

Notice of Meeting

Executive

Thursday 4 May 2017 at 5.00pm

at Shaw House, Church Road, Newbury

Date of despatch of Agenda: Tuesday 25 April 2017

For further information about this Agenda, or to inspect any background documents referred to in Part I reports, please contact Democratic Services Team on (01635) 519462

e-mail: executivecycle@westberks.gov.uk

Further information and Minutes are also available on the Council's website at www.westberks.gov.uk



Agenda - Executive to be held on Thursday, 4 May 2017 (continued)

To:	Councillors Dominic Boeck, Anthony Chadley, Jeanette Clifford, Hilary Cole, Lynne Doherty, Marcus Franks, James Fredrickson, Graham Jones and Rick Jones
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Agenda

Part I

Pages

1. **Apologies for Absence**
To receive apologies for inability to attend the meeting (if any).
2. **Minutes** 7 - 10
To approve as a correct record the Minutes of the meeting of the Committee held on 30 March 2017.
3. **Declarations of Interest**
To remind Members of the need to record the existence and nature of any personal, disclosable pecuniary or other registrable interests in items on the agenda, in accordance with the Members' [Code of Conduct](#).
4. **Public Questions**
Members of the Executive to answer questions submitted by members of the public in accordance with the Executive Procedure Rules contained in the Council's Constitution.
 - (a) **Question submitted by Mr Peter Norman to the Portfolio Holder for Community Resilience and Partnerships**
"Does the Council accept that poor air quality as a result of road pollution is a major killer in this country and a significant factor in the rise of respiratory diseases in our youngsters?"

 - (b) **Question submitted by Mr Peter Norman to the Portfolio Holder for Planning, Housing and Leisure Centres**
"Given the go ahead to build 401 homes in North Newbury because of the ongoing issues with the delivery of Sandleford, is it time for the Council to re-appraise its housing strategy before it finds all three of the shortlisted strategic housing sites built upon and Newbury left with no green spaces?"

 - (c) **Question submitted by Mr Peter Norman to the Portfolio Holder for Planning, Housing and Leisure Centres**
"Is the Council aware that other local authorities have taken direct control of delivering housing projects on their own land, and in the case of Norwich this has resulted in 60% of the housing delivered being not only affordable but the housing built is passive housing with very low running costs and low carbon footprint?"



Agenda - Executive to be held on Thursday, 4 May 2017 (continued)

(d) **Question submitted by Mr Peter Norman to the Acting Leader of the Council and Portfolio Holder for Health and Wellbeing**

“Does the Council agree with me that a key long term aim in creating sustainable future and good health in our youngsters is to encourage them to walk and take active exercise?”

(e) **Question submitted by Mr Peter Norman to the Portfolio Holder for Culture and Environment**

“Is the Council aware that neighbouring Councils have a far higher recycling rate than West Berkshire and if so what lessons can be learnt from them?”

(f) **Question submitted by Ms Judith Bunting to the Portfolio Holder for Planning, Housing and Leisure Centres**

“As the Council’s adopted Core Strategy requires the protection and enhancement of green infrastructure and cultural facilities in West Berkshire, including named outdoor sporting facilities, what investment is planned to safeguard and enhance the protected community green infrastructure and cultural facility at Newbury Football Ground in Faraday Road?”

5. **Petitions**

Councillors or Members of the public may present any petition which they have received. These will normally be referred to the appropriate Committee without discussion.

Items as timetabled in the Forward Plan

	Pages
<hr/> <p>6. Better Care Fund 2017/19 (EX3218) (CSP: P&S) Purpose: The Better Care Fund (BCF) is a government initiative established to fast track integration with Health and Social Care. The West Berkshire Health and Wellbeing Board’s Locality Integration Board has developed a draft plan based on the Department of Health’s 2017-19 Integration and BCF policy framework, however the national guidance has not yet been published. Advice from the Better Care Team is that all localities will need to submit plans to NHS England by 16th May 2017.</p> <p>In order to avoid any delay in the submission of the plan this report seeks the Executive’s approval for the draft BCF plan for 2017/19, subject to the Head of Adult Social Care, in consultation with the Chairman and Vice-Chairman of the Health and Wellbeing Board, ensuring the plan aligns with the BCF National Guidance once it is published.</p> <hr/>	11 - 48



7. **Children and Family Services: Adopt Thames Valley - The Development of a Regional Adoption Agency (EX3285)** 49 - 58
(CSP: MEC, MEC1)
Purpose: To approve plans for West Berkshire Council to join and progress developments as a Regional Adoption Agency as part of a shared service hosted by Oxfordshire County Council with a wider base group of partner authorities. This report provides an overview of plans to set up a Regional Adoption Agency (RAA) across the Thames Valley region. It sets out the legislative framework, potential benefits for children and families and describes the planned timetable for setting up the RAA.
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8. **Draft Airports National Policy Statement (EX3280)** 59 - 174
(CSP: SLE, SLE2)
Purpose: To outline to the Executive the purpose and contents of the Draft Airports National Policy Statement and to establish West Berkshire Council's response to the Government's current consultation.
-
9. **Merchant House, Newbury (EX3299)** 175 - 180
Purpose: To promote the purchase of the freehold of Merchant House, Oxford Road, Newbury, RG14 1PA.
-
10. **Members' Questions**
Members of the Executive to answer questions submitted by Councillors in accordance with the Executive Procedure Rules contained in the Council's Constitution.
- (a) **Question to be answered by the Portfolio Holder for Children and Young People submitted by Councillor Mollie Lock**
"How many schools have accessed the Emotional Health Academy since its commencement and how many children does that total?"
-
- (b) **Question to be answered by the Acting Leader of the Council submitted by Councillor Lee Dillon**
"When will the outstanding data for the Q3 performance report get published, i.e. request for Q3 figures for affordable housing?"
-
- (c) **Question to be answered by the Portfolio Holder for Community Resilience and Partnerships submitted by Councillor Billy Drummond**
"When does the Joint Public Protection Partnership aim to have the Public Protection Community Fund launched by?"
-
- (d) **Question to be answered by the Portfolio Holder for Community Resilience and Partnerships submitted by Councillor Lee Dillon**
"Why doesn't the Council monitor levels of Sulphur Dioxide in air quality monitoring?"
-



11. **Exclusion of Press and Public**

RECOMMENDATION: That members of the press and public be excluded from the meeting during consideration of the following item as it is likely that there would be disclosure of exempt information of the description contained in the paragraphs of Schedule 12A of the Local Government Act 1972 specified in brackets in the heading of the item. [Rule 8.10.4 of the Constitution refers.](#)

Part II

12. **Merchant House, Newbury (EX3299)**

181 - 186

(Paragraph 3 – information relating to financial/business affairs of particular person)

Purpose: To promote the purchase of the freehold of Merchant House, Oxford Road, Newbury, RG14 1PA.

Andy Day

Head of Strategic Support

West Berkshire Council Strategy Aims and Priorities

Council Strategy Aims:

- BEC** – Better educated communities
- SLE** – A stronger local economy
- P&S** – Protect and support those who need it
- HQL** – Maintain a high quality of life within our communities
- MEC** – Become an even more effective Council

Council Strategy Priorities:

- BEC1** – Improve educational attainment
- BEC2** – Close the educational attainment gap
- SLE1** – Enable the completion of more affordable housing
- SLE2** – Deliver or enable key infrastructure improvements in relation to roads, rail, flood prevention, regeneration and the digital economy
- P&S1** – Good at safeguarding children and vulnerable adults
- HQL1** – Support communities to do more to help themselves
- MEC1** – Become an even more effective Council

If you require this information in a different format or translation, please contact Moira Fraser on telephone (01635) 519045.



