create more than 1,400 jobs per annum to achieve its sustainable growth employment targets. This is considerably higher than the area's performance over the past two decades.

The core reasons for South Worcestershire's poor performance against its employment and housing targets are beyond the implications of weak economic climate. In particular, the area's poor transport infrastructure, including the rail and highways network, is identified as a major constraint to bring forward development sites which are critical for achieving South Worcestershire's growth aspirations.

In response, the SWDP and supporting SWIDP has identified the need for significant investment in



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transport infrastructure schemes in the South Worcestershire area to support the plan. This includes the delivery of Worcestershire Parkway, identified in the Worcestershire Local Transport Plan 3 (LTP3) and associated Worcester Transport Strategy.

### ***Barriers to Growth***

It is recognised by Worcestershire County Council and its stakeholders that additional investment in transport infrastructure and services is required where this will provide business with improved access to markets and employees and encourage economic growth in Worcestershire. Investment in rail infrastructure forms an important element of the strategy of supporting sustainable economic growth.

In terms of rail, significant barriers to growth include:

- Inadequate accessibility to rail services between Worcestershire and London, the South East, South West, South Wales, Birmingham and beyond. This is particularly the case in terms of access by car (parking)
- Unattractive journey times to national and regional destinations and international hubs such as Heathrow Airport
- Accessibility to inter-city rail services is currently constrained by a combination of:
- Limited (or no) parking capacity at urban stations which is compounded by constrained urban highway networks, (there are approximately 670 station car parking spaces available at Cotswold Line stations between Ledbury and Morton-in-Marsh, equating in terms of a parking capacity: population ratio of 1 space per 838 residents. This compares with a ratio of 1 space per 337 people on the Chiltern Line between the South East and the West Midlands)
- The fact that Worcestershire is also bypassed by long distance Cross Country (North-South) rail services.

As a result journey times by rail to many destinations are currently unattractive to users, in particular for the business sector. This has the effect of reducing the accessibility and attractiveness of Worcestershire, suppressing demand for rail travel, increasing reliance on car and adversely impacting on traffic congestion. When taking into account total journey times (e.g. car access + rail elements) there are a number of instances where journeys by rail are no better than and usually substantially worse than by car. Examples include parts of London, Birmingham, Bristol, Reading and Oxford. This has an adverse impact in terms of the attractiveness of Worcestershire as a place to invest. It also constrains the potential demand for business trips to and from London, and does not allow the area and wider region to gain from the forthcoming investments.

Worcestershire County Council is working to actively deliver critical transport infrastructure to increase the network capacity and accessibility to support planned new local development and growth. Given the economic trends in the area, recent and historic, demand for employment land remains weak and efforts to change this situation through small scale local infrastructure schemes alone are not addressing some of the fundamental strategic transport issues required to stimulate the local economy to the extent required.

It is noted that the rail industry has already made significant investment on the rail lines in the region, with speed improvements on the line between Bristol and Birmingham, and similarly on the line between Worcester and Oxford. Moreover the next generation of intercity train is due to be rolled out over the next couple of years, with services between London, Oxford and Worcester being at the forefront of the first release. However, the ability to maximise the impact of such investment from a Worcestershire perspective is stifled by poor local access to rail services, particularly those serving the London and South East and Bristol and South West markets.

Businesses in Worcestershire have cited a need for game-changing investments to improve inter-city linkages with established markets in:

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

London, Oxford and other commercial destinations in South-East: Enhanced connections with London would improve prospects for growth of the existing business base and increase the inward investment potential of South Worcestershire. Enhanced rail accessibility will also improve the local labour market potential to access higher value jobs in London, Oxford and wider South East region, the South West and the West Midlands, raising the economic output and spending of the local community. Note the per capita GVA of jobs in London, Oxford and wider South East region is considerably higher than the local labour market.

Newly designated enterprise zones: Birmingham & Bristol, in particular, have recently received Enterprise Zone status for some key sites to fast track economic growth. Both EZs have notable employment growth targets and locations strongly linked to the central railway stations. The next 5 to 10 years should see the enterprise zone initiatives around Temple Meads in Bristol and at New Station and Eastside in Birmingham gather momentum. The ability to tap into these growing markets is paramount to the local economy as the parkway project progresses.

Given this background, enhanced intercity connectivity would unlock interregional constraints and likely increase demand from within Worcestershire and from an inward investment perspective.

### **3.3 Options Considered**

The Worcestershire Parkway scheme forms part of the wider transport strategy for Worcestershire (LTP3), South Worcestershire and Worcester City. The scheme also forms a key part of the Worcester Transport Strategy (WTS) which is also referenced within the adopted LTP3, the SWDP and associated SWIDP.

The WTS was developed over the period leading up to the publication of the LTP3 and the separate (but parallel) submission of the Worcester Transport Strategy Major Scheme Bid (WTSMSB).

The scheme is for a parkway station serving both the Cotswold Line and the Bristol – Birmingham Line. This will enable a single station, interchange and car park to provide improved access to services on both these Inter-City lines and also allow interchange between Cotswold Line and Cross Country services. As the Bristol – Birmingham Line bypasses Worcester and does not intersect with the Cotswold Line at any other point in Worcestershire, there is no alternative location capable of meeting these requirements.

The parkway scheme has been assessed as being delivered in a single phase (served from the outset by both lines) and following discussions with the DfT and Network Rail, as part of a phased delivery, with the Cotswold Line platform operational first. Both these approaches have been compared against the "Do-Nothing" ("no parkway") option. The value for money assessment identified that both delivery options would deliver benefits and both had a positive economic and financial business case.

In view of the benefits of aligning the parkway scheme with the railway industry strategy for both the Cotswold Line and the Bristol – Birmingham Line, the current proposal is to follow the phased approach to delivery (but with a single planning application for the complete scheme submitted in spring 2014). It is recognised, however, that as the GRIP3 process progresses there may be a case to return to a single phase approach to the delivery of the scheme. The decision on this issue, will be made in conjunction with the rail industry and other key stakeholders and will be based on the business case and associated value for money of the scheme.

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### **3.4 Expected Benefits / Outcomes**

#### *Outcomes*

In response to these barriers, the outcomes being sought by Worcestershire County Council, the Worcestershire LEP and other stakeholders include:

- An improvement to Worcestershire's accessibility by rail to markets and other destinations.
- Improved direct access to national long distance rail services (this is seen by business and other stakeholders as being vital).
- Reducing total journey times by rail to destinations

The delivery of a new Worcestershire Parkway station is an important element in delivering these outcomes and is a priority for Worcestershire LEP, Worcestershire County Council and other stakeholders.

**The scheme represents excellent value for money, with a BCR of 3.54 for Phase 1 and 2.97 for the all phases. The net Present Value of Benefits of Worcestershire Parkway (Phase 1) is £111 million and £250 million for all phases.**

This scheme will:

- Improve access to Worcestershire - London and Cardiff/Bristol – Birmingham rail services, removing one of the identified constraints to rail use
- Reduce journey times to regional and national destinations and international hubs such as Heathrow Airport, improving the accessibility of Worcestershire by rail and encouraging modal shift
- Enable the Worcestershire economy to better benefit from the recent significant investment in the Cotswold Line and the current investment in Crossrail and Reading Station.
- Enable interchange between Cotswold Line and Cross Country services bringing benefits to Worcestershire as a whole

Assessment of the impact of Worcestershire Parkway on total (car and rail) journey times has shown that the scheme will deliver significant improvements. Reductions in total journey times of up to 20% are forecast for destinations served by the Cotswold Line and along the Cardiff/Bristol – Birmingham/North East/North West axis.

Phase 1 of the parkway station is forecast to generate up to 102,000 trips per annum by 2026. This will generate significant time saving benefits to passengers. A net increase to rail revenue of approximately £2.54m is estimated based on this forecast level of demand.

In addition, the wider economic benefits of phase 1 are estimated to be over £18m GVA to the Worcestershire economy and up to 1,100 new jobs as a result of the greater accessibility to key demand and business markets, notably London and south-east England.

### **3.5 Project Scope**

The scheme is for a new (two-level) parkway station at the intersection between the Cotswold Line and Bristol – Birmingham lines at Norton. It includes three platforms and associated access facilities, a station building, a 500 space car park (300 provided for phase 1) and associated highway access, a bus:rail interchange, short-stay parking facilities for setting-down/collecting rail passengers, secure cycle parking and walk and cycle access routes.

As the scheme progresses through the railway industry GRIP process Worcestershire County Council will investigate methods of delivering the scheme in the most cost effective way whilst

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

maintaining its benefits. This may involve modification to the scheme scope and costs insofar as these do not undermine the achievement of the expected benefits.

The scheme is constrained by the location of the intersection of the two railway lines and the alignment of the B4084 (which will be the main access route to the parkway). Both the railway lines are on embankments at this location requiring lifts and stairs to provide access to the platforms and in the case of Phase 2 of the scheme a passenger footbridge to access the Birmingham-bound platform. The station and platform layout will be compliant by the relevant railway design and access standards and will also take account of the operational requirements of the Train Operating Companies. The station building and associated car park and access infrastructure is being designed to be as sustainable as possible and will meet appropriate local and national standards and policies, including those of Wychavon District Council and Worcestershire County Council.

### **3.6 Related Activities**

The key constraints, dependencies and mitigations are:

Capacity availability on the Worcester Shrub Hill to Oxford route before IEP to facilitate the additional station call at Worcestershire Parkway from 2016.

*Mitigation:* GRIP 3 timetable and performance modelling to work with Network Rail to assess operational and performance benefits unrealised from 2011 Cotswold Line upgrade, and timetable structure and calling patterns.

Capacity availability following CP5 IEP Project.

*Mitigation:* Worcestershire County Council is progressing with the GRIP 3 timetable performance modelling in conjunction with Network Rail and relevant Train Operating Companies. This includes assessment of IEP journey time and train frequency proposals (1 train per hour and sub-2 hour journey times Worcester to London) with inclusion of Worcestershire Parkway stops.

Engineering feasibility and cost.

*Mitigation:* Worcestershire County Council has commissioned GRIP 3 Option Selection work to be undertaken during 2013. This is being undertaken in consultation with key rail industry stakeholders.

iv) Rail Industry Stakeholder support, including DfT; Network Rail; First Great Western.

*Mitigation:* Worcestershire County Council's phased development plan, providing the Cotswold Line platform in Phase 1, enables the station to open and benefit from the business case delivered by high yield fares to London, without having to immediately resolve Phase 2 train capacity and timetable issues on the Birmingham to Bristol line.

Proactive discussions are ongoing with stakeholders and indicate that this approach is recognised as pragmatic by the 3 key rail industry stakeholders.

Stakeholders have offered support to the Council's 2013 GRIP stage 3 work.

v) Planning submission 2014

*Mitigation:* Worcestershire County Council commissioned GRIP stage 3 Option Selection during Spring 2013. This will facilitate Planning Application with the Council seeking Network Rail Approval in Principle to cover both Phase 1 and 2 designs.

### **3.7 Consequences of Funding Not Being Secured**

In terms of the wider strategic impacts, failure to secure funding for the construction of the

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proposed parkway, will result in:

- Failure to stimulate the economic growth in Worcestershire and activity through improving conditions to support new and expanded businesses in the county whose economy is currently underperforming compared to comparable parts of the region and country
- Failure to stimulate the economic growth in Wychavon district that experiences higher unemployment rates than the county average.
- Failure to reduce the barriers to growth including inadequate accessibility to rail services between Worcestershire and London, and unattractive journey times to national and regional destinations and international hubs such as Heathrow Airport.
- Failure to improve accessibility to inter-city rail services currently constrained by a combination of limited (or no) parking capacity at stations, constrained urban highway networks and the fact that Worcestershire is also largely bypassed by long distance Cross Country (North-South) rail services.
- Failure to provide more attractive travel times by rail, increasing reliance on car usage and adversely impacting on traffic congestion, including on the Strategic Road Network.

### **4. Fit with Strategic Policy and Objectives**

#### **4.1 Fit With Over- Arching Economic Objectives**

As set out in the Strategic case, above, the delivery of the scheme is a priority for Worcestershire County Council, the Worcestershire Local Enterprise Partnership (LEP), Chamber of Commerce, Members of Parliament and the Worcestershire District Authorities. The scheme is aligned with agreed priorities, in particular in terms of supporting economic growth in Worcestershire. Worcestershire Parkway is included within Worcestershire's adopted Local Transport Plan (LTP3), the Worcester Transport Strategy (WTS) and the South Worcestershire Development Plan (SWDP) and associated Infrastructure Delivery Plan (IDP).

##### *Worcestershire County Council's Corporate Plan*

The Corporate Plan highlights the relatively poor performance of the Worcestershire economy.

The county's Gross Value Added (a measure of economic production per head) is £4,200 per annum below neighbouring Warwickshire's, with this a longer term problem than current economic difficulties. The Corporate Plan is aiming to try and close this gap, including through developing the County's assets and skills base. There must also be considerable investments in the County's infrastructure to address barriers to economic growth and to maintain the quality of life for residents. This will include investment in transport infrastructure where this supports Corporate Objectives.

A key element of the Corporate Plan is that the County Council will judge its progress by measuring the:

- Increase in the overall employment rate of the County
- Reduction in the number of young people on out of work benefits
- Increase in Worcestershire's Gross Value Added
- Amount of new private sector investment levered and attracted into the County

As set out in the Strategic Case, the Worcestershire Parkway scheme will support the achievement of all these targets.

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

Through to 2017 the Corporate Plan highlights that spending on capital programmes will be a priority where this tackles enablers critical to growth, including transport schemes such as:

- Strategic route improvements
- Rail station improvements

The Worcestershire Parkway scheme falls within the railway station improvements category.

### *Worcestershire Economic Strategy*

The vision for the Worcestershire economy is set out in the County's Economic Strategy for period to 2020. The Worcestershire Economic Strategy contains an objective to support the sustainable development of the County through infrastructure development especially transport and continue supporting Worcester as an accessible West Midlands growth point. It also contains an objective to enhance employability levels by removing barriers to employment and improving skills.

In improving access to job opportunities together with regional, national and international markets, the Worcestershire Parkway scheme supports these aims.

### **4.2 Fit With Local Policy Objectives**

As set out in the Strategic Case, above, the Worcestershire Parkway scheme is closely aligned with the objectives and priorities of Worcestershire County Council and its partners, including the Worcestershire LEP, are set out in the authority's Corporate Plan and the Worcestershire LEP's Business Plan, with economic growth a key aim.

The improvement to the performance of the rail network is referenced in the Worcestershire LTP3. The Worcestershire Parkway is specifically referenced within the LTP3 as one of Worcestershire's key major transport schemes to be delivered during the period of the plan and also as one of the schemes that will support the county's economic growth policies.

The Worcestershire Parkway scheme is also referenced within the SWDP and associated SWIDP.

## **5. Deliverability**

### **5.1 Details of Any Previous Work Undertaken**

<b>Concept Study</b>	✓
<b>Feasibility</b>	✓
<b>Preliminary Design</b>	✓
<b>Detailed Design</b>	
<b>Risk Register</b>	✓
<b>Detailed Work Programme (GRIP 3 in progress)</b>	
<b>Quantified Risk Assessment (GRIP 3 in progress)</b>	
<b>Environmental Appraisal</b>	✓
<b>Member Approval</b>	✓
<b>Commitment of Partners</b>	✓
<b>Consultation with Key Stakeholders</b>	✓
<b>Strategic Business Case</b>	✓
<b>Business Case with BCR</b>	✓
<b>Other (Specify)</b>	

# WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

## **5.2 Dependencies and Risks / Barriers to Delivery**

### **5.2.1 Land Ownership**

Based on the current level of scheme development the land required for the scheme is a combination of that owned by WCC Highways, Network Rail and a single private owner.

### **5.2.2 Requirement for Compulsory Purchase**

Negotiations with land owners are currently underway. On the basis that these negotiations are successful there will not be a need for Compulsory Purchase.

### **5.2.3 Land Type (e.g. all highways, presently occupied etc.)**

The privately owned land is currently designated as agricultural

### **5.2.4 Requirement for major statutory instruments (e.g. TWA, Side Road Orders etc.)**

- There are two footpaths that run through the site that may require the diversion of Public Rights of Way.
- Depending on the outcome of the negotiations with land owners, there may be a requirement for a Compulsory Purchase Order
- There will also be a number of railway industry related agreements required to underpin the proposed scheme. This will include agreements with the Office of the Rail Regulator, Network Rail, relevant Train Operating Companies and the Department for Transport.