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DRAFT

Note: These Minutes will remain DRAFT until approved at the next meeting of the Committee

EXECUTIVE

MINUTES OF THE MEETING HELD ON

THURSDAY, 30 MARCH 2017

Councillors Present: Anthony Chadley, Jeanette Clifford, Hilary Cole, Lynne Doherty, Marcus Franks and James Fredrickson

Also Present: Nick Carter (Chief Executive), Martin Dunscombe (Communications Manager), Rachael Wardell (Corporate Director - Communities), Steve Broughton (Head of Culture & Environmental Protection), Stephen Chard (Principal Policy Officer), Councillor Lee Dillon, Councillor Mollie Lock, Gabrielle Mancini (Group Executive - Conservatives) and Councillor Quentin Webb

Apologies for inability to attend the meeting: Councillor Dominic Boeck, Councillor Graham Jones and Councillor Rick Jones

PART I

117. Minutes

Councillor Hilary Cole introduced the meeting by explaining, with extreme sorrow, that Councillor Roger Croft had died on Friday 24 March 2017 from heart failure. This followed the serious accident that Councillor Croft was involved in whilst travelling in France on 9 February 2017 in which his wife, Mrs Zelda Croft, had died.

Councillor Cole reflected that Roger would be much missed as both a good friend and a respected colleague, and she gave thanks for the many messages and cards of condolence that had been received.

Finally, Councillor Cole commented that Roger's vision for West Berkshire as Leader would not be lost and his good work would continue.

A one minute silence was then observed.

Councillor Lee Dillon added his reflections on his work with Councillor Croft on both Thatcham Town Council and West Berkshire Council. He recalled that Roger's election to the Town Council helped to inspire him to develop as a Councillor.

Councillor Dillon also commented that while he and Roger did not always agree on matters relating to the work of both councils, they very often did. In particular, Councillor Dillon highlighted work on flood alleviation schemes in Thatcham as an area on which they shared a common interest and worked towards a shared goal.

Councillor Dillon advised that he met with Roger in a social capacity in January 2017 when they discussed West Berkshire Council issues and ways to progress areas of work where there was an agreed approach between the Conservative and Liberal Democrat groups. He very much hoped that this was an approach which could be continued.

Councillor Dillon concluded that Roger would also be sadly missed from the Liberal Democrat side of the Chamber.

The Minutes of the meeting held on 16 February 2017 were approved as a true and correct record and signed by the Acting Deputy Leader.

118. Declarations of Interest

There were no declarations of interest received.

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119. Public Questions

There were no public questions submitted.

120. Petitions

There were no petitions presented to the Executive.

121. Council Performance Report 2016/17: Q3 (Key Accountable Measures and Activities) (EX3111)

The Executive considered a report (Agenda Item 6) concerning the Quarter Three outturns for the Key Accountable Measures which monitored performance against the 2016/17 Council Performance Framework. This report served to provide assurance to Members that the objectives set out in the Council Strategy and other areas of significance were being managed effectively. The report also presented, by exception, those measures/milestones that were predicted to be 'amber' (behind schedule) or 'red' (not achievable) and provided information on any remedial action taken and its impact. Finally, the report recommended a change to a measure of volume.

Councillor James Fredrickson introduced the item and drew Members' attention to the single page performance scorecard that had been produced to front the report. The purpose of this was to aid transparency of the Council's performance, in particular with residents, with the scorecard providing at a quick glance an assessment of performance against each Council Strategy priority, progress against Core Business and Corporate Programme activity, and performance of key Corporate Health measures.

Councillor Fredrickson added that the introduction of the scorecard would be publicised.

Councillor Marcus Franks highlighted ongoing activity which sought to help achieve the Council Strategy priority to help communities to help themselves. A new multi agency community resilience team would be commencing from 1 April 2017 in partnership with colleagues from Thames Valley Police; a Prospectus containing a list of services that Parish and Town Councils could take on would be published via a portal on 3 April 2017; and a Community Solutions Fund had been put in place in conjunction with Greenham Common Trust.

Councillor Franks also explained that the Emotional Health Academy had proved to be very successful with a 43% reduction in referrals to the Tier 3 Child and Adolescent Mental Health Service (CAMHS) being achieved as a result of the Academy's work.

Councillor Lynne Doherty took the opportunity to thank Officers for their efforts in consistently performing well throughout the year against the Core Business measure of 'Protecting our children'.

Councillor Lee Dillon welcomed the new scorecard approach. In terms of the detail of the report, he noted that data was not available for some measures at the time the agenda was published. Councillor Dillon felt this was an area to improve upon. In particular, he referred to the Council Strategy priority to enable the completion of more affordable housing, data for which was unavailable for Q3 and was reporting as 'red'. Councillor Dillon felt that it would be preferable to provide the most recent position in reports, with a caveat to explain that this was subject to an update.

Councillor Hilary Cole agreed with the need for the most up to date data to be provided and this would continue to be strived for moving forward.

She shared concerns around affordable housing performance and advised that the authority was looking to purchase accommodation to provide affordable housing. However, the development of affordable housing was very much in the hands of

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developers who had concerns over the viability of developments with affordable housing included. Councillor Cole then advised of a recent planning appeal decision for a site in North Newbury where permission had been granted by the Planning Inspectorate. This was a positive outcome from a housing perspective.

Councillor Dillon was also concerned at the 'red' Customer Services measures on the time taken to make a full decision on new benefit claims and the time taken to make a decision on changes in a benefit claimants circumstances. This was concerning as delays could have a serious impact on residents. He noted from the exception reports that staff retention was a factor and queried what was being done to improve this.

Nick Carter explained that performance in this area, while off target, was very close to the national average. He also explained that staffing changes had been made. Historically, the processing of benefit claims had been undertaken by an external consultant, but this arrangement had been replaced by an in-house model in March 2016 in order to reduce staffing costs. Time had since been taken to train staff to an appropriate level and this had impacted on performance, but the trained staffing complement had reached the required level. It was therefore anticipated that performance would be on target in 2017/18.

Councillor Fredrickson shared Councillor Dillon's concern with regard to the impact of delays in determining benefit claims on residents. However, he felt it was important that the Council should not be dependent on an external agency resource and it was his expectation that performance levels would begin to be met by the now fully trained in-house resource.

Councillor Dillon was also concerned at the 'Red' measures within the Education Service, particularly those in relation to disadvantaged pupils. This cohort of pupils needed to be an area of focus.

Councillor Doherty shared this concern and assured Members that the education of disadvantaged pupils, including those eligible for free school meals, would continue to be a matter of particular focus, with work ongoing with School Improvement Officers and Headteachers. She also pointed out that some schools exceeded performance targets for these pupils.

Councillor Dillon requested performance data on a school by school basis and Councillor Doherty agreed this would be provided via a written response.

RESOLVED that:

- (1) Progress against the Council Strategy priorities for improvement be noted.
- (2) Those areas reporting as 'amber' or 'red' had been reviewed to ensure that appropriate action was in place.
- (3) The following measure of volume:
 - No. of transactions through WBC website for 'most requested tasks' would be replaced with
 - Number of individual sessions (customer contacts) through our website.

Other options considered: none.

122. Members' Questions

A full transcription of the Member question and answer session is available from the following link: [Transcription of Q&As](#).

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(a) Question to be answered by the Portfolio Holder for Children and Young People submitted by Councillor Mollie Lock

A question standing in the name of Councillor Mollie Lock in relation to eligibility for free home to school transport for children who attended a school within their catchment area that was not their nearest school was answered by the Portfolio Holder for Children and Young People.

(b) Question to be answered by the Portfolio Holder for Corporate Services and External Affairs submitted by Councillor Lee Dillon

A question standing in the name of Councillor Lee Dillon regarding how many fraudulent benefit claims the Council had identified in the last year and the number of successful prosecutions was answered by the Portfolio Holder for Corporate Services and External Affairs.

(c) Question to be answered by the Portfolio Holder for Adult Social Care submitted by Councillor Lee Dillon

A question standing in the name of Councillor Lee Dillon asking how the Council would spend the additional Adult Social Care funding from the Chancellors recent budget was answered by the Acting Deputy Leader.

123. Exclusion of Press and Public

RESOLVED that members of the press and public be excluded from the meeting for the under-mentioned item of business on the grounds that it involves the likely disclosure of exempt information as contained in Paragraphs 1 and 2 of Part 1 of Schedule 12A of the Local Government Act 1972, as amended by the Local Government (Access to Information)(Variation) Order 2006. Rule 8.10.4 of the Constitution also refers.