### **5.2.5 Requirements for planning consents**

A planning application will be prepared by Worcestershire County Council. The intention is to submit the application in Spring 2014. The application will draw upon the GRIP3 work being undertaken during 2013/14.

### **5.2.6 Known environmental impacts (e.g. SSSIs, Ancient Monuments, Green Belt etc.)**

#### *SSSI*

There is a Site Of Special Scientific Interest in the vicinity of the proposed site for the development, and although it is not directly affected by the scheme, consideration is being given to any potential impact on the area.

#### *Ancient Monuments*

There are no designated heritage assets with the area of interest, and to date there has been no archaeological field investigations.

### **5.2.7 Other**

The detailed design is yet to be undertaken, however, the impacts of the risks associated with this (e.g. on cost and programme) are considered to be low. Due allowance has been made for this risk in the risk allowance and programme.

# WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

## 6. Timescales

### 6.1 Earliest Start On Site

It is anticipated that the construction works will start in June 2015.

### 6.2 Scheme Delivery Date Assessment

Delivery Period		Overall Deliverability <i>(Tick only one row)</i>				
		Highly Deliverable	Readily Deliverable	No Major Barriers	Moderate Delivery Risks	Significant Delivery Risks
Before 2014/15						
2014/15 to 2018/19 (inclusive)	✓				✓	
2019/20 to 2025/26 (inclusive)						
Beyond 2026						

### 6.3 Approximate Duration Of The Scheme

Phase 1 programme:

- Construction Works (GRIP 6)                      June 2015 to April 2016
- Handback (GRIP 7)                                      April 2016 to May 2016
- Project Close Out (GRIP 8)                      May 2016 to June 2016

## 7. Delivery Agency

### 7.1 Proposed Delivery Agency

Worcestershire County Council

### 7.2 Partnership Bodies (if any) you plan to work with during design or delivery

- Network Rail
- First Great Western
- Arriva CrossCountry
- Wychavon District Council
- Subsequent Rail Service Franchise Bidders



**WORCESTERSHIRE LOCAL TRANSPORT BODY  
MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

## 8. Costs & Funding

### 8.1 Cost

The forecast outturn costs are as follows:

- Phase 1: £10.35m
- Phase 2: £5.69m
- Total: £16.04m

<b>Specific estimate if available</b>	Phase 1: £10.35m, Phase 2: £5.69m (outturn cost)
<b>£5-15m</b>	✓
<b>£15-30m</b>	
<b>£30-50m</b>	
<b>£50-100m</b>	
<b>£100-200m+</b>	
<b>Unknown at this stage</b>	

### 8.2 Proposed Sources of Funding

<b>Source</b>	<b>Contribution (<i>tick</i>)</b>	<b>Approx %</b>
<b>Major Scheme Funding</b>	£1.6m	15.5%
<b>Network Rail</b>		
<b>Regional Growth Fund</b>		
<b>Local Authority (e.g. Prudential Borrowing / asset release)</b>	£7.75m	74.9%
<b>Private Sector</b>	£1m	9.6%
<b>Other (specify if known)</b>		

### 8.3 Project Costs

#### 8.3.1 Table A: Funding Profile (Nominal Terms)

<b>£000s</b>	<b>Earlier Years</b>	<b>2015/16</b>	<b>2016/17</b>	<b>2017/18</b>	<b>2018/19</b>	<b>Later Years</b>	<b>Total</b>
<b>LTB funding sought</b>		1,600					1,600
<b>Local Authority contribution</b>	3,110	4,640					7,750
<b>Third Party contribution</b>		1,000					1,000
<b>TOTAL</b>	3,110	7,240					10,350

**WORCESTERSHIRE LOCAL TRANSPORT BODY  
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**8.3.2 Table B: Cost Estimates (Nominal Terms)**

<b>Cost Heading</b>	<b>Cost (£000s)</b>	<b>Date Estimated</b>	<b>Status (e.g. Target Price)</b>
<b>Phase 1 Development (incl. design, Network Rail &amp; procurement costs)</b>	1,998	May 2013	Preliminary Estimate (GRIP2)
<b>Phase 1 Construction (incl. land purchase costs)</b>	6,377	May 2013	Preliminary Estimate (GRIP2)
<b>Phase 1 Rail Ops (incl. possessions, testing &amp; commissioning)</b>	365	May 2013	Preliminary Estimate (GRIP2)
<b>Phase 1 Construction Supervision</b>	225	May 2013	Preliminary Estimate (GRIP2)
<b>Phase 1 Contingency</b>	1,385	May 2013	Preliminary Estimate (GRIP2)
<b>Phase 1 TOTAL</b>	10,350	May 2013	Preliminary Estimate (GRIP2)

*Notes:*

- 1) LTB funding must not go beyond 2018/19 financial year.
- 2) A minimum local contribution of 10% (local authority and/or third party) of the project costs is required.
- 3) Costs in Table B should be presented in outturn prices and must match the total amount of funding indicated in Table A.

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**9. Economic Assessment**

	<i>Tick one box for each row only</i>						
	<i>Large / High Beneficial</i>	<i>Moderate Beneficial</i>	<i>Slight Beneficial</i>	<i>Neutral</i>	<i>Slight Adverse</i>	<i>Moderate Adverse</i>	<i>Large / High Adverse</i>
<b><i>Economic</i></b> (Note: VfM: Low = 0>1.4, Medium 1.5 > 2.0, High 2.0+)							
<b><i>Transport Economic Efficiency (VfM)</i></b>	✓						
<b><i>Reliability</i></b>		✓					
<b><i>Wider Economic Benefits</i></b>		✓					
<b><i>Environment</i></b>							
<b><i>Noise</i></b>				✓			
<b><i>Local Air Quality</i></b>				✓			
<b><i>Greenhouse Gasses</i></b>				✓			
<b><i>Landscape / Townscape</i></b>					✓		
<b><i>Heritage</i></b>					✓		
<b><i>Biodiversity</i></b>					✓		
<b><i>Water Environment</i></b>					✓		
<b><i>Social</i></b>							
<b><i>Physical Fitness</i></b>				✓			
<b><i>Journey Quality</i></b>		✓					
<b><i>Accidents</i></b>				✓			
<b><i>Security</i></b>				✓			
<b><i>Access to Services</i></b>			✓				
<b><i>Affordability</i></b>				✓			
<b><i>Severance</i></b>				✓			
<b><i>Option Values</i></b>				✓			

## WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

*Provide a brief bullet point summary of justification for the above WebTAG appraisal based on each of the three main headings only:*

<b>Economy</b>	<ul style="list-style-type: none"> <li>• The scheme delivers time saving benefits to business trips, with faster overall travel times to London through improved access to rail services</li> <li>• Impacts will result in mode shift from car to rail, so reducing congestion on part of the strategic road network.</li> <li>• Total benefit of £18m GVA pa for Phase 1 of the station and 1,100 additional jobs.</li> </ul>
<b>Environment</b>	<ul style="list-style-type: none"> <li>• Present noise levels in the area of the proposed Worcester Parkway site are a result of road traffic on the B4084 and rail traffic on the Oxford, Worcester and Wolverhampton railway line and the Birmingham and Gloucester railway line. The nearest noise-sensitive properties lie adjacent to the B4084. There is the potential for adverse impacts to arise at properties close to the proposed parkway site and on the surrounding road network associated with the arrival and departure of vehicles and from activities within the proposed site.</li> <li>• The parkway site is not located within an Air Quality Management Area (AQMA). Worcestershire Parkway is likely to lead to a change in traffic and vehicular emissions along the B4084. The B4084 is surrounded by few properties and there are likely to be only small changes in public exposure due to vehicles accessing and leaving the proposed site along this route. There is also the potential for changes in flows on the surrounding local road network.</li> <li>• The proposals may result in the urbanisation of a predominantly rural area of recognised local distinction. The scheme should aim to replace any hedgerows and hedgerow trees lost within the site, with similar species. The element of localised flooding will require careful design consideration in terms of material selection for the proposed scheme.</li> <li>• There is potential for unknown remains to be present and these could be impacted. Potential impact to the setting of locally important historical buildings. The need for any mitigation measures will be identified</li> <li>• The proposed site could result in a loss of habitats including woodland, scrub, hedgerows and grassland. There may also be habitat loss for protected and important species including bats, badger, dormice, amphibians and reptiles. Bats could also be impacted by lighting disturbance. Sensitive design will minimise adverse impacts and there are opportunities to enhance the area through creation and management of wetland areas.</li> <li>• Water features comprise minor surface water courses (ditches) and ponds of low importance other than with respect to flood risk (medium). Underlying groundwater of medium importance (based on potential existing/future use for agricultural supply). The magnitude of the effects on all features is considered negligible, reliant upon implementation of available mitigation measures through appropriate design of drainage (e.g. SUDS), including attenuation of pollutants and control of runoff rates and volumes.</li> </ul>

## WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

<b>Social</b>	<ul style="list-style-type: none"> <li>• Traveller care benefits will accrue as the new structure will be clean, modern and contain facilities that will ensure the transport interchange experience is made comfortable. The station will be constructed to complement the local landscape but no major impact is associated with traveller views. Traveller stress however will be reduced as modal shift from the private car will reduce frustration, uncertainty and the fear of accidents.</li> <li>• Improved access between the City of Worcester and London, accounting for intermediate stations at Pershore, Evesham, Oxford and Reading. A 300 space car park will ensure that access to rail services is significantly improved upon the currently constrained baseline. Other highway users (including bus passengers) will benefit from decongestion, whilst the new facility will be integrated with existing bus services. The station will support development proposals associated with South Worcestershire Development Plan.</li> <li>• The new facility will include cycle storage facilities and will benefit from high quality surfacing, lighting and security. The new station will receive demand from the local catchment, some of which may be subject to modal shift to active modes from car trips associated with accessing other rail stations previously. However, the primary share of the demand associated with Phase 1 will be undertaking strategic trips that by their very nature place constraints on the use of active modes for accessing the origin station.</li> </ul>
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### 10. Financial Case – Affordability & Risk

*Provide brief bullet point summary of the Financial Case for the scheme, including development, construction and ongoing costs:*

a) What risk allowance has been applied to the project cost?

The risk allowance for Phase 1 is £1.385m. Details of the scheme costs at 2013 prices are provided in Annex 5. The Risk Register is provided in Annex 6.

b) How will cost overruns be dealt with?

WCC has allocated sufficient budget to deliver this scheme on the basis of its proposed funding contribution and accepts its responsibility to meet any costs over and above the LTB contribution requested, including potential cost overruns and the underwriting of any funding contributions expected from third parties.

c) What are the main risks to project delivery timescales and what impact this will have on cost?

Negotiations with land owners are currently underway. On the basis that these negotiations are successful there will not be a need for Compulsory Purchase. In the event that Compulsory Purchase is required, there is the potential to delay the commencement of construction works if objections cannot be overcome and a Public Inquiry is needed.

Network Rail are currently working closely with Worcestershire County Council in developing the scheme to GRIP3. In the event, however, of this support diminishing the completion of the scheme could be delayed and costs increased.

## WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

d) How will cost overruns be managed?

WCC accepts its responsibility to meet any costs over and above the LTB contribution requested, including potential cost overruns and the underwriting of any funding contributions expected from third parties. This responsibility includes seeking increases in third party contributions where this is considered to be appropriate and feasible.

### 11. The Economic Case – Value for Money

*Provide a brief summary of the costs and benefits of the scheme:*

The scheme represents excellent value for money with a BCR of 3.54 for Phase 1 and 2.97 for the all phases. The net present value of benefits of Worcestershire Parkway (Phase 1) is £111 million and £250 million for all phases, placing it in the DfT's 'High' value for money category.

Annex 7 contains the Value for Money Report proposed for Worcestershire Parkway station covering Phases 1 (Cotswolds Line) and 2 (Birmingham to Bristol line). The report covers the demand and revenue modelling for the station and provides details of the data and logit model developed. The baseline data and validation of the model are reported, including the abstraction of demand and revenues from existing stations in the Worcestershire area and the distributions of trip origins and destinations. The impact of increased travel times on existing passengers travelling through the new station and the reduction in revenues is also reflected in the forecasts

Forecasts have been produced for years 2016 and 2026 and for the AM and daytime hours of a typical weekday. A summary of the passenger demands, split by existing and new rail users is provided below.

	Annual Demand Forecasts for 2026		
	Phase 1	Phase 2	Full Station
<b>From Rail</b>	49,000	74,000	123,000
<b>From Car</b>	37,000	55,000	92,000
<b>Generated</b>	7,000	10,000	17,000
<b>Total People</b>	93,000	139,000	232,000
<b>Total Cars</b>	77,000	116,000	193,000

The outputs of the model have been used to generate the Benefit: Cost Ratio (BCR) for the phases using WebTAG parameters and methods (defined in units 3.5.6 and 3.5.9). All appraisals are for a 60 year scheme length, with Phase 1 of the station opening in 2016. The costs of operating and maintaining the car park and revenues from the parking are allocated to the County Council. All other station operating costs and all additional passenger revenues are allocated against the Train Operating Companies.

A summary of the economic results for the scheme are shown below. Full Transport Economic Efficiency, Public Accounts and Analysis of Monetised Costs and Benefits tables are provided in Annex 7. The case for Phase 1 of the station reports a BCR of 3.54, with significant benefits to users.

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The case for Phase 2 is lower (but still High Value for Money) at 2.16 due to the impacts on journey times on Cross Country services. The overall station BCR is 2.62.

Benefits / Costs	Economic Value 2010 Prices and Values £000's		
	Phase 1	Phase 2	Full Station
Consumers – Commuting	£57,836	£70,688	£128,524
Consumers – Other	£19,279	£23,563	£42,841
Business	£23,916	£31,194	£55,109
External and Other Benefits	£15,693	£19,181	£34,874
Indirect Tax	-£4,879	-£5,963	-£10,841
Present Value of Benefits (PVB)	£111,845	£138,663	£250,508
Local Government Funding	£12,252	£5,212	£17,464
Central Government Funding	£19,354	£58,900	£78,254
Present Value of Costs (PVC)	£31,606	£64,112	£95,718
Net Present Value (NPV)	£80,239	£74,551	£154,790
Benefits Costs Ratio (BCR)	<b>3.54</b>	<b>2.16</b>	<b>2.62</b>

To reflect uncertainty, a number of sensitivity tests have been completed, as reported below. The tests report upsides and downsides to the case relating to demand, costs and service times. The BCR range is shown as 3.51 to 4.34, against the central case of 3.54 for Phase 1 of the station.

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Benefits / Costs	Economic Value 2010 Prices and Values £000's			
	Phase 1 - Central Case	Faster Rail Travel Time	Higher Parking Charge at £5/car	+10% demand increase
Consumers - Commuting	£57,836	£64,287	£57,328	£69,361
Consumers - Other	£19,279	£21,429	£19,109	£23,120
Business	£23,916	£26,584	£23,706	£28,682
External and Other Benefits	£15,693	£17,444	£15,556	£18,821
Indirect Tax	-£4,879	-£5,423	-£4,836	-£5,851
Present Value of Benefits (PVB)	£111,845	£124,321	£110,864	£134,133
Local Government Funding	£12,252	£12,126	£12,259	£11,984
Central Government Funding	£19,354	£19,155	£19,365	£18,931
Present Value of Costs (PVC)	£31,606	£31,281	£31,624	£30,915
Net Present Value (NPV)	£80,239	£93,040	£79,240	£103,218
Benefits Costs Ratio (BCR)	3.54	3.97	3.51	4.34

## 12. The Commercial Case

*Provide a summary of the proposed procurement strategy that will be used to select a contractor:*

The value of the Phase 1 construction works is estimated to be above the European Union threshold for works. It is therefore the intention to publish a notice for the project in the Official Journal of the European Union (OJEU). The notice would follow the restricted procedure, whereby the County Council would establish pre-qualification criteria to invite tenders from those companies that demonstrated a particular level of competence - one of which would be working on and in close proximity to operational railway lines.