124. Staffing implications associated with savings put forward to deliver the 2017/18 Revenue Budget: approval to pay redundancy payments (Strand 4) (EX3196)

(Paragraph 1 – information relating to an individual)

(Paragraph 2 – information identifying an individual)

The Executive considered an exempt report (Agenda Item 9) which sought approval to make the “Strand Four” redundancy payments set out in this report associated with savings to deliver the 2017/18 Revenue Budget.

RESOLVED that the recommendations in the exempt report be agreed.

Reason for the decision: as outlined in the exempt report.

Other options considered: as outlined in the exempt report.

(The meeting commenced at 6.00pm and closed at 6.25pm)

CHAIRMAN

Date of Signature

Better Care Fund 2017/19

Committee considering report:	Executive on 4 May 2017
Portfolio Member:	Councillor Graham Jones
Date Portfolio Member agreed report:	3 March 2017
Report Author:	Tandra Forster
Forward Plan Ref:	EX3218

1. Purpose of the Report

- 1.1 The Better Care Fund (BCF) is a government initiative established to fast track integration with Health and Social Care. The West Berkshire Health and Wellbeing Board's Locality Integration Board has developed a draft plan based on the Department of Health's 2017-19 Integration and BCF policy framework, however the national guidance has not yet been published. Advice from the Better Care Team is that all localities will need to submit plans to NHS England by 16th May 2017.
- 1.2 In order to avoid any delay in the submission of the plan this report seeks the Executive's approval for the draft BCF plan for 2017/19, subject to the Head of Adult Social Care, in consultation with the Chairman and Vice-Chairman of the Health and Wellbeing Board, ensuring the plan aligns with the BCF National Guidance once it is published.

2. Recommendation:

- 2.1 That the Executive approves the draft plan and delegates authority to the Head of Adult Social Care, in consultation with the Chairman and Vice-Chairman of the Health and Wellbeing Board, to approve the final plans for the Better Care Fund 2017/19.

3. Implications

- 3.1 **Financial:** Funding allocations are still to be determined but are likely to be minimal; estimates are 1.79% in 2017/18 and 1.9% 2018/19 however, we are negotiating a 2.3% increase in 2017/18 and 2% in 2018/19 in line with inflation. Whilst plans will be agreed for two years there will still be some flexibility to make adjustments should the need arise. The additional funding announced in the Spring Budget 2017 will be ring fenced for Adult Social Care, we are awaiting detailed guidance but understand there will be conditions in relation to how it can be used.
- 3.2 **Policy:** None
- 3.3 **Personnel:** None
- 3.4 **Legal:** None

3.5 **Risk Management:** None

3.6 **Property:** None

3.7 **Other:** None

4. Other options considered

4.1 N/A

5. Executive Summary

- 5.1 The Better Care Fund (BCF) is a government initiative established to fast track integration with Health and Social Care. 2015/16 was the first year of implementation, all Councils and CCGs had to agree a plan and then obtain approval from their Health and Wellbeing Boards
- 5.2 There has been a delay in issuing the national guidance; we understand this is now likely to be towards the end of week commencing 24th April 2017. However, The Department of Health has issued the 2017-19 Integration and BCF policy framework, which confirms there are four national conditions, rather than the previous eight and four national performance metrics. Advice from the Better Care Team is that all localities will need to submit plans to NHS England by 16th May 2017.
- 5.3 Going forward it is still the intention that where systems are able to demonstrate real progress in their plans for integration it will be possible to 'graduate' from the BCF process. Neither the process nor criteria for this has been agreed but it is believed that from 6 – 10 systems will graduate in 2017/18.

6. Conclusion

- 6.1 The 2015/16 BCF has provided significant learning that should allow us to build on plans for the coming year. Delays in publishing the national guidance have created a degree of uncertainty but we have continued to develop local plans. This is reflective of the approach in both Reading and Wokingham Localities.

7. Appendices

- 7.1 Appendix A - Supporting Information
- 7.2 Appendix B – Equalities Impact Assessment
- 7.3 Appendix C – Better Care Fund Plan 2017 - 2019

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Better Care Fund 2017/19

1. Introduction/Background

- 1.1 The Better Care Fund (BCF) is a government initiative established to fast track integration with Health and Social Care. 2015/16 was the first year of implementation, all Councils and CCGs had to agree a plan and then obtain approval from their Health and Wellbeing Boards.
- 1.2 The previous two years have required us to plan on an annual basis. The Better Care Team has now confirmed that the plans will be for two years. This will align them more closely with CCG financial planning.
- 1.3 Funding allocations are still to be determined but are likely to be minimal; estimates are 1.79% in 2017/18 and 1.9% 2018/19 however, we are negotiating a 2.3% increase in 2017/18 and 2% in 2018/19 in line with inflation. Whilst plans will be agreed for two years there will still be some flexibility to make adjustments should the need arise.
- 1.4 Going forward it is still the intention that where systems are able to demonstrate real progress in their plans for integration it will be possible to 'graduate' from the BCF process. Neither the process nor criteria for this has been agreed but it is believed that from 6 – 10 systems will graduate in 2017/18.

2. BCF National Policy Framework - Assurance

- 2.1 There has been a delay in issuing the national guidance; we understand this is now likely to be towards the end of w/c 24th April 2017. However, the Department of Health has issued the 2017-19 Integration and BCF Policy framework, which confirms there are four national conditions, rather than the previous eight and four national performance metrics. Advice from the Better Care Team is that all localities will need to submit their plans by 16th May 2017.
- 2.2 The four National Conditions are: -
 - Plans to be jointly agreed
 - NHS contribution to adult social care is maintained in line with inflation
 - Agreement to invest in NHS commissioned out-of-hospital services, which may include 7 day services and adult social care
 - Managing Transfers of Care (a new condition to ensure people's care transfers smoothly between services and settings).
- 2.3 The four National Performance Metrics are: -
 - Delayed transfers of care
 - Non Elective Admissions (General and Acute)

- Admissions to residential and care homes
- Effectiveness of Reablement

2.2 The Spring Budget on 8th March 2017 announced additional funding for Local Authorities over the next 3 years. This funding will be ring fenced for Adult Social Care. We have been advised conditions will apply to this funding, we await formal guidance. West Berkshire will receive £704,449 in 2017/18, £583,666 in 2018/19 and £281,912 in 2019/20.

3. West Berkshire Locality BCF Plan

3.1 A number of planning meetings have been held with the CCG; please see attached the latest draft plan, which is still work in progress and will be finalised following publication of the national guidance. For the overarching financial plan we have worked on the basis of a 1.79% increase on the revenue elements of the Better Care Fund.

3.2 In addition to the revenue amounts we anticipate that the Disabled Facilities Grant will continue to be paid through the BCF.

3.3 In the new plan the Joint Care Pathway will be confirmed as 'business as usual'. Given the change in status it has already been agreed that this funding will be added to the 'Maintain the provision of social care services'.

3.4 This year we have reduced the investment into 7 days services to £155k. This will require an adjustment to the current arrangement. The remaining funding will be used to fund a new 'step down' project in Birchwood Care Home; the project team have modelled the proposed arrangement on the Willows a successful service operated by Reading Council.

3.5 The BCF also includes funding for West of Berkshire projects. These include 'Connected Care', an ICT project that aims to support more effective information sharing across health and social care, a key requirement of any integration programme and 'Care Homes' which focuses on reducing the disproportionately high number of non elective admissions from care homes.

3.6 The West of Berkshire projects have been expanded to incorporate the Mental Health Street Triage. This reflects the intention of expanding the BCF to incorporate a broader range of priorities.

3.7 Subject to any change resulting from the publication of the BCF guidance we have limited funding. This means that we are not currently able to agree to other projects which would enhance the range of support to the local residents.

3.8 We have also agreed with the CCG to include investment related to the contract held with BFHT. This covers a range of services including intermediate care, speech and language therapy and the community geriatrician.