Construction companies would be expected to demonstrate not only their railway expertise, but also ability to construct buildings that are capable of achieving an "excellent" rating against the Building Research Establishment Environmental Assessment Method (BREEAM). It would be the intention to award a single contract for the railway, building and civil elements of the project to benefit from economies of scale for a single project (e.g. site establishment for one contractor) and the ability to coordinate construction interfaces (e.g. the integration of the platform lifts within the station building).



# WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

## 13. The Management Case - Delivery

### 13.1 Development and Construction Milestones

Phase 1 and 2 (Single platform on the Cotswold Line and two platforms on the Birmingham to Bristol Line)

- Scheme development in preparation for submitting a planning application for full scheme consent (GRIP 1 to 3) – January 2014
- Worcestershire County Council Planning Application – April 2013 to January 2014

Phase 1

- Single option development (GRIP 4) – January 2014 to December 2014
- Delivery (GRIP 5-8) – January 2015 to May 2016

Phase 2

- Single option development (GRIP 4) – January 2017 to December 2017
- Delivery (GRIP 5-8) – January 2018 to May 2019

Details taken from the overall strategic programme as detailed in Annex 3

### 13.2 Previous Delivery Performance

The Worcester Transport Strategy (Phase 1) is a £19.5 million programme of measures designed to reduce journey times, enhance public realm, and improve the reliability and efficiency of the transport network in Worcester for all modes of transport.

The packages of work include the redevelopment of Malvern Link Station and the refurbishment of Worcester Foregate Street Station. These works commenced in April 2013 and are due for completion in September 2013.

Worcestershire County Council is currently delivering the £8.2m Evesham Abbey Bridge project funded through the DfT Major Scheme process. This major scheme comprises the replacement of a key bridge over the River Avon in Evesham, the modification of an adjacent junction and provision of improved facilities for pedestrians and cyclists. The scheme has involved managing the development and procurement of a bridge design compatible with the area and which offers value for money within available funding, preparation and submission of a successful planning application and associated consultation (and ongoing communications) with the public and key stakeholders and the preparation of a traffic management strategy for the period of construction. The bridge is currently under construction, and will be operational by the end of 2013. The scheme is currently on programme and within budget.

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## 14. Statutory Powers and Consents

*Please list separately each statutory power / consent required.*

- Full Planning Consent
- Potential for the diversion of Rights of Way
- Potential for a Compulsory Purchase Order
- Rail industry requirements to the facilitate the opening and operation of a new station by a Train Operating Company

## 15. Governance

*Provide a summary of the proposed organisation of the project*

Project Governance details are provided in Annex 8.

## 16. Risk Management

*Provide a brief summary of the proposed Risk Management Strategy outlining how risks will be managed and referencing the Risk Register*

This project will be developed in collaboration with Network Rail and the Train Operating Companies and risks will be identified and managed through a series of risk workshops during the lifecycle of the project. The current Risk Register is contained in Annex 6.

## 17. Stakeholder Management

*Provide a brief summary of your strategy for managing stakeholders*

*a) Please provide a summary of your strategy for managing stakeholders, with details of the key stakeholders together with a brief analysis of their influences and interests.*

Please see the Communications Review (including the Communications Plan) in Annex 9 which presents any engagement undertaken to date and outlines the strategy for managing key stakeholders up to and beyond the funding application.

Letters of Support for the proposals have been secured from primary stakeholders to support a recent New Station Fund application in February 2013. Strong letters of support have been received from the rail industry (particularly, First Great Western and Network Rail). The stakeholders are also aware of this latest application to the Worcestershire Local Transport Body.

*(b) Can the scheme be considered as controversial in any way? If yes, please provide a brief summary (in no more than 100 words)*

No.

## WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

*(c) Have there been any external campaigns either supporting or opposing the scheme? If yes, please provide a brief summary (in no more than 100 words)*

No.

### 18. Benefits Realisation, Monitoring and Evaluation

Worcestershire County Council has a commitment to monitor and evaluate the impact of the scheme and its benefits realisation. Key to this is assessing the type and scale of the benefits generated and understanding how they will be measured and reported. It is proposed that this will broadly follow the 'standard monitoring' approach set out in the 'Monitoring and Evaluation Framework for Local Authority Major Schemes'. The main benefits of the scheme focus on boosting the local economy and supporting growth through reductions in rail journey times and associated accessibility improvements.

Standard monitoring should include measures covering inputs, outputs, outcomes and impacts of the scheme. For the purposes of this scheme, it is proposed to consider the following questions:

- Was the scheme delivered to cost and timescale?
- Has the scheme delivered the type and scale of benefits forecast?
- Has the scheme delivered the desired outcomes?

The scheme build would be monitored, covering procurement, achievement of timescale and milestones, risk outcomes and stakeholder feedback. The actual scheme as delivered would be assessed, including success of the design and materials used. Outturn costs will be compared to forecasts and on-going maintenance costs, ensuring the scheme remains affordable and demonstrates value for money. This could include indicative outturn BCR based on final costs and benefits outcomes.

Desired outcomes from the scheme include:

- An improvement to Worcestershire's accessibility by rail to markets and other destinations.
- Improved direct access to national long distance rail services (this is seen by business and other stakeholders as being vital).
- Reducing total journey times by rail to major destinations

As such, outcome analysis will concentrate on rail travel time savings (for journeys using the station) and demand for travel by rail. This will be accomplished through assessment of changes in car + rail travel times for journeys to destinations from the catchment area of Worcestershire Parkway together with assessment of outturn passenger demand.

Existing data sources will be used as much as possible with limited bespoke data collection. For instance, car journey times to parkway could be monitored through manual observation and/or use of StrateGIS, BLISS or TrafficMaster data (if available), with rail journey times obtained from the Train Operating Companies and Network Rail. Rail passenger demand data will be obtained from the Train Operating Companies.

Data collection and reporting would include before opening (Stage 1), 1 year after full opening of Phase 1 of the scheme (Stage 2) and 5 years after full opening of Phases 2 and 3 (Stage 3), with reporting at Stages 2 and 3.

The desired outcome of the scheme is to support growth and development, by addressing

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

constraints on network performance. Thus data concerning the impacts on out turn development and the performance of the local economy are important. It is proposed to use data surrounding changes in employment and development permissions /completions as a measure of the achievement of these outcomes. These are standard datasets collected by Worcestershire County Council and the South Worcestershire Districts. This should help to limit need for bespoke data collection.

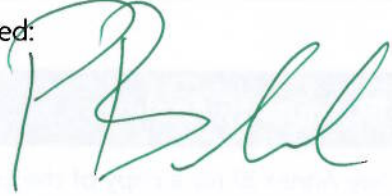
### **19. Equality Analysis**

See Annex 10 for a copy of the Equality Impact Screening undertaken for the Worcestershire Parkway scheme.

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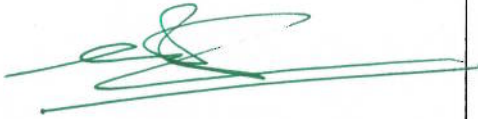
**20. Senior Responsible Owner DECLARATION**

As Senior Responsible Owner for Worcestershire Parkway Station I hereby submit this request for funding consideration to the Worcestershire Local Transport Body.

Name: PETER BLAKE	Signed: 
Position: HEAD OF INTEGRATED TRANSPORT	

**21. Section 151 Officer DECLARATION**

As Section 151 Officer for Worcestershire County Council I declare that the scheme cost estimates quoted in this bid are accurate to the best of my knowledge and that Worcestershire County Council has allocated sufficient budget to develop and deliver this scheme on the basis of its proposed funding contribution

Name: SEAN PEARCE	Signed: 
Position: HEAD OF CORPORATE FINANCIAL STRATEGY	

**22. Contact Details for Further Enquiries**

Lead Contact: Position: Tel: E-mail:	Tom Delaney Worcestershire Parkway Transportation Package Manager 01905 766 419 TDelaney@worcestershire.gov.uk
Alternative Contact: Position: Tel: E-mail:	Steve Harrison Transport Policy & Strategy Team Leader 01905 766 179 SHarrison@worcestershire.gov.uk

# Hoobrook Link Road (Phase 2), Kidderminster



## Worcestershire Local Transport Body Funding Application

May 2013



# WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

<b>Scheme Name</b>	Hoobrook Link Road (Phase 2)
<b>Promoter</b>	Worcestershire County Council

## 1. Headline Description

The Hoobrook Link Road is a key priority for Worcestershire County Council, the Worcestershire LEP, Members of Parliament and Wyre Forest District Council. The link road is situated within the South Kidderminster Enterprise Park which is one of Worcestershire LEPs Strategic Employment sites. Existing traffic congestion is a barrier to economic growth in the immediate and wider Kidderminster area. The proposed link road will provide improved access, connect two key employment corridors, promote much needed economic growth and relieve traffic congestion.

## 2. Geographical Area

The total population of the town of Kidderminster, located in the Wyre Forest District in Worcestershire, is currently 55,000 people, with a working population of 21,000. The town suffers from significant traffic congestion especially on the town centre ring road, a high level of unemployment and the worst areas of deprivation in the county, many adjacent to the proposed scheme. The scheme is located within the South Kidderminster Enterprise Park to the south of Kidderminster town centre. It will support new development and regeneration, including the former British Sugar Site, by providing a link between the A442 Worcester Road and A451 Stourport Road employment corridors. This link will improve the accessibility of these corridors.

OS Grid Reference: 382978, 274865

Postcode: DY10 1JR

A location plan and details of the proposed route alignment are provided in Annexes 1 and 2 respectively.

## 3. Strategic Case

### 3.1 Scheme Description

Hoobrook Link Road Phase 2 is a planned extension, of 600m length, to Hoobrook Link Road Phase 1, a development access road for the South Kidderminster Enterprise Park, which will include the regeneration of the former British Sugar site to the south of Kidderminster town centre. The new road will be an urban all-purpose single carriageway with off-road provisions for Non-Motorised Users link two key employment corridors; the A451 Stourport Road and the A442 Worcester Road. At the point where the route crosses the River Stour and Staffordshire/Worcestershire Canal, a bridge is proposed. The bridge will be sympathetic to the visual setting of the canal corridor which is a designated conservation area.

### 3.2 Description of Problems to be Addressed

#### *Socio-Economic Issues*

Wyre Forest District's labour market suffers from some ongoing supply side deficiencies such as comparatively low working age population and economic activity rates. This is primarily because of the lack of jobs in the local economy, which is confirmed by indicators such as low private sector led growth prior to the economic downturn and poor employment density measured as

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jobs per working age population.

The economic downturn in 2008 impacted Wyre Forest District's economy to a much greater extent than benchmarks such as Worcestershire, West Midlands or England. In particular, the number of jobs in the District's economy has contracted by 6.0% between 2008 and 2011 compared to a national decline of 3.0% and a regional decline of 4.7% over the same period. This has resulted in a further decline in Wyre Forest's employment density, which currently stands at 0.50 jobs per working age population. In comparison, the national and regional employment densities are currently estimated at 0.68 and 0.67 jobs per working age population respectively. Further analysis confirms that Wyre Forest will need to increase the number of jobs from 31,100 to approximately 40,000 to increase the District's employment density to the same level as the national average.

Such indicators regarding the local economy clearly highlight the need for job creation in Wyre Forest.

### ***Planning Drivers***

Recognising these socio-economic issues within the local authority area, Wyre Forest District Council is seeking to promote sustainable growth as part of its Adopted Core Strategy (December 2010). The key housing and employment 'needs based' targets outlined in the document's Policy DS01 are:

- Deliver 4000 net additional dwellings between 2006 and 2026
- Bring forward 44 hectares of employment land between 2006 and 2026
- Deliver 40,000 sq m of employment development between 2006 and 2026.

The recently published Site Allocations Policies (October 2012) identifies the South Kidderminster Enterprise Park area as the key location to enhance the District's economic wellbeing not least by making significant contributions towards the above mentioned growth targets. In particular, the Enterprise Park area has long been a key employment destination within the District, comprising of two key employment corridors (see Drawing GTWCC3/900/910/027 provided in Annex 1):

- ***Stourport Road Employment Corridor:*** This corridor is home to a large number of the District's businesses, with a high concentration of employment sites situated on a linear route between two of the largest settlements in the District.
- ***Worcester Road Employment Corridor:*** The Corridor follows a linear route to the south of Kidderminster Town Centre. Along this route there are a number of important local employment areas and these provide vital employment space to a number of national and local businesses.

Despite their significance as key employment destinations, the corridors are located predominantly in and around some of the most deprived neighbourhoods within the region and nationally.

The South Kidderminster Enterprise Park area includes key core supply of the District's employment land. These include Former British Sugar Site (Phases 1 and 2), Lisle Avenue, Easter Park, Former Ronwire site, Fine Point (residual development), former Kidderminster depot site and Hoobrook Industrial Estate. Furthermore, a key housing site for the District, namely, Oasis and Reilloc Chain site, is also located within close proximity of the Enterprise Park area. The sites are outlined in drawing GTWCC3-900-910-027 in Annex 1 and account for more than half of the employment land (24 hectares) and floorspace (23,870 sq m) targets summarised in Policy DS01 of the District Council's Core Strategy.



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### ***Barriers to Growth***

The Core Strategy confirms that traffic congestion within the employment corridors and the ring road to the north of the corridor resulting from the lack of capacity on the highways network acts as a key constraint to bringing forward the new development or regeneration on the above mentioned sites. In response, the Strategy seeks to implement the Hoobrook Link Road to unlock development and accelerate the growth prospects of the District. Furthermore, the Hoobrook Link Road is also highlighted as a key strategic project within the Worcestershire Local Investment Plan and the Worcestershire Local Transport Plan (LTP3) and included within the LTP3's Wyre Forest Transport Strategy as a priority scheme.

Delivery of the Hoobrook Link Road, a “public good” in the form of transport infrastructure, requires significant capital investment. Considering the prevailing poor land and property market conditions, local private sector land owners of the key related sites (mentioned above) are unable to afford the delivery of a “public good” as part of their development proposals. This is confirmed in the recently prepared Property and Market Review: South Kidderminster Enterprise Park Area (Worcestershire County Council, 2013).

Furthermore, to date, public sector investment has not been readily available to deliver the Link Road proposals in its entirety. In particular, working in partnership with the land owner of a key employment site (Former British Sugar site), the District Council managed to secure investment for only Phase 1 of the Link Road. These proposals, construction of which commenced in early March 2013, only improve enough local highway infrastructure capacity to unlock development on part of the former British Sugar site (Phase 1 only).

Hence, despite the ongoing delivery of the Hoobrook Link Road Phase 1, development or regeneration of Phase 2 of the Former British Sugar site and most other development sites mentioned above will remain constrained. Lack of development and employment opportunities will continue to act as a key barrier for the District's growth and economic prosperity.

### ***Proposed Solution***

Implementation of the proposed Hoobrook Link Road Phase 2, which is the focus of this funding application, will unlock or accelerate development on the following key employment sites within the South Kidderminster Enterprise Park area:

- *Unlocks development by removing a direct development barrier.* British Sugar Site (Phase 2)
- *Accelerates development, by removing an indirect development barrier.* Easter Park, Former Ronwire site, Fine Point residual development, Former Kidderminster depot site

Furthermore, the proposed Link Road (Phase 2) will also accelerate residential development on Phase 2 of the British Sugar site as well as on Oasis and Reilloc Chain site, a key housing site in the District.

The employment, housing and GVA outputs of the Link Road (Phase 2) proposal are summarised in response to Question 3.3.

### **3.3 Options Considered**

A high level option assessment process based on EAST (DfT's Early Assessment and Sifting Tool) was completed for a range of different schemes that could address the barriers to congestion and economic objectives. This work identified that the impact of lower cost improvements to the highway network and other transport modes (i.e. bus, cycle and walk) measures would fail to deliver the outcomes, and in particular the scale of outcomes, that could be achieved from a

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highway link.

The level of mode shift required to generate significant congestion relief on the ring road could not be achieved with sustainable measures given the pattern of travel demands and the location of the developments sites, and would not provide the level of accessibility to unlock new employment sites and create new jobs in the South Kidderminster Enterprise Park. However, such measures will be planned in the design of the scheme to maximise the use of walk, cycle and passenger transport and ensure all proposed developments sites have a high level of accessibility by all modes, so are easy to reach by all of the population of the town.