4. BCF Assurance Process

4.1 For 2017/18 the BCT have confirmed the assurance process will continue to be managed collaboratively between NHS England, the Local Government Association and Association of Directors of Adult Social Care. Initially there were three milestone dates, given the delay it is likely to be reduced to one.

5. Conclusion

- 5.1 The 2015/16 BCF has provided significant learning that should allow us to build on plans for the coming year. Delays in publishing the national guidance have created a degree of uncertainty but we have continued to develop local plans. This is reflective of the approach in both Reading and Wokingham Localities.
- 5.2 It is recommended, that the Board agrees the latest draft plan and gives the Locality Integration Board delegated authority to approve the plan in order that the submission date of 16th May 2017 is achieved.

6. Consultation and Engagement

West Berkshire Locality Integration Board

Subject to Call-In:

Yes: No:

- The item is due to be referred to Council for final approval
- Delays in implementation could have serious financial implications for the Council
- Delays in implementation could compromise the Council's position
- Considered or reviewed by Overview and Scrutiny Management Commission or associated Task Groups within preceding six months
- Item is Urgent Key Decision
- Report is to note only

Strategic Aims and Priorities Supported:

The proposals will help achieve the following Council Strategy aim:

- P&S – Protect and support those who need it**

Officer details:

Name: Tandra Forster
Job Title: Head of Adult Social Care
Tel No: 01635 519736
E-mail Address: tandra.forster@westberks.gov.uk

Appendix B

Equality Impact Assessment - Stage One

We need to ensure that our strategies, policies, functions and services, current and proposed have given due regard to equality and diversity.

Please complete the following questions to determine whether a Stage Two, Equality Impact Assessment is required.

Name of policy, strategy or function:	Better Care Fund Programme 2016/17
Version and release date of item (if applicable):	V.01
Owner of item being assessed:	Tandra Forster
Name of assessor:	Tandra Forster
Date of assessment:	10 th March 2016

Is this a:		Is this:	
Policy	No	New or proposed	No
Strategy	Yes	Already exists and is being reviewed	Yes
Function	No	Is changing	No
Service	No		

1. What are the main aims, objectives and intended outcomes of the policy, strategy function or service and who is likely to benefit from it?	
Aims:	The Better Care Fund Programme is a initiative established to promote greater integration between health and social care.
Objectives:	To outline the project initiatives and associated investment for the West Berkshire Locality Better Care Fund.
Outcomes:	The range of projects will help promote better integration between health and social care services, meet the national conditions as set out in the Better Care Fund Policy Framework.
Benefits:	Improved the experience of health and social care services for local residents by reducing duplication of services, increase access to health and social care by implementing 7 day work, better information sharing, protecting existing provision of social care.

<p>2. Note which groups may be affected by the policy, strategy, function or service. Consider how they may be affected, whether it is positively or negatively and what sources of information have been used to determine this.</p> <p>(Please demonstrate consideration of all strands – Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex and Sexual Orientation.)</p>		
Group Affected	What might be the effect?	Information to support this
Age	Improved access to services both in terms of pathways and availability	National conditions - see attached BCF Policy Framework Range of projects within the locality support this and robust assurance process is in place to ensure compliance.
Disability (frail elderly)	Improved access to services both in terms of pathways and availability	National conditions - see attached BCF Policy Framework Range of projects within the locality support this and robust assurance process is in place to ensure compliance.
Gender	This is not a distinguishing factor in this service	This is not a distinguishing factor in this service
Marriage and civil partnership	This is not a distinguishing factor in this service	This is not a distinguishing factor in this service
Pregnancy and maternity	No impact	This programme of work is currently focused on frail elderly
Race	This is not a distinguishing factor in this service	This is not a distinguishing factor in this service
Sex	This is not a distinguishing factor in this service	This is not a distinguishing factor in this service
Sexual Orientation	This is not a distinguishing factor in this service	This is not a distinguishing factor in this service
Further Comments relating to the item:		

3. Result	
Are there any aspects of the policy, strategy, function or service, including how it is delivered or accessed, that could contribute to inequality?	No
Please provide an explanation for your answer: The proposals are intended to enhance service provision and outcomes for service users/patients	
Will the policy, strategy, function or service have an adverse impact upon the lives of people, including employees and service users?	No
Please provide an explanation for your answer: The proposals are intended to enhance service provision and outcomes for service users/patients. Appropriate arrangements are in place which mean employees are not disadvantaged by any new arrangements.	

If your answers to question 2 have identified potential adverse impacts and you have answered ‘yes’ to either of the sections at question 3, or you are unsure about the impact, then you should carry out a Stage 2 Equality Impact Assessment.

If a Stage Two Equality Impact Assessment is required, before proceeding you should discuss the scope of the Assessment with service managers in your area. You will also need to refer to the Equality Impact Assessment guidance and Stage Two template.

4. Identify next steps as appropriate:	
Stage Two required	
Owner of Stage Two assessment:	
Timescale for Stage Two assessment:	
Stage Two not required:	X

Name: Tandra Forster

Date: 10.03.16

Please now forward this completed form to Rachel Craggs, the Principal Policy Officer (Equality and Diversity) for publication on the WBC website.

BCF Plan 2017 - 2019 Cover Sheet

Health & Wellbeing Board Name	West Berkshire
Date of submission	
Has the plan been signed by CCG(s)?	
Date the plan was Signed off by HWB	
Are the minutes of the HWB at which the plan was agreed attached to this submission?	

Section 1 – Confirmation of funding contributions

Requirement	Response																																												
<p>Describe how your BCF Plan meets the minimum contributions for:</p> <ul style="list-style-type: none"> • CCG minimum contributions • DFG • Care Act monies • Formers ‘Carers Breaks’ funding • Re-ablement funding 	<p>The Total BCF for West Berkshire locality has been confirmed as £10,364m (less carry forward from 2016/17 scheme underspend) for 2017/18 and £10,534m for 2018/19.</p> <p>In 2016/17 the £10,669,442 included £462,000 under spend carried forward from the 2015/16, without this the total BCF would have been £10,237,422. Therefore when compared to 2016/17, 2017/18 will see a 1.24% increase and 2018/19 will see a 1.61% increase when compared to 2017/18.</p> <p>The DFG, including the Social Care Capital grant of £1.4m is included in the BCF plans.</p> <table border="1" data-bbox="712 676 2060 1185"> <thead> <tr> <th>Local Authority Contributions</th> <th>2016/17 Gross Contribution £</th> <th>2017/18 Gross Contribution £</th> <th>2018/19 Gross Contribution £</th> </tr> </thead> <tbody> <tr> <td>West Berkshire</td> <td>0</td> <td></td> <td></td> </tr> <tr> <td>DFG</td> <td>1,400,000</td> <td>1,400,000</td> <td>1,400,000</td> </tr> <tr> <td>Carry forward of 15/16 Scheme underspends</td> <td>462,000</td> <td></td> <td></td> </tr> <tr> <td>Carry forward 16/17 Scheme underspends</td> <td></td> <td>134,982</td> <td></td> </tr> <tr> <td>Total Local Authority Contribution</td> <td>1,862,000</td> <td>1,400,000</td> <td>1,400,000</td> </tr> <tr> <th>CCG Minimum Contribution</th> <th>Gross Contribution £</th> <th>Gross Contribution £</th> <th>Gross Contribution £</th> </tr> <tr> <td>NHS Newbury & District CCG</td> <td>5,977,666</td> <td></td> <td></td> </tr> <tr> <td>NSH North & West Reading CCG</td> <td>2,829,756</td> <td></td> <td></td> </tr> <tr> <td>Total Minimum CCG Total contribution</td> <td>8,807,422</td> <td>8,964,000</td> <td>9,134,000</td> </tr> <tr> <td>Total BCF Pooled Budget</td> <td>10,669,422</td> <td>10,498,982</td> <td>10,534,000</td> </tr> </tbody> </table>	Local Authority Contributions	2016/17 Gross Contribution £	2017/18 Gross Contribution £	2018/19 Gross Contribution £	West Berkshire	0			DFG	1,400,000	1,400,000	1,400,000	Carry forward of 15/16 Scheme underspends	462,000			Carry forward 16/17 Scheme underspends		134,982		Total Local Authority Contribution	1,862,000	1,400,000	1,400,000	CCG Minimum Contribution	Gross Contribution £	Gross Contribution £	Gross Contribution £	NHS Newbury & District CCG	5,977,666			NSH North & West Reading CCG	2,829,756			Total Minimum CCG Total contribution	8,807,422	8,964,000	9,134,000	Total BCF Pooled Budget	10,669,422	10,498,982	10,534,000
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<p>Is any additional funding from the LA or CCG(s) included?</p>	<p>The Local Authority will be bringing a 60 bed Care Home in-house with effect from 1st June 2017 and we will invest £398K from the BCF budget in 2017-18 and £186K contingency funding from 16/17 budget for 7-8 step down beds to facilitate Hospital Discharge from Acute Hospitals in order to improve DTOC in West Berkshire.</p> <p>The additional capacity project was agreed in November 2016 utilising £146K under spend from the Patient Recovery Guide Project. However, due to recruitment issues the Additional Capacity project didn’t commence</p>																																												