A further advantage of the link road is the potential for reducing traffic flows on the town centre ring road, enabling schemes to downgrade junctions and reduce the severance currently experienced between parts of the town centre, areas around the railway station and major tourist attractions in the town (e.g. Severn Valley Railway). Such schemes would create more pedestrian friendly routes to the centre, encouraging more people to work, shop and visit the centre, boosting the local economy. In addition, schemes would provide better access to bus and rail services, including the potential rail park and ride site at Folly Park sidings on the Severn Valley Railway.

Based on these desired objectives and outcomes, three core highway options have been developed to implement the Hoobrook Link Road Phase 2 schemes. These include:

*Option 1:* This is the northernmost of the three options. It runs north eastwards from the Saint Francis Group development roundabout (former British Sugar Site), crosses the canal and river via a new bridge just south of Falling Sands Bridge, and continues through an area of the Hoobrook Trading Estate where a new three-arm roundabout junction is formed with the A442.

*Option 2:* This is the central of the three options. It runs eastwards from the Saint Francis Group development roundabout (former British Sugar Site), crosses the canal and river via a new bridge, it then ties-in to Road No 1 which is an existing local access road for the industrial site. A new signalised junction is formed where the link road meets the A442.

*Option 3:* This is the southernmost of the three options. It runs south eastwards from the Saint Francis Group development roundabout, crosses the canal and river via a new bridge just south of Option 2A, it then continues through an area of Hoobrook Industrial Estate and a Site of Special Scientific Interest (SSSI) where a new three-arm roundabout is formed with Wilden Lane.

The route alignments for all three options are presented on drawing GTWCC3-900-910-021 in Annex 2.

As part of the feasibility study, a detailed workshop with key delivery partners (including WCC, WFDC and Halcrow) was completed to determine the preferred route of the highway scheme. The appraisal tested the options across the following key criteria:

Strategic fit with the core objectives of the Hoobrook Link Road Phase 2 outlined above

- Key stakeholder acceptability
- Technical robustness
- Deliverability
- Value for money in terms of benefit-cost-ratio.

The options appraisal discounts Options 1 and 3 and confirms Option 2 as the preferred option. Refer to Drawing HOOBROOK-DRG-002 in Annex 2 for details.

Option 1 was discounted due to the visual impacts on the canal setting and significant costs associated with the necessary alterations to the Western Powers distribution lines. The Canals &

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Rivers Trust considered that Option 1 would adversely affect the setting and appearance of the Falling Sands Bridge, which is a very attractive and historic canal bridge within a designated conservation area, and also the adjacent Severn Valley Railway viaduct. The cost to divert Western Powers distribution lines and relocate an existing main switch facility would not provide good value for money. There was little support for this option which was also the most costly.

Option 3 has been discounted on the grounds that it will not deliver the same economic benefits (access and time savings) to the Hoobrook Industrial Area, it has a negative environmental impact on a number of residential properties on Wilden Lane and it passes through a Site of Special Scientific Interest (SSSI).

### **3.4 Expected Benefits / Outcomes**

As stated above, implementation of the proposed Hoobrook Link Road Phase 2, which is the focus of this funding application, will unlock development on Phase 2 of the British Sugar site by removing a direct development barrier. Hence, the direct economic impact of the proposed link road relates to unlocking of the second phase of the British Sugar site.

**The scheme represents very high value for money, with a Benefit to Cost Ratio of 4.5:1**

This direct impact is articulated in the form of the following affects:

- Construction based GVA and employment outputs, as a result of the £32m combined construction expenditure of Phase 2 of the proposed link road and development proposals: This is estimated at £12m of GVA and 259 construction based gross new full-time equivalent jobs (between 2013 and 2022).
- Operational GVA and employment outputs, as a result of the 20,829 sq m of employment floorspace delivered on the site: This is estimated as 530 gross new full-time equivalent jobs from a range of manufacturing, value adding services and distribution sectors (between 2014 and 2021). This would result in £251m of additional GVA for the local economy.

In summary, the direct economic impacts of the proposed link road are:

- 789 gross new full-time equivalent jobs
- £263 million of gross new additional GVA for the local economy.

As stated above, Phase 2 of the proposed link road will also accelerate development, by removing a critical indirect development barrier for key employment sites within the South Kidderminster Enterprise Park area; namely, Easter Park, the former Ronwire site, Fine Point residual development and Former Kidderminster depot sites. Hence, the indirect economic impacts of the proposed link road relate to the accelerated delivery of employment and additional GVA on these sites, primarily during the operational stage.

This indirect economic impact of the proposed scheme is estimated at:

- 1,962 gross new full-time equivalent jobs
- £1.001 billion of gross new additional GVA for the local economy.

Furthermore, the employment land, floor space and housing outputs of the scheme are summarised below:

- 24 hectares of employment land brought forward in the South Kidderminster Enterprise Park area
- 20,829 sq m of employment floor space (B1, B2 and B8) unlocked on Phase 2 of the British Sugar site

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- 55,320 sq m of employment floor space (B1, B2 and B8) accelerated for delivery in the South Kidderminster Enterprise Park area
- 70 new housing units on Phase 2 of the British Sugar site and 100 new units Oasis and Reilloc Chain site.

Detailed assessment of the development and economic impacts of the scheme are summarised in the Value for Money Report, Chapter 3 in Annex 3.

The socio-economic benefits of the scheme will generate a benefit cost ratio (BCR) of 4.50, showing “very high” value for money. The key benefits of the scheme are time savings, reliability of travel times and wider economic benefits resulting in significant positive GVA and jobs to the Kidderminster economy.

### **3.5 Project Scope**

The link road alignment is constrained by three major features:

- To the west (start of link road) the vertical and horizontal alignment is fixed where the link road joins the roundabout to be constructed as part of the Phase 2 development of the former British Sugar site.
- To the east (end of link road) the vertical and horizontal alignment is fixed where link road ties-in to the levels of the existing industrial access road to the Hoobrook Industrial Estate and ultimately forms a new signalised junction at the A442 Worcester Road.
- In the central section of the link road where it crosses the River Stour and the Staffordshire and Worcestershire Canal there is a need to maintain minimum clearances above the canal. This is contrasted by a desire to reduce road levels in this location to maintain a minimum clearance below high voltage overhead power lines immediately east of the river.

Given the three constraints listed there is little scope to reduce costs by changing the proposed alignment either horizontally or vertically.

There is potential to reduce earthworks costs by giving detailed consideration to the reuse of surplus material on site to avoid the costs associated with disposal.

There is scope to reduce the costs associated with drainage works by providing storage in the form of a detention basin or storage tanks rather than use of oversized pipes. There is also scope for discussions with the Canal & River Trust to part discharge into the Canal.

### **3.6 Related Activities**

Implementation of Hoobrook Link Road Phase 1, which unlocks the Phase 1 development of the former British Sugar site, is the core related activity. The planning approvals for the Phase 1 Link Road have been sought, with Section 38 Agreement currently being reviewed by Worcestershire County Council. The funding for the scheme has already been secured through Regional Growth Fund and developer contributions. The main construction works commenced in Spring 2013.

### **3.7 Consequences of Funding Not Being Secured**

Wyre Forest district, and in particular the town of Kidderminster, is characterised by depressed labour market conditions. In terms of labour supply, the district suffers from comparatively low working age population and economic activity rates. At the same time, labour demand has been low, as demonstrated by negligible private sector led growth prior to the economic downturn and poor employment densities. Such trends emphasise the need for job creation in Wyre

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Forest.

Failure to deliver the proposed Hoobrook Link Road Phase 2 is forecast to result in a further decline in the economic performance of the Wyre Forest and Kidderminster. It will fail to unlock or accelerate development on a number of key employment sites in the district, including:

British Sugar Site 1 Phase 2 – unlocked (direct impact);

- Easter Park, Former Ronwire site, Fine Point residual development, Former Kidderminster depot site – accelerated (indirect impact).
- Furthermore, the proposed link road will not support the accelerated residential development on the Oasis and Reilloc Chain site, a key housing site in the district.
- Without the new road, significant benefits in terms of GVA (Gross Value Added), employment and housing outputs as well as the wider regeneration benefits will not be generated.

There is no lower cost alternative able to unlock the identified development sites and create private sector led sustainable employment opportunities in Wyre Forest District. This was identified as part of the option sifting and scheme development process, reported under Question 3.3.

### 4. Fit with Strategic Policy and Objectives

#### 4.1 Fit with Over-Arching Economic Objectives

##### *Objectives and Priorities*

The objectives and priorities of Worcestershire County Council and its partners, including the Worcestershire LEP, are set out in the authority's Corporate Plan and the Worcestershire LEP's Business Plan, with economic growth a key aim. The priorities are set out in a range of documents, including:

*Worcestershire County Council's Corporate Plan*

**[www.worcestershire.gov.uk/cms/general-council-information/corporate-plan-2011-2017.aspx](http://www.worcestershire.gov.uk/cms/general-council-information/corporate-plan-2011-2017.aspx)**

*Economic Strategy*

**[www.worcestershire.gov.uk/cms/research-and-intelligence/economy/local-economic-assessment/purpose-and-scope.aspx](http://www.worcestershire.gov.uk/cms/research-and-intelligence/economy/local-economic-assessment/purpose-and-scope.aspx)**

*Infrastructure Strategy*

**[www.worcestershire.gov.uk/cms/strategic-planning/infrastructure-planning.aspx](http://www.worcestershire.gov.uk/cms/strategic-planning/infrastructure-planning.aspx)**

*Local Transport Plan (LTP3)*

**[www.worcestershire.gov.uk/LTP3](http://www.worcestershire.gov.uk/LTP3)**

The priorities are also consistent with the transport elements of the Wyre Forest Core Strategy

These priorities are closely aligned with those of the Worcestershire LEP as set out in its 2012 Business Plan.

**[www.wlep.co.uk/read-all-about-it/](http://www.wlep.co.uk/read-all-about-it/)**

It is recognised by Worcestershire County Council and its stakeholders that additional investment in transport infrastructure and services is required where this will provide business with improved access to markets and employees and encourage economic growth in Worcestershire.

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## 4.2 Fit with Local Policy Objectives

### *Worcestershire County Council's Corporate Plan*

The Corporate Plan highlights the relatively poor performance of the Worcestershire economy.

The county's Gross Value Added (a measure of economic production per head) is £4,200 per annum below neighbouring Warwickshire's, with this a longer term problem than current economic difficulties. The Corporate Plan is aiming to try and close this gap, including through developing the County's assets and skills base. There must also be considerable investments in the County's infrastructure to address barriers to economic growth and to maintain the quality of life for residents. This will include investment in transport infrastructure where this supports Corporate Objectives.

A key element of the Corporate Plan is that the County Council will judge its progress by measuring the:

- Increase in the overall employment rate of the County
- Reduction in the number of young people on out of work benefits
- Increase in Worcestershire's Gross Value Added
- Amount of new private sector investment levered and attracted into the County

As set out in the Strategic Case, the Hoobrook Link Road scheme will support the achievement of all these targets.

The Corporate Plan also highlights that spending on capital projects (such as the Hoobrook Link Road) is likely to continue, particularly where this is shown to stimulate growth, for example in the areas of structural and infrastructure major works, enabling the County to be truly open for business. The Hoobrook Link Road scheme will help to reduce some of the transport related barriers to the achievement of growth by reducing the adverse impacts of traffic congestion on business and other network users' transport costs.

Through to 2017 the Corporate Plan highlights that spending on capital programmes will be a priority where this tackles enablers critical to growth, including transport schemes such as:

- Strategic route improvements
- Rail station improvements

The Hoobrook Link Road scheme falls within the strategic route improvements category.

The improvement to the performance of the Kidderminster and wider Wyre Forest transport network is referenced in the Worcestershire LTP3. The completion of the Hoobrook Link Road is a specific LTP3 policy (K1), whilst the other transport schemes that it would support (to a greater or lesser extent) are also referenced (Policies K2 – K7).

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## **5. Deliverability**

### **5.1 Details of Any Previous Work Undertaken**

<b>Concept Study</b>	✓
<b>Feasibility</b>	✓
<b>Preliminary Design</b>	✓
<b>Detailed Design</b>	
<b>Risk Register</b>	✓
<b>Detailed Work Programme</b>	✓
<b>Quantified Risk Assessment</b>	✓
<b>Environmental Appraisal</b>	✓
<b>Member Approval</b>	✓
<b>Commitment of Partners</b>	✓
<b>Consultation with Key Stakeholders</b>	✓
<b>Strategic Business Case</b>	✓
<b>Business Case with BCR</b>	✓
<b>Other (Specify)</b>	

### **5.2 Dependencies and Risks / Barriers to Delivery**

#### **5.21 Land Ownership**

Details of the land/properties affected by the proposed scheme are provided in the extract from the District Valuer's Report in Annex 5.

#### **5.22 Requirement for Compulsory Purchase**

The scheme will require land to be purchased (refer to the extract from the District Valuer's Report in Annex 5 for details). Negotiations with landowners and businesses directly affected by the scheme have already commenced and initial responses indicate that these interests can be acquired through negotiation avoiding the need of compulsory purchase powers. However, should it ultimately prove necessary to undergo a CPO process this can be accommodated within the proposed programme (including a Public Inquiry).

#### **5.23 Land Type (e.g. all highways, presently occupied etc.)**

The scheme passes through an existing industrial estate. Land is required from several parties including property owners, the local district council and the Canal Trust. Further details are provided in the extract from the District Valuer's Report in Annex 5.

#### **5.24 Requirement for major statutory instruments (e.g. TWA, Side Road Orders etc.)**

A Side Roads Order is required for the improvement and stopping up of roads within Hoobrook Industrial Estate.

#### **5.25 Requirements for Planning Consents**

Full Planning Consent is required. The Planning Authority is Worcestershire County Council. A statutory Environmental Impact Assessment (EIA) will also be required. The programme accommodates both requirements.

#### **5.26 Known Environmental Impacts (e.g. SSSIs, Ancient Monuments, Green Belt etc.)**

The findings of the environmental assessments have shown the scheme area is not within an

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AQMA. There is likely to be an overall slight deterioration in NO<sub>2</sub> and PM<sub>10</sub> concentrations with the new link road due to the increase in traffic serving the development. This increase in traffic is unlikely to be sufficient to be above EU limits. However, a reduction in fuel consumption is forecasts as traffic speeds increase due to reduced congestion. The areas to benefit from less congestion are the Birchen Coppice and Holly Park, two of the wards of lowest IMD in the town.

Overall, the environmental issues on water and biodiversity can be mitigated without significant measures and cost, and at worst slight adverse impacts are expected from the scheme.

### 5.27 Other

The detailed design is yet to be undertaken, however, the impacts of the risks associated with this (e.g. on cost and programme) are considered to be low. Due allowance has been made for this risk in the Quantified Risk Assessment and programme. The necessary resources to undertake this work have been identified and allocated.

## 6. Timescales

### 6.1 Earliest Start on Site

April 2015

### 6.2 Scheme Delivery Date Assessment

Delivery Period		Overall Deliverability <i>(Tick only one row)</i>				
		Highly Deliverable	Readily Deliverable	No Major Barriers	Moderate Delivery Risks	Significant Delivery Risks
Before 2014/15						
2014/15 to 2018/19 (inclusive)	✓				✓	
2019/20 to 2025/26 (inclusive)						
Beyond 2026						

### 6.3 Approximate Duration of the Scheme

The main construction works are anticipated to take 58 weeks however advance utility works are anticipated to take an additional 24 weeks.



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## 7. Delivery Agency

### 7.1 Proposed Delivery Agency

Worcestershire County Council

### 7.2 Partnership bodies (if any) you plan to work with during design or delivery

The scheme will be delivered in partnership with Wyre Forest District Council. The Councils are taking a joint approach to concluding land negotiations required to secure the scheme. A joint team of officers from both authorities has been established to take forward the planning approval process. This will ensure the details of the scheme maximise the requirements of both authorities.

Close liaison will also take place with St Francis Group who is the developer of the former British Sugar Site. This will ensure the scheme maximises the development potential of Phase 2 of the site.