	<p>until 20th February 2017 therefore there will be a small amount of under spend that will be carried into 2017/18 to continue with this project beyond March 2017.</p>																																				
<p>Please confirm if this narrative plan, and the planning return template, has been signed by all parties and include the name, role, organisation and contact details of the authorising officer(s)</p>	<p>The narrative plan was presented to the Health Wellbeing Board on the 4th May 2017 where it was signed off by all parties.</p> <p>The Local Authority authorising officer is: Rachael Wardell Director Communities West Berkshire Council Rachael.wardell@westberks.gov.uk</p> <p>The CCGs authorising officer is: Cathy Winfield Chief Officer Berkshire West Clinical Commissioning Groups cathywinfield@nhs.net</p>																																				
<p>Your plan should provide a full overview of the funding contributions for 17/18 and 18/19 and set out any changes from 16/17. Please summarise here any changes from 16/17 and how these have been agreed.</p>	<p>The funding for 2017/2018 is £10,364m and £10,534m for 2018/2019. The funding for the next 2 years is detailed below with comparative figures for 2016/17.</p> <table border="1" data-bbox="712 970 2060 1383"> <thead> <tr> <th>Scheme Name</th> <th>2016-2017 Expenditure £</th> <th>2017-2018 Expenditure £</th> <th>2018-2019 Expenditure £</th> </tr> </thead> <tbody> <tr> <td>Connected Care</td> <td>285,000</td> <td>285</td> <td>230</td> </tr> <tr> <td>7 Day week Service</td> <td>500,000</td> <td>155</td> <td>155</td> </tr> <tr> <td>Patient Recovery Guide/Additional Capacity Scheme</td> <td>150,000</td> <td>134,982</td> <td>0</td> </tr> <tr> <td>Protecting Social Care Services – under 65 LD residential/supporting living</td> <td>1,505,000</td> <td>1,535,000</td> <td>1,570,000</td> </tr> <tr> <td>Protecting Social Care Services - Carers</td> <td>300,000</td> <td>306,000</td> <td>312,000</td> </tr> <tr> <td>Protecting Social Care – Reablement</td> <td>433,000</td> <td>441,000</td> <td>450,000</td> </tr> <tr> <td>Protecting Social Care U65 LD Supported Living</td> <td>433,000</td> <td>441,000</td> <td>450,000</td> </tr> <tr> <td>Protecting Social Care M&C Over 65</td> <td>377,000</td> <td>383,000</td> <td>390,000</td> </tr> </tbody> </table>	Scheme Name	2016-2017 Expenditure £	2017-2018 Expenditure £	2018-2019 Expenditure £	Connected Care	285,000	285	230	7 Day week Service	500,000	155	155	Patient Recovery Guide/Additional Capacity Scheme	150,000	134,982	0	Protecting Social Care Services – under 65 LD residential/supporting living	1,505,000	1,535,000	1,570,000	Protecting Social Care Services - Carers	300,000	306,000	312,000	Protecting Social Care – Reablement	433,000	441,000	450,000	Protecting Social Care U65 LD Supported Living	433,000	441,000	450,000	Protecting Social Care M&C Over 65	377,000	383,000	390,000
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	Protecting Social Care – Carers Support	584,000	595,000	610,000
	Existing CCG S256 – Carers	327,000	327,000	327,000
	Existing CCG Reablement Spend	755,000	755,000	755,000
	Joint Care Provider	408,000	416,000	420,000
	Rapid Reponse & Treatment (Care Homes)	543,000	393,000	393,000
	BCF Project Management	109,000	120,000	120,000
	BCF Locality Lead and admin support (funding to for LA and CCG joint support)	100,000	100,000	100,000
	IMHA & Veterans		39	39
	Step Down Bed Scheme in WB Care Home		398,000	542,000
	Street Triage			
	Capital			
	Disabled Facilities Grant	1,400,000	1,400,000	1,400,000
	Social Care Capital Grant	0	0	0
	Contingency (1)	253,000	164,000	160,000
	Contingency (2)	75	0	0
	Performance fund	243,000	222,000	222,000
	Total	10,669,000	10,498,982	10,534,000
	The planning template, attached, provides more details and a full overview of the funding contributions for 2017-2019. These have been jointly agreed by the CCG and Local Authority.			
Please summarise the impact assessment of any changes you have made	<p>Following an evaluation of The Patient Recovery Guide (PRG) pilot project, a decision was taken by the local integration board to cease funding this project in June 2016. (The evidence suggested the project did not meet all of its expected outcomes and that the money could be used better elsewhere) The under spend from the PRG was allocated to create additional capacity in the Market in providing 120 hours of community care and 3 step down beds to assist hospital discharge and DTOC. Due to a delay in recruiting carers the community care did not start until 20th February 2017 and we are still trying to secure the 3 step down beds. The intention is to carry forward the unspent budget allocated to the additional capacity to plug the gap before our new project of 7-8 step down beds at Birchwood Care home starts on 1st June 2017.</p> <p>JCP will continue as business as usual in 2017/18 and following an evaluation of the 7 day services project, (using the tool developed through the BCF in 2015/16) this will be re-configured with a much smaller budget.</p>			



	<p>West Berkshire will be introducing 2 new projects in 2017/18: 1) 7-8 step down beds at Birchwood Care Home to reduce DTOC and 2) Integrated Care Teams to look at further opportunities to work closer with primary care, model examples of good practice with MDT meetings and work with the top 5-10% of patients most at risk of hospital admissions with the aim of reducing Non-elective admissions across the community in West Berkshire. The later will not be supported with any budget in the initial phases.</p>
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Section 2 – Narrative overview

Please describe the local vision for health and social care services, including changes to patient and service user experience and outcomes.

Our vision for better care is based on improving outcomes for individuals through the delivery of care which is responsive, enabling and available as close to home as possible. We are committed to doing things with (rather than to) service users/patients and therefore meaningful engagement is a key part of how we will implement change.

Our current system is already under pressure with a number of challenges including:

1. An increasing population, particularly in those over the age of 65
2. Increasing growth in non-elective care
3. Increasing A& E attendances, and pressure on urgent and emergency capacity
4. Rising delayed transfers of care, and subsequent bed days lost
5. Increasing pressures on adult social care for community packages (particularly in rural areas) and care homes at a time when the overall Council budget is significantly shrinking
6. Increasing demand for planned (elective) care
7. Inequality of access to services across the “whole system :the whole week”
8. Care Workforce Availability
9. Increasing pressure on Social Care in relation to prevention and early intervention

We recognise that the challenges facing the local health and social care system are significant. Demand for services is forecast to increase and this is not sustainable in the current systems. Funding pressures are set to continue and it is clear that without wide scale transformation we will not be able to meet future needs.

The leaders of the 10 Health and Unitary Authority partners, known as the Berkshire West 10 (BW10), have been working together since 2013 within a shared governance structure. The BW10 integration programme is an ambitious transformation programme involving a number of projects across these 10 organisations. The projects operate both at locality level and Berkshire West wide to deliver the intended benefits. The collective objective is focused on improving outcomes for users and patients and achieving long term financial sustainability. Overseen by an Integration Board and with project implementation supported by a joint Delivery Group, the BW10 has focused on specific improvements for the frail elderly population, Mental Health Care and Children’s Services.