## 8. Costs and Funding

### 8.1 Cost

Specific Estimate if Available	£11.41m (outturn cost)
£5-15m	✓
£15-30m	
£30-50m	
£50-100m	
£100-200m+	
Unknown at this stage	

### 8.2 Proposed Sources of Funding

Source	Contribution ( <i>tick</i> )	Approx %
LTP		
Major Scheme Funding	✓	35.0
CIL		
Highways Agency		
Network Rail		
Regional Growth Fund		
Local Authority (e.g. Prudential Borrowing / asset release)	✓	21.1
Transport Operator		
Private Sector	✓	8.8
Other: Greater Birmingham & Solihull Local Transport Board	✓	35.0

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**8.3 Project Costs**

**8.31 Table A: Funding profile (Nominal terms)**

£000s	Earlier years	2015/16	2016/17	2017/18	2018/19	Later Years	Total
LTB funding sought		2,500	1,500	0	0		4,000
Local Authority contribution	2,350	60	0	0	0	0	2,413
GBSLTB		2,500	1,500	0	0		4,000
Third Party contribution	0	0	1,000	0	0	0	1,000
<b>TOTAL</b>	<b>2,350</b>	<b>5,060</b>	<b>4,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>11,413</b>

**8.32 Table B: Cost Estimates (Nominal Terms)**

Cost Heading	Cost (£000s)	Date estimated	Status (e.g. target price)
Scheme Development	966.5	February 2013	Cost Estimate
Works Cost (including Land, excluding Part 1 Claims)	9,020	February 2013	Cost Estimate
Works Supervision	334	February 2013	Cost Estimate
Quantified Risk	1,092.5	February 2013	Cost Estimate
<b>TOTAL</b>	<b>11,413</b>		

*Notes:*

1) LTB funding must not go beyond 2018/19 financial year.

2) A minimum local contribution of 10% (local authority and/or third party) of the project costs is required.

3) Costs in Table B should be presented in outturn prices and must match the total amount of funding indicated in Table A.

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**9. Economic Assessment**

	<i>Tick <u>one</u> box for each row only</i>						
	<i>Large / High Beneficial</i>	<i>Moderate Beneficial</i>	<i>Slight Beneficial</i>	<i>Neutral</i>	<i>Slight Adverse</i>	<i>Moderate Adverse</i>	<i>Large / High Adverse</i>
<b><i>Economic</i></b> (Note: VfM: Low = 0>1.4, Medium 1.5 > 2.0, High 2.0+)							
<b><i>Transport Economic Efficiency (VfM)</i></b>	✓						
<b><i>Reliability</i></b>		✓					
<b><i>Wider Economic Benefits</i></b>	✓						
<b><i>Environment</i></b>							
<b><i>Noise</i></b>				✓			
<b><i>Local Air Quality</i></b>				✓			
<b><i>Greenhouse Gasses</i></b>				✓			
<b><i>Landscape / Townscape</i></b>			✓ (Townscape)		✓ (Landscape)		
<b><i>Heritage</i></b>				✓			
<b><i>Biodiversity</i></b>					✓		
<b><i>Water Environment</i></b>					✓		
<b><i>Social</i></b>							
<b><i>Physical Fitness</i></b>			✓				
<b><i>Journey Quality</i></b>				✓			
<b><i>Accidents</i></b>				✓			
<b><i>Security</i></b>					✓		
<b><i>Access to Services</i></b>		✓					
<b><i>Affordability</i></b>				✓			
<b><i>Severance</i></b>			✓				
<b><i>Option Values</i></b>				✓			

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*Provide a brief bullet point summary of justification for the above WebTAG appraisal based on each of the three main headings only:*

<b>Economy</b>	<ul style="list-style-type: none"> <li>• The package delivers time saving benefits to business trips. Over 60% trips will have a time saving, and 3% will be over 2 minutes of travel time, and 0.1% over 5 minutes. Large savings will be on the ring road in Kidderminster as traffic will divert to the new link so reduce the congestion</li> <li>• Operational GVA and employment outputs, as a result of the 20,829 sq m of employment floorspace estimated as 789 gross new full-time equivalent jobs would result in £263 million of gross new additional GVA for the local economy. The indirect GVA impacts would be 1,962 gross new full-time equivalent jobs, adding £1.001 billion of gross new additional GVA for the local economy.</li> </ul>
<b>Environment</b>	<ul style="list-style-type: none"> <li>• The proposed link road will cause an increase in traffic noise in an area where there was previously limited traffic noise (by the canal). The wider surrounding area, however, is currently dominated by traffic and industrial noise, and it is unlikely the extra traffic associated with the development will increase this by a significant amount at nearby sensitive receptors. The proposed link road is unlikely to impact upon any vulnerable groups.</li> <li>• The scheme will have an adverse impact on the tranquillity of the regional valued Canal Conservation Area and the setting will be permanently altered. The loss of vegetation should be mitigated for in the design development. There will be a minor loss of semi-natural habitats that will be restricted to a linear route across the River Stour and Staffordshire and Worcestershire Canal. Slight adverse impacts are predicted to these habitats and to the potential fragmentation to bat foraging habitat even following mitigation. Following mitigation measures (if required) for pollution control, otter, water vole, reptiles, breeding birds, fish and badgers all other impacts are predicted as neutral.</li> </ul>
<b>Social</b>	<ul style="list-style-type: none"> <li>• Measures for cyclists and pedestrians are intended to form part of the proposed scheme, principally through the provision of new links between the Hoobrook/Spennells and Foley Park/Bircham Coppice areas of Kidderminster</li> <li>• No direct changes to public transport services as part of the scheme, and as such there is no change in public transport accessibility directly attributed to the link.</li> <li>• There is potential to reduce accidents on roads that are provided with some traffic relief by the Hoobrook Link Road (A449 Worcester Rd &amp; A451 Stourport Rd)</li> </ul>

## WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

### 10. Financial Case – Affordability and Risk

#### **a) What risk allowance has been applied to the project cost and what is the basis of this allowance?**

The risk allowance is £1.092m. This allowance excludes any risks associated with ongoing operation costs. Refer to the summary of Scheme Costs, Risk Management Plan (including High Level Risk Register) and Quantified Risk Assessment in Annexes 4, 6 & 7 respectively for further details.

#### **(b) How will cost overruns be dealt with?**

WCC has allocated sufficient budget to deliver this scheme on the basis of its proposed funding contribution and accepts its responsibility to meet any costs over and above the LTB contribution requested, including potential cost overruns and the underwriting of any funding contributions expected from third parties.

#### **(c) What are the main risks to project delivery timescales and what impact this will have on cost?**

The main risk to project delivery timescales is the potential for a CPO Public Inquiry. Negotiations with landowners and businesses directly affected by the scheme have already commenced and initial responses indicate that these interests can be acquired through negotiation avoiding the need of compulsory purchase powers; therefore, this risk is considered to be low. However, to ensure that this risk is adequately catered for, the implications of a CPO Inquiry on the proposed programme were investigated and it was demonstrated that an Inquiry could be accommodated. In addition, the review demonstrated that, if the inquiry is undertaken in a timely manner, it would not affect the proposed level of LTB contribution in each year or the proposed year of completion. The cost implications would be mainly limited to additional professional fees incurred during the preparation of the Public Inquiry.

#### **(d) How will cost overruns be managed?**

WCC accepts its responsibility to meet any costs over and above the LTB contribution requested, including potential cost overruns and the underwriting of any funding contributions expected from third parties. This responsibility includes seeking increases in third party contributions where this is considered to be appropriate and feasible.

### 11. The Economic Case – Value for Money

Annex 3 includes the Value for Money Assessment for the proposed scheme. Chapter 2 of this report covers the traffic modelling of the scheme using the recently developed Wyre Forest Model (WFM) using the VISUM software. Included in the report is a summary of the model validation showing compliance against DMRB for flows and journey times, demonstrating the model is fit for purpose for testing of a major scheme. Also included in this chapter is analysis of the impacts of the scheme with assessments including flow changes and congestion relief to the network, reflecting positive and negative impacts. Chapter 4 of the value for money report includes the economic appraisal, and Table 4.4 reported the distribution of time saving benefits and the number of gainers and losers, in terms of travel time impacts, of the scheme. Overall, the gainers will exceed the losers by 25%, with 95% of time savings less than 1 minute.

Annex 3 includes the Value for Money Report, with Chapter 4 covering the estimate of the BCR. The approach to calculating the Benefits Costs Ratio (BCR) has been completed in a spreadsheet, and is based on TUBA and the values in WebTAG. The outputs from the WFM Model covering changes in vehicle hours and kilometres travelled between the reference case and the scheme

## WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

form the inputs to the economic appraisal.

A summary of the economic results for the scheme are shown below. Full TEE, PA and AMCB tables are provided in Annex 3, Chapter 4.

<b>Benefits / Costs</b>	<b>Economic Value 2010 Prices and Values £000's</b>
Consumers - Commuting	£12,305
Consumers - Other	£40,511
Business	£30,010
External and Other Benefits	£6,908
Indirect Tax	-£4,231
Developer Contributions	-£838
<b>Present Value of Benefits (PVB)</b>	<b>£84,664</b>
Local Government Funding	£16,170
Central Government Funding	£3,485
Developer Contributions	-£838
<b>Present Value of Costs (PVC)</b>	<b>£18,817</b>
<b>Net Present Value (NPV)</b>	<b>£65,847</b>
<b>Benefits Costs Ratio (BCR)</b>	<b>4.50</b>

To reflect uncertainty in the case, a number of sensitivity tests have been completed, as reported below. The combined effect of the potential downsides to the economic case would reduce the BCR from 4.50 to 3.89. Clearly, there is also the potential for upside impacts to the case that would increase the BCR to above the central case value of 4.50 to 5.07.

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<b>Benefits / Costs</b>	<b>Central Case</b>	<b>+10% Capital Costs</b>	<b>-20% demand growth</b>	<b>Exclude Developer Contributions</b>	<b>-10% VDM Impacts</b>	<b>Combined Downside Impacts</b>	<b>Combined Upside Impacts</b>
Impact	Central Case	Downside	Downside	Downside	Upside	Downside	Upside
PVB	£84,664	£84,664	£81,244	£85,502	£95,352	£82,082	£95,352
PVC	£18,817	£20,283	£18,817	£19,655	£18,817	£21,121	£18,817
NPV	£65,847	£64,381	£62,427	£65,847	£76,535	£60,961	£76,535
BCR	4.50	4.17	4.32	4.35	5.07	3.89	5.07

## 12. The Commercial Case

**Provide a summary of the proposed procurement strategy that will be used to select a contractor:**

***(a) Please provide evidence to show the risk allocation and transfer between the promoter and contractor, contract timescales and implementation timescales (this can be cross-referenced to your Risk Management Strategy).***

The Term Civil Engineering Contract referred to in Section 12(b) is an NEC Target Cost contract designed to deal effectively with risk by using contractor experience early in projects to mitigate risk and allocate it to the party most able to control it. This directly and beneficially affects outturn costs and the programme. An extract from the Contract describing what is expected from ECI is reproduced at the end of the response to this question.

The Term Civil Engineering Contract is in place and is with a single supplier tendered in compliance with the Public Contract Regulations and EU Directives.

Target Prices are derived using tendered Defined Costs (equivalent to resource rates) and benchmarked against similar projects and activities to ensure best value and consistency. Contract performance is driven by KPIs including Share Savings Achieved which is a gateway KPI having a target of 5%. This is designed to control cost over-runs whilst not encouraging high target prices. The Contractor's Share is 50% below 110%, which means that the employer's liability is limited to 5% above target prices and both the Employer and Contractor equally share gains below 100%. Cost control is therefore incentivised.

The significant risks that are best controlled by the Contractor include:

- Contaminated ground (with the benefit of information in the Ground Investigation report)

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

- Buried underground services
- Unforeseen ground conditions (with the benefit of information in the GI report)
- Presence of invasive weeds
- Re-usability of excavated material (with the benefit of information in the GI report)
- Flood risk (flood zone 3)

Further details on key project risks may be found in the high level risk management plan in Annex 6.

Extract from the Contract:

### ***Early Contractor Involvement (ECI)***

*Early Contractor Involvement (ECI) involves the creation of a Contractor/Consultant/Client team, led by the Project Manager, which caters for the consideration of buildability and value issues earlier in the design process, leading to shorter construction periods and reduced impacts during construction.*

*The benefit of ECI is that it utilises contractors' unique understanding of construction processes to optimise the design and delivery process. The difference is, as the name implies, that ECI involves the contractor far earlier. With ECI, the contractor joins the team early and is involved with planning, assessing buildability, cost estimating and value engineering. ECI is the key to ensuring both programme and cost certainty for WCC. The Contractor is expected to be involved in a project as early as possible. A strong team ethos is critical in producing the most cost efficient project.*

*The goal of ECI is to provide the possibility for forecasting project results with more certainty. It should prepare all parties to jointly solve problems, address unknowns in difficult environments and avoid or resolve conflicts more effectively.*

### ***Range of benefits gained by participating in ECI***

- Early creation of delivery team
- More scope for innovation
- More flexibility and better value
- Integrated and incentivised supply chain
- Improved risk management with fair allocation of risks
- Improved Health and Safety
- Shorter construction periods and reduced impacts during construction
- Maintaining a competitive and sustainable supply chain
- Clear points of responsibility, no unnecessary layers of supervision
- Good and appropriate quality of design to meet project objectives
- Partnership approach and team ethos based on long-term relationships
- Performance measurement with continual improvement targets
- Improved communications and liaison with the key stakeholders during consultation and construction



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### **Requirements**

*The Contractor provides suitably qualified and experienced individuals who are capable of assisting WCC in the implementation of the benefits as outlined above. The Contractor provides an ECI service to WCC as part of the project team. This reflects a partnering relationship that should increase transparency and therefore reduce risk, increase shared responsibility and limit the extent of change.*

*The Contractor's representative also assists in the development of the communications plan and attends public consultation/ information/ exhibitions should a particular scheme require it. These often occur outside of normal working hours to maximise public representation. Effectiveness and value of ECI is reviewed at quarterly review meetings.*

***(b) What is the preferred procurement route for the scheme and how and why was this identified as the preferred procurement route? For example, if it is proposed to use existing framework agreements or contracts, the contract must be appropriate in terms of scale and scope.***

Worcestershire County Council has recently awarded its Term Civil Engineering Contract (TCEC) to enable delivery of highway improvement and civil engineering projects. The estimated value of civil engineering works for this project (circa £5m) is of the nature and scope of that for which the contract was developed. Electrical infrastructure works will not be delivered under this contract.

Setting the Target Price is straight forward because the Contractor has very good knowledge of the project through Early Contractor Involvement and meaningful input into the construction programme and works design. Development of the target price has been included within the project plan in Annex 8.

The purpose of the TCEC was described in the Invitation to Tender as presented below:

*The Works to be carried out under this Contract are located throughout the County of Worcestershire.*

*The Works consist of highway improvements and structures projects. Tenderers may wish to view LTP3, Worcestershire's third Local Transport Plan, which can be found here:*

*<http://www.worcestershire.gov.uk/cms/local-transport-plan.aspx>*

*The supplier may be required to design and construct or solely construct. Examples could be junction improvements, cycleways, corridor improvements, public realm enhancements, structures, retaining wall construction & maintenance, bridge deck refurbishment, masonry repairs, etc. The size and value range of projects will be variable, the largest could be in the order of £5m, the smallest around a hundred thousand pounds, with any size in between.*

*The contractor participates as a member of the project team for each project and to positively contribute by Early Contractor Involvement in order to produce demonstrable value for Worcestershire County Council.*

*The contract is under NEC3 ECC Option C target cost arrangements for a duration of four years with the potential to extend for up to a further two years, dependent upon performance and value to the Council.*

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**13. The Management Case - Delivery**

**13.1 Development and Construction Milestones**

Milestones	Estimated Date
Start of works	14/09/2015
River Bridge (start)	12/10/2015
River Bridge (completion)	22/04/2016
Highway/pavements (completion)	26/08/2016
Opening date	21/10/2016
Completion of works (if different)	

*The Project Plan in Gantt chart form is provided in Annex 8.*

**13.2 Previous Delivery Performance**

Worcestershire County Council is currently delivering the £8.2m Evesham Abbey Bridge project funded through the DfT Major Scheme process. This major scheme comprises the replacement of a key bridge over the River Avon in Evesham, the modification of an adjacent junction and provision of improved facilities for pedestrians and cyclists. The scheme has involved managing the development and procurement of a bridge design compatible with the area and which offers value for money within available funding, preparation and submission of a successful planning application and associated consultation (and ongoing communications) with the public and key stakeholders and the preparation of a traffic management strategy for the period of construction. The bridge is currently under construction, and will be operational by the end of 2013. The scheme is currently on programme and within budget.