The West Berkshire locality integration board informs the strategic direction for Health and Social Care Services both in the locality and across West of Berkshire. This board is responsible for the business and overall performance of projects within the BCF and Integration Programme and their focus is to steer and provide direction to deliver the agreed outcomes, benefits and efficiencies of each project contributing towards greater integration of health and social care.

We see the Better Care Fund as an opportunity to further stimulate the integration of Health and Social Care Services both locally and across West of Berkshire and have created a range of projects to help us deliver this.

West of Berkshire Projects for 2017/18 and 2018/19 include: Connected Care, Care Homes, Getting Home, Street Triage for Mental Health Patients and Integrated Health and Social Care Hub. The workforce project which ran in 2016/17 will now be aligned with the STP workforce aspirations.

Locally in 2017/18 and 2018/19 the Joint Care Pathway will become business as usual. The 7 day services project will continue to run but will be reconfigured with a smaller budget as the evidence from this project over the last 12 months suggested that it was not offering value for money in its current format. Towards the later part of 2016/17 we introduced the Additional Capacity project, offering 80 extra hours of community care to assist with our DTOCs – this project will also continue into 2017-18, ramping up to 120 hours of additional community care and 3 step down beds. We will also be investing in 10 step down beds in a local Care Home to facilitate hospital discharge from acute hospitals to improve our DTOC and doing some further work on integrated care teams, working closer with primary care and looking at both risk stratification and models of MDT's to help avoid non-elective hospital admissions for those with frequent attendances. This work will not have any funding attached to it in the early stages, but this is something that may be considered in the future. In addition a deep dive into Mental Health will take place at our next Locality Integration Board on 17th May 2017 and we envisage allocating some funds to at least one preventative project targeted at Mental Health.

By 2020 we expect to see:

- Person centred services that focus on outcomes rather than outputs
- Provision of good quality information and advice that empowers people to make good choices and self-manage
- Care closer to home as the first option
- Flexible services that operate across 7 days where appropriate.
- Services will be simpler to access, have less duplication and reach service users/patients earlier.

- Delivery of health and social services to be localised wherever possible including access to crisis,
- A&E and other services that meet local residents' needs – with appropriate specialist or wider access to regional services that improve outcomes on a sustainable basis.
- A greater range of local services that promote independent living
- Reduction in avoidable hospital admissions.
- Lengths of stay in Hospitals will be kept to a minimum
- Increased numbers taking up Health and social care personal budgets

Delivery of our vision will achieve system sustainability and therefore deliver value for money. We will do this by commissioning new models of care based on integrated Health and Social care pathways that focus on outcomes for users/patients.

In achieving transformational change we will draw on our patient's and population's views, and use robust health needs assessment in identifying our ongoing priorities. The commissioning and redesign of services will be informed by recognised best practice, and performance data analysis, in a context of an absolute requirement for improving health and social care outcomes and achieving system sustainability.

As a partnership we will make commissioning decisions based on what works best for our communities. This may be across the West of Berkshire or on a more local level. All the work will need to deliver the following:

- Enable us to respond to the needs of our local populations by targeting services to give the greatest impact on health and social care outcomes
- Address the views expressed by our local populations of how they wish services to be provided through partnership and co-production
- Avoid duplication, focus on strengths and ensures value for money & efficiency
- Promote further health and social care integration where a case for change is made
- Where appropriate we will combine resources, sharing best practice and expertise

Reablement

Our services will continue to have an enablement focus to enable people to self-manage where ever possible.

Where care is required it will be delivered by care workers skilled in health and social care tasks to enable consistency, it will be supported by identified care co-ordinators and multidisciplinary teams structured around localities: the overall aim being to improve the care of older people with long-term conditions and those who are at highest risk of deteriorating health. Crisis support will be streamlined with care being provided in the most appropriate setting according to service user/patient and carer need. When hospital admission is unavoidable, the stay will be of high quality with discharge through the Joint Care Pathway ensuring people don't get lost in the system and are able to get back to a more settled environment promptly. Support will be enhanced to enable people living in residential and nursing homes to receive their care and treatment there, and end of life care improved so that people are not admitted to hospital unnecessarily. In bringing key elements of the frail elderly (older peoples) programme on line through our local projects we will be able to assess its impact and use this as a template to inform planning for other pathways for the outer years of this five year period.

Dementia Care

By 2020 we expect to have 1614 living with Dementia in Berkshire West. This is expected to rise to 2165 by 2030 (50% more than in 2015). Identifying those living with Dementia and the provision of high quality diagnosis care is a priority for all four Berkshire West CCG's.

A new refreshed Berkshire West Dementia stakeholders group has been established with the specific aim of sharing good practice and identifying solution to current gaps in order to deliver against the Prime Ministers challenge on Dementia 2020. The West Berkshire Dementia Alliance is working with other Alliances in Reading and Wokingham as part of this group to shape and inform a new integrated approach to joint assessment, care planning and ongoing management of people with Dementia. Younger people, as well as older people with Dementia have integrated commissioning of services already in place and Dementia Care Advisors in addition to an admiral nurse resource to ensure support is provided in a patient centred approach.

Over 2017/18 and beyond we will be working to update and deliver our Local Berkshire West implementation plan, which will include improving timely diagnosis and delivery quality ongoing management and support for people with Dementia and their carer/s. A separate Dementia action plan and plan on page with key milestones is available alongside the Berkshire West CCG's Operating Plan submission for 2016/17.

Anticipatory Care Planning

During 2016/17 we progressed our work around the frail elderly pathway (outside of the BCF but within the

integration portfolio at BW10 level). This has allowed us to identify those costing us the highest amount of resources in the system.

Our NEL analysis has progressed significantly in year and we have identified a cohort of around 100 people who have frequent multiple admissions and attendances at hospital A&E. We have begun a targeted approach led by our urgent care board and implemented through GP practices, to better manage people with frequent attendances to identify blocks and barriers that prevent these individuals from remaining well/stabilised in their home environment. In 2017/18 we plan to amend our Anticipatory Care (CES) to progress this work at GP Practice level, with clinicians focusing specifically on quality care planning, reducing non elective admissions and continued focus on care home patients. In 2017-19 we will also use this intelligence to address and identify resources that can support individuals and communities in those wards with the highest attendances. This targeted approach will help us address and manage non-elective attendances further to improve health of those in our most deprived areas of West Berkshire.

Many of our schemes as well as the wider integration programme aim to specifically target the highest risk/cost segment of our population. Moving into 2017-18 and beyond our vision for supporting patents with long term conditions is underpinned strategically by development of our Accountable Care System and more operationally for 2017/18 and 2018/19 through the work of the CCG's Long Term conditions (LTC) Programme Board, aligned with to BCF and Frail Elderly Pathway.

We will also continue to look at further opportunities for Health and Social Care to work closer by through our Integrated Care Team project.

7 day Services

We also recognise that people need to access health and social care services flexibly. Evidence shows that the limited availability of some services at weekends can have a detrimental impact on outcomes for patients, including raising the risk of mortality. Admission rates may also be affected by GP practices being closed over the weekend period. Where admissions occur there is a need to ensure that care and support is available so patients can be discharged from hospital when they are clinically fit. We have therefore established a range of health and social care services that are available seven days a week.