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## 14. Statutory Powers and Consents

<b>Statutory Powers and Consents Required</b>		
Description	Act or Legislation	Comments
Full Planning Consent	Planning Act 2008	To be determined by Worcestershire County Council.
Compulsory Purchase Order	Highways Act 1980	To be determined by Secretary of State. May not be required if third party negotiations are successful.
Side Roads Order	Highways Act 1980	To be determined by Secretary of State. Required for the improvement and stopping up of roads within Hoobrook Industrial Estate.
Bridge Scheme	Highways Act 1980	Authorisation is required to construct over the navigable waters of the Staffordshire/Worcestershire Canal.
Rights Agreement		Rights for access and maintenance of the new bridge via the Staffordshire/Worcestershire Canal towpath will need to be agreed with the Canal & River Trust.
Road Classification		The new road classification is to be determined by the local highway authority which is Worcestershire County Council.
Land Drainage Consent	Land Drainage Act 1991	Following completion of the FRA, consent will be required to discharge surface from the highway to the River Stour.
European Protected Species Licence	Conservation of Habitats and Species Regulations 2010	To be determined by Natural England. Low potential for EPSL to be required, but would be necessary if bat roost or otter holt impacted.
Badger Disturbance Licence	Badger Protection Act 1992	To be determined by Natural England if a badger sett is impacted/ disturbed.

## 15. Governance

**Provide a summary of the proposed organisation of the project**

Project Governance details are provided in Annex 9.

# WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA

## 16. Risk Management

**Provide a brief summary of the proposed Risk Management Strategy outlining how risks will be managed and referencing the Risk Register**

A Risk Management Strategy is provided in Annex 6. A summary of the QRA is provided in Annex 7.

## 17. Stakeholder Management

**(a) Please provide a summary of your strategy for managing stakeholders, with details of the key stakeholders together with a brief analysis of their influences and interests.**

Please see the Communications Review (including Communications Plan) in Annex 10 which presents any engagement undertaken to date and outlines the strategy for managing key stakeholders up to and beyond the funding application.

Letters of Support for the proposals have been secured from primary stakeholders to support a recent funding application (Pinch Point Funding, Feb 2013) The stakeholders are aware of this latest application to the Worcestershire Local Transport Body.

**(b) Can the scheme be considered as controversial in any way? If yes, please provide a brief summary (in no more than 100 words)**

No.

**(c) Have there been any external campaigns either supporting or opposing the scheme? If yes, please provide a brief summary (in no more than 100 words)**

No.

## 18. Benefits Realisation, Monitoring and Evaluation

### Introduction

The commitment to monitor and evaluate the impacts of schemes once implemented and assess benefits realisation is based on the WebTAG guidance. The guidance requests details on the likely benefits and how they will be measured and reported. It is proposed that this will broadly follow the 'standard monitoring' approach set out in the 'Monitoring and Evaluation Framework for Local Authority Major Schemes', although this effort will be adjusted accordingly, to be appropriate, proportionate and cost effective. "Standard monitoring" should include measures covering inputs, outputs, outcomes and impacts of the scheme. For the purposes of this scheme, it is proposed to consider the following questions:

- Was the scheme delivered to cost and timescale?
- Has the scheme delivered the type and scale of benefits forecast?

## **WORCESTERSHIRE LOCAL TRANSPORT BODY MAJOR SCHEME OUTLINE BUSINESS CASE PRO FORMA**

- Has the scheme delivered the desired outcomes?

Evaluation costs of £10,000 are assumed in the total costs estimates of this bid.

### **Costs and Delivery**

The scheme build would be monitored, covering procurement, achievement of timescale and key milestones, risk outcomes, and stakeholder feedback. The actual scheme as delivered would be assessed, including success of the design and materials used. Outturn costs will be compared to forecasts and on-going maintenance costs, ensuring the scheme remains affordable and demonstrates value for money. This could include indicative outturn BCR based on final costs and benefits outcomes.

### **Benefits, Impacts and Monitoring**

Desired outcomes from the scheme include:

- Maximising the efficiency of the road network;
- Reducing congestion and transport costs;
- Increasing journey time reliability; and
- Supporting growth and development, by addressing constraints on network performance.

As such, outcome analysis will concentrate on travel time savings (for journeys using the link and adjacent corridors) and traffic flows (on the Hoobrook Link road and surrounding and parallel routes). This will be accomplished through data collection in Kidderminster, including monitoring traffic flows and journey times on the Hoobrook Link Road and associated routes (such as A449 and A451).

Existing program data sources will be used as much as possible with limited bespoke data collection. For instance, journey times can be monitored through manual observation and/or use of StrateGIS, BLISS or TrafficMaster data (if available). Data collection and reporting would include before opening (Stage 1), 1 year after full opening of the link (Stage 2) and 5 years after full opening (Stage 3), with reporting at stages 2 and 3.

As the scheme is specifically targeted at unlocking development land, impacts on the local economy are also important. Statistics on changes in employment and development permissions and completions would be collated, covering size, timescale, occupancy and take up of sites in the South Kidderminster Enterprise Park and the wider Wyre Forest Region.


## **19. Equality Analysis**

See Annex 11 for a copy of the Equality Impact Screening undertaken for the Hoobrook Link Road scheme.

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**20. Senior Responsible Owner DECLARATION**

As Senior Responsible Owner for [scheme name] I hereby submit this request for funding consideration to the Worcestershire Local Transport Body.

Name: <i>Peter Blake</i>	Signed: 
Position: <i>Head of Integrated Transport</i>	

**21. Section 151 Officer DECLARATION**

As Section 151 Officer for Worcestershire County Council I declare that the scheme cost estimates quoted in this bid are accurate to the best of my knowledge and that Worcestershire County Council has allocated sufficient budget to develop and deliver this scheme on the basis of its proposed funding contribution.

Name: <i>Sean Pearce</i>	Signed: 
Position: <i>Head of Corporate Financial Strategy</i>	

**22. CONTACT DETAILS FOR FURTHER ENQUIRIES**

Lead Contact: Position: Tel: E-mail:	Karen Hanchett Development Control Manager 01905 766 817 khanchett@worcestershire.gov.uk
Alternative Contact: Position: Tel: E-mail:	Steve Harrison Transport Policy & Strategy Team Leader 01905 766 179 SHarrison@worcestershire.gov.uk

# Pershore Northern Link

*Local major scheme outline*

May 2012



*Designed and printed by*

 **WYCHAVON  
DISTRICT COUNCIL**  
*good services, good value*

## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

<b>Scheme Name</b>	Pershore Northern Link
<b>Promoter</b>	Wychavon District Council

### 1. Headline Description

Pershore Northern Link involves the construction of an approximately 600m road and bridge (over the Worcester - Oxford railway line) from the Wyre Piddle by pass roundabout on the A44 to the Keytec business park roundabout on the B4083 Wyre Road, Pershore. This link is designed to provide relief to existing traffic congestion at the Pinvin cross roads which is already providing a barrier to economic growth and crucially the facilitation of the planned growth identified in the emerging South Worcestershire Development Plan for 600 houses in this northern part of Pershore plus a 5ha expansion to the Keytec business park.

### 2. Geographical Area

National grid ref : 395630, 247810.  
Postcode: WR10 2JJ

The total population of the town of Pershore is currently 7,065 (2011 census estimate), with 3,507 people economically active. Unemployment in the town is currently 2.8% (April 2013).

This transport project is located in the northern part of Pershore which is already the focus for a substantial amount of economic activity with nearly 2,000 jobs employed on a variety of industrial estates. This includes the now redundant Polestar Varnicoat printing works which provides for redevelopment of 27,130 sq m of manufacturing space and Interbrook (5ha) which has an unimplemented planning approval for business uses.

### 3. Strategic Case

#### 3.1 Scheme description

The Pershore Northern Link project involves the construction of an approximately 600m road and bridge (over the Worcester - Oxford railway line) which will connect the Wyre Piddle by pass roundabout on the A44 to the Keytec business park roundabout on the B4083 Wyre Road, Pershore. Both existing roundabouts incorporate exits in preparation for the Link. See Plan 1 for details.



## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

<p>A feasibility report for the Pershore Northern Link (referred to as Keytec Link) has recently been produced by Halcrow under Worcestershire County Council instructions with funding from Crown House Developments and Wychavon District Council. This report has examined the design and costs for a number of route alignments and three bridge design options – integral concrete bridge, integral steel bridge and precast concrete arch. This application is based on the partners preferred route alignment and the option for a precast concrete arch.</p>	
<p><b>3.2 Description of problems to be addressed</b> (Quantified wherever possible, e.g. poor access to specific locations/markets, increasing journey times and costs and growing variability in journey times etc.)</p> <p>The staggered Pinvin crossroads (junction of the A44, A4104 and B4082) is controlled by a 4 way sequenced traffic light system. The inevitable delays created by the traffic lights are significantly accentuated by the on street car parking by many residents of Terrace Road who do not have opportunities for off street car parking. Terrace Road is located on the A4104 and is the most direct northern route out of Pershore town. The on street car parking inevitably narrows down traffic flow so that two cars let alone HGVs cannot pass in many places. As a consequence traffic congestion is regularly experienced creating significant delays and frustration.</p> <p>As the town's main employment activity is located in the northern part of Pershore the traffic congestion does create barriers for existing businesses. Many businesses operate with HGV's and the congestion problems mean lost time but also encourages the use of more residential routes such as Wyre Hill which creates safety concerns for local residents.</p> <p>Pershore High School and the town's railway station are located on the A4104 (Station Road) and their activities are also negatively affected by the existing traffic congestion.</p> <p>The main landfill site for Worcestershire and Herefordshire is located nearby at Hill and Moor and the waste from the two counties is transported by HGV or refuse vehicles through the Pinvin crossroads.</p> <p>Finally the existing congestion is also a barrier for future growth opportunities promoted by the South Worcestershire Development Plan (see plan 2). The Plan identifies that new developments will have to contribute towards the alleviation of the bottleneck at the A44/B4082 Pinvin crossroads.</p>	
<p><b>3.3 Options Considered</b> (This should include the option development and sifting process and the results of such assessments)</p> <p>The Halcrow feasibility report for the Pershore Northern Link examined a range of route alignments and bridge construction options (Integral concrete bridge, Integral Steel Bridge and Precast Concrete Arch). The option identified in this application has been identified as technically feasible, contained within land that can be delivered (Worcestershire County Council and Crown House Developments) and the most affordable cost.</p>	

## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

<p>Worcestershire County Council has for many years looked at opportunities to improve traffic flow by making alterations to the Pinvin crossroads, including options for the provision of off street car parking for residents along Terrace Road and re-aligning the crossroads. To date none of these options have been identified as deliverable or demonstrated that they could sufficiently meet existing and future traffic requirements.</p>	
<p><b>3.4 Expected benefits / outcomes</b> (drawn from the economic and financial assessment)</p> <p>A full economic impact assessment will need to be commissioned in order to support a detailed application and provide definitive benefits and outcomes. However the Pershore Northern Link will provide direct and indirect benefits such as:</p> <ul style="list-style-type: none"> <li>• Increased employment levels within existing businesses in north Pershore.</li> <li>• Increased employment levels as a result of attracting new businesses to planned new employment sites (Keytec expansion, Interbrook development) and existing empty commercial space (e.g. Polestar redundant site).</li> <li>• The Northern link will generate around £4m construction expenditure which in turn will support direct employment.</li> <li>• Support the development of 600 new homes which will also provide construction expenditure and employment.</li> </ul>	
<p><b>3.5 Project Scope</b></p> <p>The Northern Link design approach has considered two alternative design approaches:</p> <p>Option 1 minimises the footprint of the link road to maximise development land available in extension to Keytec Business Park (owned by Crown House Developments). The alignment for option 1 is therefore kept close to the eastern boundary of the existing business park buildings by use of a retaining wall to support the road and its embankment.</p> <p>Option 2 aims to ensure that the land required for the link road would be sufficient to build the link road at the lowest available cost.</p> <p>The partners (Crown House Developments, Wychavon District Council and Worcestershire County Council) involved in the design feasibility study completed by Halcrow have agreed that option 2 is the preferred way forward.</p>	
<p><b>3.6 Related Activities</b></p> <p>The South Worcestershire Development Plan provides a planning policy framework which supports economic and residential growth. The full implementation of this development will be subject to a number of factors, including highway improvements and in particular the completion of the Northern Link. Business confidence and ability to start construction is also a key factor in delivering the full economic benefits. The indication is that key developers such as Lansdowne Rodway and Welbeck are progressing the</p>	

## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

<p>development of their residential proposals (e.g. public consultation events, pre-application planning advice) but they know that the delivery of improved highway infrastructure will be a planning requirement. Crown House Developments have also received planning approval for the 5ha expansion to Keytec business park but to date have not secured an occupier.</p>	
<p><b>3.7 Consequences of funding not being secured</b> (Quantified wherever possible)</p> <p>This project has to be completed in one phase and will therefore only be delivered when the full funding is secured. Financial contributions (S106/CIL) from the identified planning developments can make a significant contribution but in raising these funds there needs to be confidence that any gap funding can be secured. The award of funding from the Worcestershire Local Transport Body will help secure this confidence.</p>	
<p><b>4. Fit with Strategic Policy &amp; Objectives</b></p>	
<p><b>4.1 Fit with over-arching economic objectives</b> <i>In particular any LEP, Economic Strategy objectives etc.</i></p> <p>Worcestershire LEP has been briefed on the Pershore Northern Link project and has supported the call for the implementation of the project, especially given the projects benefits to a large number of businesses.</p> <p>In particular the project supports the Worcestershire LEP business plan statement Strategic Objective 4: Planning, Development and Infrastructure Creating a business friendly planning, infrastructure and development setting is of paramount importance. The LEP will position Worcestershire as a competitive place for business to expand and invest through streamlined and pro-active planning, economic development and infrastructure opportunities set in a unique cultural, heritage, tourism, social and environmental setting.</p> <p>The Economic Strategy for Worcestershire 2010-18 identifies the objective of developing the transport infrastructure.</p>	
<p><b>4.2 Fit with local policy objectives</b> <i>In particular; adopted Local Transport Plan; Local Plan, Core Strategy; other relevant plans / strategies etc.</i></p> <p>The Worcestershire Local Transport Plan 3 includes the Pershore Northern Link (SW16 identified as Keytec Link) project as one of the projects within the South Worcestershire Package.</p> <p>The South Worcestershire Development Plan identifies that the bottleneck at the A44/B4082 Pinvin crossroads is a barrier for future growth opportunities promoted by the Plan – 600 new homes and 5ha business park expansion. Consequently the Plan protects the route of the Northern Link and identifies that new developments will have to</p>	

## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

contribute towards the alleviation of the congestion.		
<b>5. Deliverability</b>		
5.1 Concept Study		YES
5.2 Feasibility		YES
5.3 Preliminary Design		YES
5.4 Detailed Design		NO
5.5 Risk Register		YES
5.6 Detailed Work Programme		NO
5.7 Quantified Risk Assessment		NO
5.8 Environmental Appraisal		YES
5.9 Member Approval		YES
5.10 Commitment of Partners		YES
5.11 Consultation with Key Stakeholders		YES
5.12 Strategic Business Case		NO
5.13 Business Case with BCR		NO
5.14 Other		NO
<b>5.2 Dependencies and risks / barriers to delivery</b>		
<i>Please provide a bullet point brief commentary as per below</i>		
5.21 Land Ownership		
The project covers 2 land owners:		
<ul style="list-style-type: none"> <li>• Worcestershire County Council own the land to the north of the railway line. This was purchased in order to enable the construction of the Northern Link.</li> <li>• Crown House Developments own the land to the south of the railway line. The planning approval for the expansion of the Keytec Business Park has a S106 which secures sufficient land for the construction of the Northern Link.</li> </ul>		
5.22 Requirement for Compulsory Purchase		
<ul style="list-style-type: none"> <li>• None required.</li> </ul>		

## **Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma**

### **5.23 Land Type (e.g. all highways, presently occupied etc.)**

- A geotechnical survey has been undertaken by Halcrow as part of the Feasibility Report.
- The route is on land previously undeveloped and the survey revealed that the “site is underlain by solid geology of Blue Lias and Charmouth Mudstone formation.”
- “No major site specific geotechnical risks were identified other than those that would typically apply to a construction project of this nature” at exceptional building costs.