Primary Care will play a pivotal role in delivering our vision to meet people's needs in the community wherever possible and we will look to facilitate this through the move to fully delegated primary care arrangements with



	<p>NHS England which will enable us to improve quality in primary care.</p> <p>Buckinghamshire, Oxfordshire and Berkshire West (BOB) Sustainability & Transformation Plan (STP)</p> <p>Clinical Commissioning Groups (CCG's) and providers operating in Berkshire West are members of the Buckingham, Oxfordshire and Berkshire West (BOB) Sustainability and Transformation Plan (STP). This is a large STP with three distinct local health economies that are effectively driving place based commissioning to deliver a five year forward view. The local health economies provide the best mechanism to transform primary care, redesign the interface with local hospitals and drive integration with social care. Much of the delivery of the five year forward view will take place at local health economy level with the STP ensuring the rapid adoption of innovation across BOB. Nevertheless each of the member organisations recognises the opportunities of working together with partners at this larger scale and will be progressing initiative to improve quality and realise benefits for the wider system.</p>
<p>Describe how the BCF contributes to the local implementation of the vision of the FYFV and the move towards fully integrated health and social care by 2020; and the aspects of the change the local area is intending to deliver using the BCF.</p>	<p>Over the next five years, the pattern and configuration of services will be changed in West Berkshire to implement the vision of the 5YFV by responding to local health needs by putting the patient at the centre of care to empower more people to live well at home. This will require a number of changes to the services that we provide. The Better Care Fund schemes will be critical to driving some of these changes.</p> <p>Developing patient/service user centred care pathways across Health and Social Care</p> <p>We will continue to create joint system wide integrated pathways across key areas such as frail elderly, mental health and children's services that transcend organisational boundaries to deliver high quality, efficient care for patients. In the longer term, we will also go beyond traditional health and social care services to include wider determinants of physical and emotional wellbeing, to include services such as housing, transport and leisure. We aim to give mental health parity of esteem with physical health, commissioning high quality evidence based services which reflect the national mental health strategy and other key guidance.</p> <p>In response to the high cost of care for older adults, and the growing numbers of older adults in West Berkshire, the frail elderly pathway has been developed to improve the care of older people with long-term conditions and those who are at highest risk of deteriorating health and are likely to need intensive social care support. As part of this, care will be delivered by care workers, supported by identified care co-ordinators. This pathway has been developed through a multi-agency project supported by the King's Fund and is supported by detailed economic modelling. In bringing key elements of the frail elderly (older people's) programme on line through our local</p>

projects we will be able to assess its impact and use this as a template to inform planning for other pathways for the outer years of this five year period.

Changes to health and social care services over the next five years:

Build capacity in the community across primary, community health and social services to work collaboratively and through integrated services to better meet the needs of local residents that avoid their admissions to hospital or care homes.

Expand the reablement capacity linked closely to integration with appropriate primary and community healthcare on a localised basis (via Locality Hubs).

As community capacity is increased overall including targeted in-reach to acute, realign acute sector capacity to achieve improved patient outcomes, greater efficiency and sustainable acute provider capacity on a reduced basis.

Develop cross sector working that targets intervention and support to those most at risk of admissions, including enhancing clinical capacity in the community that also supports those admitted to acute hospitals to return home quickly.

Maximise the capacity of local people to self-care through embedding of the Care Act that enhances information advice, advocacy, carer support, with an overall preventative impact on intensive support and admissions

- Our workforce development strategy will allow us to understand more clearly where the gaps are so that we can stimulate the market to respond and target training/support more effectively. The development of shared health and social care competencies will build capacity and improve the experience of health and social care for service users/patients as it will mean they will be supported by fewer people who get to know them better.
- A proactive approach to provide information, advice and guidance that enables people to understand what universal services are available and, where appropriate, navigate the health and social care system making choices that support them to maintain their independence for longer.
- We will strengthen our community based asset approach, building on our 'doing with' rather than 'to' approach. Assessments will be person centred; outcome focused and continues to develop re-ablement potential.

	<ul style="list-style-type: none"> • We will develop locality based working to ensure we know our patch really well and help people as close to their home as possible.
<p>Please list the issues that the BCF will be used to address in the local area</p>	<p>Through our Better Care Fund schemes we aim to deliver the following improved outcomes;</p> <ul style="list-style-type: none"> • Less duplication between sectors, faster and more efficient joint assessments with lead professionals for those with long term conditions. • Earlier diagnosis, treatment, and support that prevents crises or better enables responses to crises without admissions to hospitals or care homes. • Improved access to information, advice, advocacy and community capacity to manage health and social care needs at low or nil cost to the user or carers. This will include online and flexible locally developed access. • Locality based around GP clusters, mutli-disciplinary social care teams, who will focus helping people remain in their community • Improved choice and control through better access to a wider range of care and support in the local health and social care market especially for those with long term conditions. This will include the use of personal health and social care budgets to allow greater flexibility in how needs are met. We are committed to reducing the need for out of area placements enabling people to maintain family connections. Sometimes a local option is not available, where this occurs we will look at how we can support them to maintain family connections. • “Hard to reach” groups with health and social care needs that then require higher levels of intervention will have better access to tailored information, advice, care and support which is person centred and aligned to cultural, faith, or other requirements. During the Newbury Call to Action event, our plans for integrating care were discussed and some of comments on what Newbury’s new integrated system will make to patients and service users are provided below. <p>In practice this should mean service users being able to say the following;</p> <ul style="list-style-type: none"> • "There are no gaps in my care" • "I am fully involved in the decisions and know what is in my care plan" • "My Team always talk to each other to provide me with the best care" • "I will always know who is in charge of my care and who to contact" • "I won't have to wait in all day for lots of different people to come at different times" • "it is less time consuming if all services are together in one place" • "My care is planned with people who work together to understand me and my carer, put me in control, coordinate and deliver services to achieve the best outcomes for me"



<p>Explain how the BCF will address quality and reduce costs based on segmented risk stratification. (Reference local issues and how integration will be used to drive improvement). If relevant please provide supplementary data to support the case for change, including quantifying levels of unmet need, issues of service quality, and inefficiencies in service delivery.</p>	<p>The 9 challenges referred to in our vision and identified in our Better Care Fund submission in 2016/17 have in main continued to challenge our local economy and will continue to do so over the next 2 years. We will continue with a number of the Berkshire West projects in 2017/18 and 2018/19 and introduce the Mental Health Triage project in April 2017.</p> <p>Connected Care – is a new system that enables data sharing between Health and Social Care Professionals across Berkshire and a single point of access for patients wanting to view their care information. It also supports the delivery of the 10 universal capabilities as defined in the Berkshire Local Digital Roadmap and enables service transformation as specified in the Berkshire, Oxfordshire and Buckingham Sustainable Transformation Plan (STP).</p> <p>There are 3 tranches within the overall project, Tranche 1 went live in February 2017, Tranche 2 will go live in June 2017 and Tranche 3 which involves West Berkshire LA goes live in October 2017.</p> <p>Care Home Project – The Care Homes project was established in Berkshire West in April 2015 with the aim to provide a common and consistent approach to improving outcomes for those people living in Nursing and Residential Homes in Berkshire West. This was through the training and education of care home staff, medication reviews of all residents and since October 2015 enhanced care through the introduction of a Care Home Rapid response and Treatment Service (RRAT) that provides 7 days a week, 8am – 7pm treatment via a multidisciplinary team linking in with specialist nurses and therapists. The services offers the residents a co-ordinated and joined up health and social care service, reducing unnecessary hospital admissions to hospital, improving the flow of patient from community to acute and back to community and avoiding unnecessary delays in discharges back to the care homes. There are 54 care homes in Berkshire West that have engaged with the Care Home Services. The project is showing encouraging signs of success and proposes to build on the work already undertaken to reduce NEL admissions from care homes and the supporting pathway to ensure residents of care homes in Berkshire West are able to remain in their place of residence as far as is reasonably practicable and appropriate. Over the last 6 months (M6 to M11) we have demonstrated a 5% reduction in NELs when compared to M6-M11 in 2016/16.</p> <p>Getting Home Project – In 2016/17 Local Authorities and CCG's in Berkshire West agreed a local action plan to reduce DTOC, which included 8 high impact actions. This project focuses on implementation of three of the high impact changes for DToc's – Multi-agency discharge team, discharge to assess and trusted assessment. Some improvements have been achieved in 2016-17 but this project will carry forward into 2017-18</p> <p>Mental Health Street Triage – Through the provision of a street triage service operating 7 days per week, 5pm – 1am this service will ensure that a Mental Health Professional is available to provide on the spot advice/support to police officers dealing with possible mental health problems. This will lead to people receiving</p>
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the appropriate care more quickly, reduce avoidable use of Section 136 and non-elective hospital admissions.