### **5.24 Requirement for major statutory instruments (e.g. TWA, Side Road Orders etc.)**

- The bridge design has taken into account Network Rail requirements and allowed for dual tracking and even potential electrification. Timing and construction sequence would be co-ordinated with Network Rail operations and to minimise track possessions required.
- There are no major services close to or crossing the line of the proposed link road, except for a low voltage cable on the north side of the railway which appears to be redundant. This needs to be confirmed at the next stage of scheme development.
- There are some substantial overhead power cables to the west of the new route which also cross the railway, but these are sufficiently far from the route so as not to affect it.
- As would be expected along major road corridors, there are telecom, electric, water and gas mains crossing the roundabouts at either end of the scheme although the majority of these are either in the furthest verge from the scheme or run through the centre of the roundabouts, hence they are unlikely to impact on the proposed scheme.

### **5.25 Requirements for planning consents**

- Planning consent will be required from Worcestershire County Council.

### **5.26 Known environmental impacts (e.g. SSSIs, Ancient Monuments, Green Belt etc.)**

- An environmental review has been undertaken by Halcrow as part of the Feasibility Report. This identified that the site is not situated within or in close proximity to a Special Protection area, Special Area of Conservation, Site of Special Scientific Interest, National Nature Reserve or Local nature Reserve.
- A phase 1 Habitat Survey was carried out in 2011 on the southern part of the link road as part of the Keytec Business Park expansion planning application. This identified the presence of a small population of common lizard and a breeding population of slow worms at a number of sites. Mitigation actions have been identified as part of the planning conditions.

### **5.27 Other**

- The existing roundabouts have been designed to accommodate the connection of the link road.

## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

### 6. Timescales

#### 6.1 Earliest start on site

Anticipated to be 2017. This would allow time for more detailed studies to be completed, planning approval to be obtained, financial match funding arrangements (including S106/CIL) to be secured and significantly time for seeking Network Rail closures.

#### 6.2 Scheme delivery date assessment

Delivery Period	Overall Deliverability <i>(Tick only one row)</i>				
	Highly Deliverable	Readily Deliverable	No Major Barriers	Moderate Delivery Risks	Significant Delivery Risks
Before 2014/15					
2014/15 to 2018/19 (inclusive)	X		X	X	
2019/20 to 2025/26 (inclusive)					
Beyond 2026					

#### 6.2 Approximate duration of the scheme

Approximately one year.

### 7. Delivery Agency

#### 7.1 Proposed delivery agency

Wychavon District Council is the project sponsor and will lead the securing of the funds required to deliver this project.

#### 7.2 Partnership bodies (if any) you plan to work with during design or delivery

It is intended that Worcestershire County Council Highways and its contractors will be commissioned to complete the technical studies and supervise the implementation of the project. A 10% allowance has been provided in the costs for project preparation and supervision.

## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

### 8. Costs & Funding

#### 8.1 Cost

Specific estimate if available	
£5-15m	£3,454,000 (estimate at 2012 prices).
£15-30m	
£30-50m	
£50-100m	
£100-200m+	
Unknown at this stage	

#### 8.2 Proposed sources of funding

Source	Contribution ( <i>tick</i> )	Approx %
LTP		
Major Scheme Funding	£1,654,000	48
CIL - 600 homes at £3,000 per home	£1,800,000	52
Highways Agency		
Network Rail		
Regional Growth Fund		
Local Authority (e.g. Prudential Borrowing / asset release)		
Transport Operator		
Private Sector		
Other (specify if known)		

#### 8.3 Project Costs

##### 8.31 Table A: Funding profile (Nominal terms)

£000s	2015/16	2016/17	2017/18	2018/19	Later Years	Total
LTB funding sought			1,000	654		1,654
Local Authority contribution						
Third Party contribution			800	1,000		1,800
<b>TOTAL</b>			<b>1,800</b>	<b>1,654</b>		<b>3,454</b>

##### 8.32 Table B: Cost estimates (Nominal terms)

## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

Cost heading	Cost (£000s)	Date estimated	Status (e.g. target price)
Additional survey work	72	2012	Cost estimate
Bridge construction – Precast concrete arch with rail bridge optimism bias	913	2012	Cost estimate
Road construction with optimism bias	1,884	2012	Cost estimate
Preparation and supervision	285	2012	Cost estimate
Network Rail costs	300	2012	Cost estimate
<b>TOTAL</b>	<b>3,454</b>		

**Notes:**

- 1) LTB funding must not go beyond 2018/19 financial year.
- 2) A minimum local contribution of 10% (local authority and/or third party) of the project costs is required.
- 3) Costs in Table B should be presented in outturn prices and must match the total amount of funding indicated in Table A.

### 9. Economic Assessment

Complete the following table:

**A full WebTAG compliant has not been produced for this project at this stage but it will be completed for the detailed application stage.**

	Tick <b>one</b> box for each row only						
	Large / High Beneficial	Moderate Beneficial	Slight Beneficial	Neutral	Slight Adverse	Moderate Adverse	Large / High Adverse
<b><u>Economic</u></b> (Note: VfM: Low = 0 > 1.4, Medium 1.5 > 2.0, High 2.0+)							
Transport Economic Efficiency (VfM)							
Reliability							
Wider Economic Benefits							
<b><u>Environment</u></b>							
Noise							
Local Air							



## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

Quality							
Greenhouse Gasses							
Landscape / Townscape							
Heritage							
Biodiversity							
Water Environment							
<b>Social</b>							
Physical Fitness							
Journey Quality							
Accidents							
Security							
Access to Services							
Affordability							
Severance							
Option Values							
Provide a brief bullet point summary of justification for the above WebTAG appraisal based on each of the three main headings only:							
<b>Economy</b>							
<b>Environment</b>							
<b>Social</b>							

### 10. Financial Case – Affordability & Risk

*Provide brief bullet point summary of the Financial Case for the scheme, including development, construction and ongoing costs:*

A full Web TAG compliant appraisal will be completed for the detailed application stage. This will help demonstrate the affordability and value for money generated by this project.

This project benefits from limited risks, including:

- construction is on previously undeveloped land with good ground conditions
- no landownership problems and no need to CPO
- with the exception of Network Rail there are no identified issues with regards to utilities which might generate additional costs and time delays
- identified source of income from residential developments that are supported within the South Worcestershire Development Plan. The one risk is the lack guarantee on the timing of the delivery of the houses and therefore payment of CIL/S106 contributions.

## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

- Costs include a contingency element which takes into account levels recommended by the Department of Transport.

### 11. The Economic Case – Value for Money

*Provide a brief summary of the costs and benefits of the scheme:*

It is clear that this project can produce significant development outputs, including:

- Opening up of the 5 ha Keytec Business Park extension.
- Support the construction of 600 new homes.
- Improved business performance for a large number of existing businesses located in the north part of Pershore.

There is good level of confidence that the web TAG appraisal will demonstrate that the project costs will deliver excellent value for money in comparison to other projects.

### 12. The Commercial Case

*Provide a summary of the proposed procurement strategy that will be used to select a contractor:*

Worcestershire County Council Highways will be commissioned to procure this project. Detailed discussions on the procurement strategy have not yet taken place but it is anticipated that the approach will be fully in line with the County Council's experience and knowledge of similar projects. Measures will be taken to ensure that any tender will be in compliance with the Public Contract Regulations and EU Directives.

### 13. The Management Case - Delivery

#### 13.1 Development and Construction milestones

##### 2014

- Completion of remaining environmental surveys, topographical survey and detailed ground investigation.
- Final detailed designs completed.
- Project team confirmed and procurement approach agreed.
- Finalise funding package.

## **Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma**

2015

- Identification with Network Rail of a rail closure for the bridge construction.
- Undertake and complete planning application process
- Start procurement process.

2016

- Complete procurement process.
- Early contractor engagement to finalise building programme.

2017

- Start construction work.

2018

- Complete construction and open Pershore Northern Link.

### 13.2 Previous delivery performance

Wychavon District Council has experience of developing and delivering major development projects such as the Waitrose supermarket in Droitwich Spa and Pershore Community Hospital. However we recognise that we do not have direct experience of delivering major road projects such as this. Consequently we propose to partner with Worcestershire County Council Highways and their consultants to help deliver this project. These organisations have substantial experience of delivering highway projects such as this.

To date Wychavon District Council and Crown House Developments (owners of Keytec Business Park) have funded the County Council to commission Halcrow to complete the detailed feasibility study which forms much of the content of this application.

## **14. Statutory Powers and Consents**

*Please list separately each statutory power / consent required.*

Full planning consent – in accordance with Planning Act 2008 to be determined by Worcestershire County Council

Bridge scheme – authorisation is required from Network Rail in order to construct the bridge over the railway.

Land drainage consent – in accordance with Land Drainage Act 1991 consent will be required for the discharge of water from the highway.

Road classification – new road classification is to be determined by the local highway authority which is Worcestershire County Council.

Wildlife licence – existing planning condition on the Keytec Business Park part of the project requires the rehousing of slow worms from the site in an approved methodology.

# Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

## 15. Governance

*Provide a summary of the proposed organisation of the project*

Support for this project and this pro forma has been approved by the Executive Board of Wychavon District Council at its meeting on 28 May 2013. The resolution included the setting up of a formal stakeholder meeting (see section 17) and one of the outcomes of this meeting will be the development of proper governance arrangements. At this stage it is expected that this will include the further development of the Project Team that was established in 2012 in order to develop the project Feasibility Study. Membership of this team has included:

- Wychavon District Council (project sponsor and part funder)
- Crown House Developments (part funder and landowner)
- Worcestershire County Council Highways (commissioned study and landowner)
- Halcrow (study author)

When a contractor is appointed they will become a key part of the team.

## 16. Risk Management

*Provide a brief summary of the proposed Risk Management Strategy outlining how risks will be managed and referencing the Risk Register*

A Risk Management Strategy is identified as Appendix 1.

## 17. Stakeholder Management

*Provide a brief summary of your strategy for managing stakeholders*

The Pershore Northern Link project is actively supported by the local MPs, Wychavon District Council, Pershore Market Town Partnership, Pershore Town Council, Pinvin Parish Council, Wyre Piddle Parish Council and Worcestershire LEP. This support is representative of large scale public support as indicated by a range of public consultations such as South Worcestershire Development Plan, Keytec Business Park extension planning application and recent public exhibitions held by house developers in the town. A support group has also been established with representatives from the town and parish councils who have gathered a petition in support of the delivery of the project.

## Worcestershire Local Transport Body Local Major Scheme Outline Business Case Pro forma

Following the publication of the feasibility report a briefing is being set up for stakeholders and it will be proposed that a formal group will be established to work alongside the project team and ensure that all stakeholders are kept up to date with progress and help deal with any key issues as they arise.

### 18. Benefits Realisation, Monitoring and Evaluation

*Provide a brief summary of how you plan to measure and report on the benefits identified*

Standard monitoring will include measures covering inputs, outputs, outcomes and impacts of the scheme. For the purpose of this project, it is proposed to consider the following questions:

- Was the project delivered costs and timescale?
- Has the project delivered the types and scale of forecast benefits?
- Has the project delivered the desired impacts?

The project build will be monitored, covering procurement, achievement of timescale and key milestones, risk outcomes and stakeholder feedback. Business space take up will be monitored and will be supported by a survey of existing businesses so that the impact on business activity and employment will be evaluated after the completion of the project. Similarly the number of new homes built will be monitored and the impact of the project on house building will be evaluated.

### 19. Equality Analysis

An Equality Analysis is attached as appendix 2.

### 20. Senior Responsible Owner DECLARATION

As Senior Responsible Owner for Wychavon District Council I hereby submit this application for funding consideration to the Worcestershire Local Transport Body.

Name: Phil Merrick

Position:

Head of Community Services

Signed:

### 21. Section 151 Officer (or equivalent) DECLARATION

As Section 151 Officer for [name of authority] I declare that the scheme cost estimates

**Worcestershire Local Transport Body Local Major Scheme  
Outline Business Case Pro forma**

quoted in this bid are accurate to the best of my knowledge and that [name of authority] has allocated sufficient budget to develop and deliver this scheme on the basis of its proposed funding contribution

Name: Vic Allison

Signed:

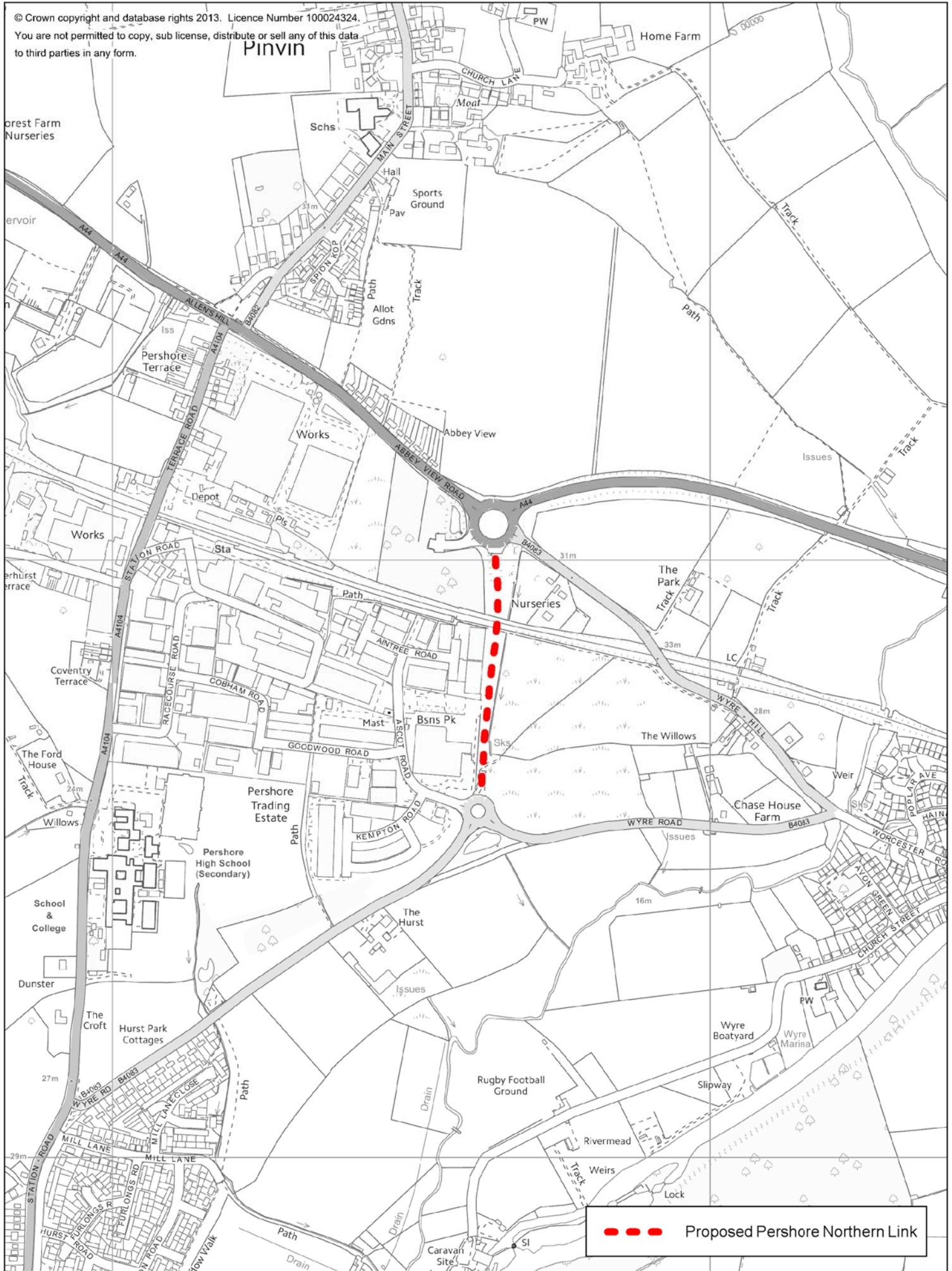
Position: Deputy Managing Director


**21. CONTACT DETAILS FOR FURTHER ENQUIRIES**

**Lead Contact: Phil Merrick**  
**Position: Head of**  
**Community Services**  
**Tel: 01386 565588**  
**E-**  
**mail:phil.merrick@wychavon.gov.uk**

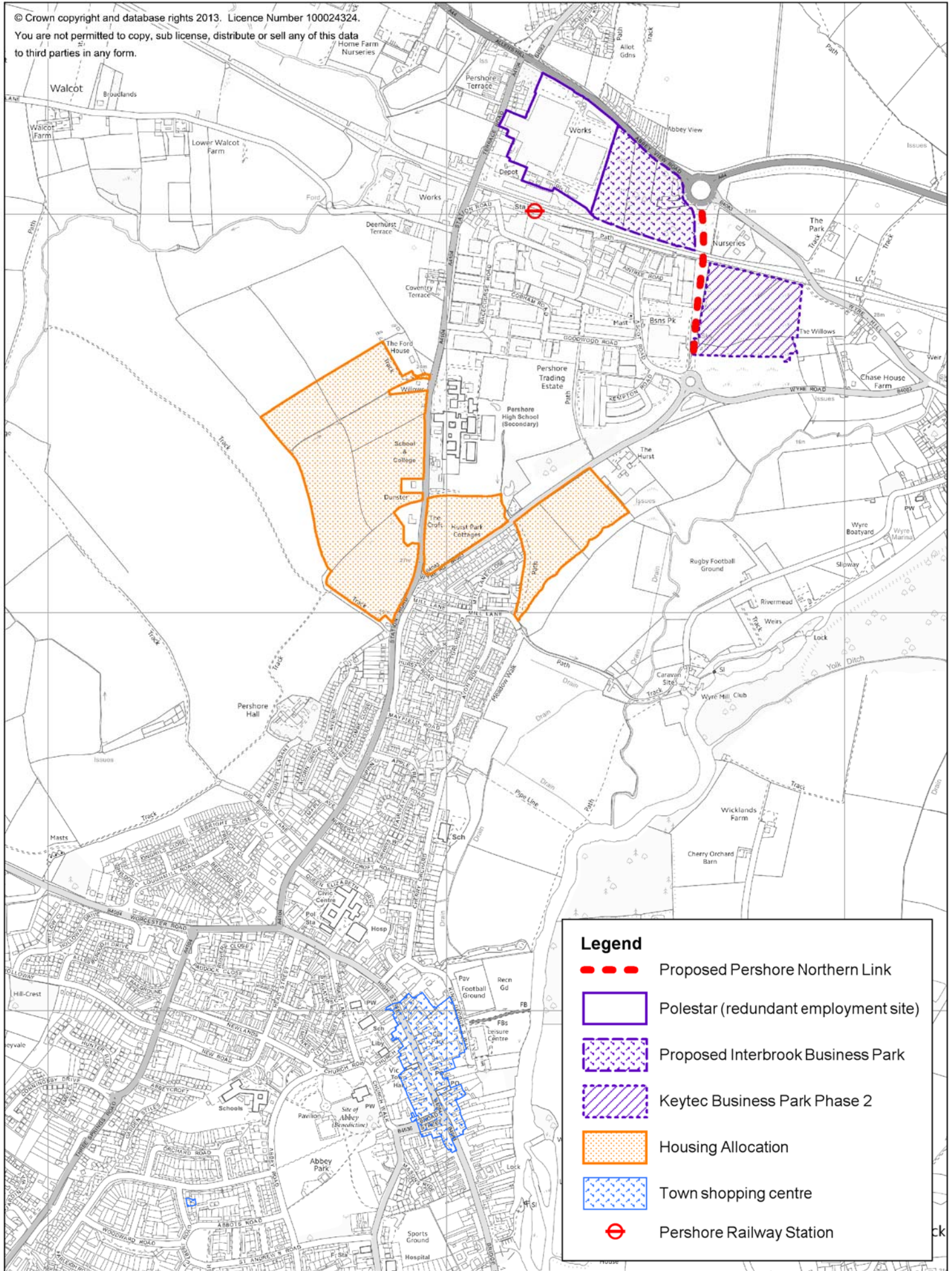
**Alternative Contact: Chris**  
**Brooks**  
**Position: Regeneration**  
**Manager**  
**Tel: 01386 56**  
**E-**  
**mail:chris.brooks@wychavon.gov.uk**

# Pinvin



 Proposed Pershore Northern Link







An Equality Impact Assessment is a way of examining how different communities or groups of people will be affected by a current or proposed service, policy or project. It helps identify ways of removing or reducing any adverse impacts and with developing an action plan for ensuring the service, policy or project has the most positive outcomes for our communities.

**What service, service change, policy or project are you assessing?**

**Implementation of Pershore Northern Link**

Please complete Part A and then continue to Part B if required.

### **Part A: initial assessment**

**A1. What is the purpose of this service, service change, policy or project?**

**Contribute towards the removal of traffic congestion especially at the Pinvin crossroads and improved access to existing and proposed business parks in the north of the town. Also helps facilitate 600 new homes identified in the SWDP.**

**A2. How does it contribute to the priorities and goals in our [corporate strategy](#)?**

**Major contribution to our Stronger Economy priority.**

**A3. Will the service, policy or project affect a large proportion of people in Wychavon? If so, how many?**

**Will provide benefit to the resident population of Persore, Pinvin and Wyre Piddle. This cover two wards with a combined population of 10,000 people.**

**A4. Is the service, policy or project a key area of expenditure for us or will it have other major financial implications? Include savings or reductions to services.**

**Scheme will be funded with external sources of funding.**

**A5. Who is likely to be affected by it? For example: all residents, young people, people with disabilities.**

**The large majority of residents who travel by car and public transport will benefit from the reduced traffic congestion. The new road link will incorporate a footway and cycleway as well as the road so it will provide increased travel options for local people.**

**A6. What evidence have you used to answer question A5? For example: customer monitoring data, customer profiles, demographic information.**

Demographic information provided by WCC Research and Information has been incorporated.

- A7. Please indicate in the table below whether the service, policy or project is likely to have a positive, adverse or neutral impact on each of the groups listed. Those marked with a \* are defined as protected characteristics in the [Equality Act](#).

Equality group	Positive	Adverse	Neutral
Age*	X		
Disability*	X		
Gender: men/boys*	X		
Gender: women/girls*	X		
Gender reassignment (transsexual)*	X		
Marital and civil partnership status *	X		
Pregnancy and maternity*	X		
Race and minority ethnic groups*	X		
Religion and/or belief*	X		
Sexual orientation*	X		
Low income	X		
People in rural areas	X		
People in urban areas	X		

- A8. Have you already made any changes to remove or reduce any adverse impacts<sup>1</sup> that you have identified in question A7? If yes, please provide details.

No adverse impacts identified.

<sup>1</sup> An **adverse impact** is where one or more group or groups of people are put at a disadvantage by the way a particular policy or procedure is carried out. For example, disabled or elderly people, or people living in very isolated rural areas may struggle to use wheelie bins as easily as other people.

## Part B: sign off

Equality Impact Assessment completed by:	
Name	Phil Merrick
Job title	Head of Community Services
Signed off by:	
Service Unit Manager:	Community Services
Date:	30/05/13

Please e-mail your completed impact assessment to [Rob Mace](#). We will publish it on the [Equality and Diversity pages](#) of our website under [Impact Assessments](#).

Appendix 3 – Prioritisation Categorisation Table

Objective	Criteria	Score			
		Neutral or Adverse	Slight Beneficial	Moderate Beneficial	Large Beneficial
Economic	Support Economic Development	Does not support economic development or no evidence / figures provided	Small scale development dependant on scheme, or scheme generally supports wider development	Large scale development close to scheme, or medium scale development dependant on scheme	Large scale development dependant on scheme
Environment	Reduce Carbon	No beneficial impact or no information provided	Likely carbon reduction, but limited / no assessment	Likely carbon reduction due to significant reduction in congestion or vehicle km (either through shorter routes or mode switch)	Significant carbon reduction likely due to mode switch or large scale reduction in congestion
	Improve Air Quality / Noise	No beneficial impact or no information provided	Limited AQ / Noise benefit likely; no detailed assessment	Likely benefit to AQ / Noise over a wide area	Assessment to demonstrate significant AQ / noise benefit, or likely benefit to AQMA or Noise Action Areas
Health and Safety	Improve Safety	No beneficial impact or no information provided	Improved safety conditions of existing transport network rather than removal of demand	Likely to be safety benefits affected large number of users, particularly if reduction in vehicle demand	Evidence of significant safety benefits
	Promote Physical Activity	No pedestrian / cycle improvements as part of scheme or no information provided	Limited pedestrian / cycle improvements as part of scheme	Specific measures to promote walk / cycle such as off-road cycleways or significant ped / cycle improvements	Significant measures that clearly demonstrate likely significant increase in walk / cycle
Equality	Deliver Wider Social Distributional Impacts	No beneficial impact or no information provided	Limited beneficial impact on social groups	Beneficial to Regeneration Area; scheme likely to benefit some social groups	Beneficial to Regeneration Area; evidence that scheme will be beneficial to wide range of social groups, particularly deprived areas / vulnerable groups
Quality of Life	Conserving built environment and heritage	No beneficial impact or no information provided	Limited beneficial impact on built environment and / or heritage assets	Beneficial impact on built environment and / or heritage assets	Significant beneficial impact on built environment and / or heritage assets
Asset Management	Enhance transport network and reduce cost of maintenance	No beneficial impact or no information provided	Limited beneficial impact on maintenance costs or inconvenience	Beneficial impact on maintenance costs or inconvenience	Evidence of consideration in design phase and of maintenance cost reduction
LTP	Value for Money	BCR < 1	BCR between 1 and 2	Confidence that BCR would exceed 2 (but be less than 6)	Confidence that BCR would exceed 6
LTB	Quality of Supporting Evidence	No information provided	Limited assessment provided.	Some detailed information on design, cost estimates, risk, environmental assessments and traffic modelling but not all provided or sufficiently robust	Detailed assessments including preliminary design, cost estimates, risk evaluation, environmental assessments and robust traffic modelling
	Consensus / Level of Support	Scheme not supported by key stakeholders, significant objections received or no information provided	Limited consultation and little evidence of support from public or key stakeholders	Support from key stakeholders; public consultation carried out and limited objections received. Scheme identified in relevant plans / policy documents	Evidence of support from scheme public consultation; support from key stakeholders. Scheme identified in relevant plans / policy documents

Appendix 4 – Scheme Score Sheets

Scheme: *A4440 Southern Link Road*

	Objective	Weighting	None	Slight Beneficial	Moderate Beneficial	Large Beneficial	Comments
Economic	Support Economic Development	5				X	Required for delivery of 2,450 new homes and 20ha employment land associated with South Worcester Urban Extension
Environment	Reduce Carbon	1	X				Value for Money Report (Table 2.5) shows a slight increase in vehicle-km; AST shows no carbon assessment
	Improve Air Quality / Noise	1		X			Likely to be slight benefit over wider network due to re-routing and reduction in congestion
Health and Safety	Improve Safety	1		X			Likely reduction in accidents due to reduced congestion, higher standard route and segregated ped / cycle facilities
	Improve Physical Activity	1			X		Significant ped / cycle improvement provided through new ped / cycle bridge over A4440
Equality	Provide Social and Distributional Benefits	1		X			Some benefit to bus services in City Centre and southern link road; limited benefit to most deprived areas
Quality of Life	Conserve Built Environment and Heritage	1	X				No beneficial impact demonstrated
Asset Management	Enhance Transport Network and Reduce Maintenance Inconvenience	1				X	Evidence of design considering maintenance impact and reducing inconvenience
LTP	Value for Money	3	BCR > 1	BCR 1-2	BCR 2-6	BCR 6+	X
LTB	Have Local Support	1			X		Evidence of support from key stakeholders and scheme included in statutory plans and policy documents, but no detailed public consultation carried out yet
	Quality of Supporting Evidence	1			X		Some detailed information provided, but further assessments needed on some aspects, particularly environmental

<b>Overall Score</b>	<b>33</b>
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Scheme:	<i>Worcestershire Parkway</i>
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	Objective	Weighting	None	Slight Beneficial	Moderate Beneficial	Large Beneficial	Comments
Economic	Support Economic Development	5			X		Supports large scale development in South Worcestershire but development is not dependent on scheme
Environment	Reduce Carbon	1		X			Demand forecasts predict that 40% of demand will be due to switch from car, therefore carbon reduction likely
	Improve Air Quality / Noise	1	X				No assessment completed and not clear whether there would be a benefit
Health and Safety	Improve Safety	1			X		Safety benefits arising from safer access to new station by road than to existing stations and network-wide reduction in vehicle demand through mode switch
	Improve Physical Activity	1		X			Limited ped / cycle improvements; small immediate catchment area for walk / cycle journeys and no dedicated cycle facilities from larger development areas
Equality	Provide Social and Distributional Benefits	1		X			Some benefit to some social groups due to easier access to rail services
Quality of Life	Conserve Built Environment and Heritage	1	X				No beneficial impact demonstrated
Asset Management	Enhance Transport Network and Reduce Maintenance Inconvenience	1				X	Evidence of intention to reduce maintenance and operation costs in design phase through securing of BREEAM excellent rating
LTP	Value for Money	3			X		
LTB	Have Local Support	1			X		Evidence of support from key stakeholders including support for new stations fund bid; scheme included in statutory plans and policy documents, but no detailed public consultation carried out yet
	Quality of Supporting Evidence	1			X		Some detailed information provided, but further assessments needed on some aspects, particularly environmental and outline design

Overall Score					28		
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Scheme: *Hoobrook Link Road*

	Objective	Weighting	None	Slight Beneficial	Moderate Beneficial	Large Beneficial	Comments
Economic	Support Economic Development	5			X		Dependent development is considered to be of medium scale though locally important
Environment	Reduce Carbon	1		X			Considered to be likely reduction in carbon due to overall impact of new route in reducing congestion
	Improve Air Quality / Noise	1		X			Likely to be slight benefit over wider network due to re-routing and reduction in congestion
Health and Safety	Improve Safety	1		X			Likely reduction in accidents due to reduced congestion, new route and new ped / cycle facilities
	Improve Physical Activity	1		X			Considered to be limited ped / cycle improvements as part of scheme
Equality	Provide Social and Distributional Benefits	1			X		Scheme is located in area of deprivation and would be likely to benefit vulnerable social groups and improve accessibility to employment sites
Quality of Life	Conserve Built Environment and Heritage	1	X				No beneficial impact demonstrated
Asset Management	Enhance Transport Network and Reduce Maintenance Inconvenience	1			X		New route would provide alternative route during maintenance of ring road and other routes in areas where traffic flows are high
LTP	Value for Money	3	BCR > 1	BCR 1-2	BCR 2-6	BCR 6+	
LTB	Have Local Support	1			X		Evidence of support from key stakeholders; support from DfT through Pinchpoint funding; scheme included in statutory plans and policy documents; no details from recent public consultation
	Quality of Supporting Evidence	1			X		Some detailed information provided, but further assessments needed on some aspects, particularly environmental

<b>Overall Score</b>	<b>28</b>
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Scheme: *Pershore Northern Link*

	Objective	Weighting	None	Slight Beneficial	Moderate Beneficial	Large Beneficial	Comments
Economic	Support Economic Development	5		X			Considered to be medium scale development, but not dependent on scheme
Environment	Reduce Carbon	1		X			Economic Appraisal Report (Table 2.3) shows modest reduction in vehicle-km
	Improve Air Quality / Noise	1		X			Likely to be slight benefit over wider network due to re-routing and reduction in congestion
Health and Safety	Improve Safety	1		X			Likely reduction in accidents due to reduced congestion and new route diverting traffic from less safe routes
	Improve Physical Activity	1		X			Limited ped / cycle facilities provided as part of scheme
Equality	Provide Social and Distributional Benefits	1	X				Limited information provided and no clear benefits to vulnerable social groups
Quality of Life	Conserve Built Environment and Heritage	1	X				No beneficial impact demonstrated
Asset Management	Enhance Transport Network and Reduce Maintenance Inconvenience	1		X			New route would provide alternative route during maintenance of Terrace Road and other routes in areas where traffic flows are moderate, although some other existing routes available
LTP	Value for Money	3	BCR > 1	BCR 1-2	BCR 2-6	BCR 6+	
LTB	Have Local Support	1			X		Scheme identified in statutory plans and policy documents; support from some key stakeholders but no evidence of any scheme specific consultation
	Quality of Supporting Evidence	1		X			Limited traffic modelling and environmental assessment carried out
Overall Score							19