Workforce – This project was derived as a key enabler from the work to develop the Frail Elderly Pathway to support the BW10 ambitions to transform the workforce to meet current and future challenges faced by health and social care providers. The project will be aligned with STP workforce aspirations.

Locally we have seen a slowing of non-elective growth in 2016/17 but an increase in delayed transfers of care.

Newbury & District CCG is the 2nd best performer in the Country for non-elective admissions and we have carried out some detailed analysis of our Non-Elective admissions. A working group has been set up to look at how we can offer a more targeted approach to NEL's during 2017-18. We will also be creating a new project in 2017/18 on Integrated Care teams looking at more opportunities to work closer with primary care with MDT meetings to reduce non-elective admissions from both frequent flyers and patients that are in the top 5-10% cohort.

In 2016-17 the CCG's worked with Local Authorities in Berkshire West to develop a system wide "Delayed Transfers of Care Action Plan" which was signed off by all partner organisations across the health and social care system. The plan contained locality targets for a realistic but ambitious improvement in DToC performance which would deliver the 3.5% target in acute bedsw and an improvement of 5% in performance in community beds. The Urgent Care Programme Board, now A&E Delivery Group and Health and Wellbeing Boards took oversight of delivery of the plan. The key deliverables withing the plan were: -

- Coding review – a new local coding set for DToC's which align to the national codes is now in use and LA's meet with BHFT on a weekly basis to agree and sign off the DToC reporting.
- Improvements to the Continuing Health Care (CHC processes)
- Choice Policy: Berkshire West adopted the new national framework and the new Choice Policy was signed off by the Urgent Care Programme Board in September 2016.
- Getting Home Project – this project focuses on implementation of three of the high impact changes for DToC's – Multi-agency discharge team, discharge to assess and trusted assessment. Some improvements have been achieved in 2016-17 but this project will carry forward into 2017-18.

A decision was taken in-year to support RBFT in letting a short term contract to CHS, a company providing specialist support to self funders and complex discharges. This contract commenced on 8th January 2017 and the impact and learning will be closely monitored by the Integration board. West Berkshire has introduced

weekly scrutiny meetings to review all patients regardless of length of stay in hospital – early indications are that delays are improving as a result of this.

Despite this progress BCF targets in 2016/17 were missed and further improvement is required. It should, however, be noted that an issue with reporting of delays in mental health beds that was corrected in-year meant that the targets were set artificially low as these delays were not in the baseline. In 2017/18 we will work with our Health Partners to fully understand the reasons for delay, look at how these delays are reported and coded and work with them to reduce what can sometimes be lengthy delays.

Our key focus in the 2017/19 BCF will be to improve our DTOC performance. We will continue with the Joint Care Pathway for all hospital discharges and locally we redirected BCF monies from the Patient Recovery Guide project to create some additional capacity in the market with 120 hours of community care and 3 step-down beds starting in February 2016 – this project will also run into the start of 2017/18. In addition we will be investing in 7-8 step-down beds in a West Berkshire Care Home from 1st June 2017 with money from the BCF plan in 2017/18 and the use of contingency funding from 2016/17 to facilitate hospital discharge and help improve our DTOC performance.

There is now a significantly heightened financial challenge within all organisations within our economy. Our plans to address this going forward include a move to an Accountable Care System (ACS). The Berkshire West Accountable Care system is a complete transformation of how 3 NHS trusts and four CCG's within Berkshire will work and transact with each other. By moving away from a system of contractual transactions and closer to an allocative distribution of monies coming into the local health economy, the ACS seeks to move to a system whereby resources are allocated to the efficient delivery of pathways at cost rather than price. By moving to this new contractual relationship, providers and commissioners will need to share the risk of delivering services across the geography within an overall cost allocation rather than individual organisations being required to protect their own financial positions. Further details can be found within the Berkshire West CCG's Operating Plan submission (December 2016) and the STP.

West Berkshire Council, like manage across the Country faces challenges in delivering its priorities against National Government settlements. The key areas of demand for adult social care in West Berkshire are amongst those over 75 and those with dementia, both of whom have a longer than average length of stay due to waiting for community based services. As described above, the number of patients on the “fit to go” list continues to increase due to the increasing demand for nursing care, residential care and community reablement, and the lack of supply. This lack of supply is felt most acutely in the rural areas of West Berkshire where the distances involved in getting to and from client's in the very sparsely populated communities is prohibitive for providers.

As outlined in our BCF in 2016/17 we have been able to target specific BCF schemes at different cohorts of the

population. In line with what is known nationally within health, 5% of our population will cost us 50% of our spend. This cohort generally will include the elderly with multiple complex conditions who have frequent requirement for hospitalisation and utilisation of health and social care resources. During 2016/17 we have progressed our work around the frail elderly pathway (outside of the BCF but within the integration portfolio at BW10 level. This has allowed us to identify those costing us the highest amount of resources in the system).

In 20217-19 ???

During 15/16 we have seen this borne out in analysing our rise in non-elective admissions It was found that although the over 65s did not constitute the largest number of non-electives by age group; they did consume the highest level of cost for their non-elective admissions. During 15/16, the *over 65s were found to account for 38% of the non-elective activity but 53% of the total cost.*

Many of our schemes, as well as the wider integration programme aim to specifically target this section of the population. For example, during 15/16 and continuing into 16/17 we rolled out the ACG risk stratification tool to all GP Practices. We are not sure how many of our GP Practices are actively utilising this tool but in 2017-19 we are planning for the BCF Lead to have access and training with this tool to allow analysis and sharing of information. This information will assist our Integrated Care team Project and support successful Multi-disciplinary Team Meetings along with the local knowledge from within the GP Practices to identify segments of the population who have the highest risk of an unplanned admissions and allows us to actively roll out a programme of joint health and social care assessment and care planning. Our Integrated Care Team Project will look to build on this over the next 2 years.

Also in West Berkshire we share with our Berkshire West 10 colleagues an understanding that integrated care delivers the best outcomes for our patients and service users. We believe(supported by evidence) that working in collaboratively, is the most effective way for us to ensure that we are providing person centred, personalised, co-ordinated care in the most appropriate setting. As a partnership of ten organisations, with a full range of services across the health and social care sector, we can deliver end to end integrated care for our population, radically reducing the number of assessments and transactions individuals are subjected to and improving their experience of care.

There is a significant financial challenge facing West Berkshire with increasing demand for high quality services but a constrained and challenging financial position in the local health and social care economy. We have a strong foundation in our shared vision and our track record, but we know that we need to increase momentum to

tackle the system pressures and demographic challenges described above.

We simply do not have the resources to meet the expected increases in demand over the next few years if we continue to provide services in the same ways as we do now. Unless we find better ways of supporting people who are frail or living with long term health conditions, costs will increase exponentially. This will include the cost of care home placements, A&E attendances, and emergency admissions to hospital, readmissions, and ambulance conveyance costs. Co-ordinated community based care is what people are asking for and what we know works. Indeed it is the only way to build a sustainable future.

Combining best practice examples, a sound evidence base, alongside local knowledge, analytics and intelligence, we have been able to identify potential new models that will meet the needs of our population and address the key challenges we face over the coming years. Using a variety of risk stratification tools and methodologies, we have identified the cohorts of individuals that are most likely to benefit and the models of care most suited to meet the challenge in the most effective way. The key target populations are generally older adults and people with long term conditions.

Risk Stratification Methodology:

Dividing the population into groups of people with similar needs is an important first step to achieving better outcomes through integrated care. A one size fits all approach is inadequate and different sets of people have different needs. Grouping has helped us create models that are based on similar, holistic, individually-focused needs, and will also help us think about the health- and social-care system in a more holistic way.

By making these groupings explicit, we are able to provide a more logical way of informing the new models of care that are likely to be needed, identifying the outcomes we plan to achieve and by which we will measure our success, as well as allowing us to create payment models to incentivise providers to achieve these outcomes.

Risk Stratifying our High Risk of an Emergency Admission Population

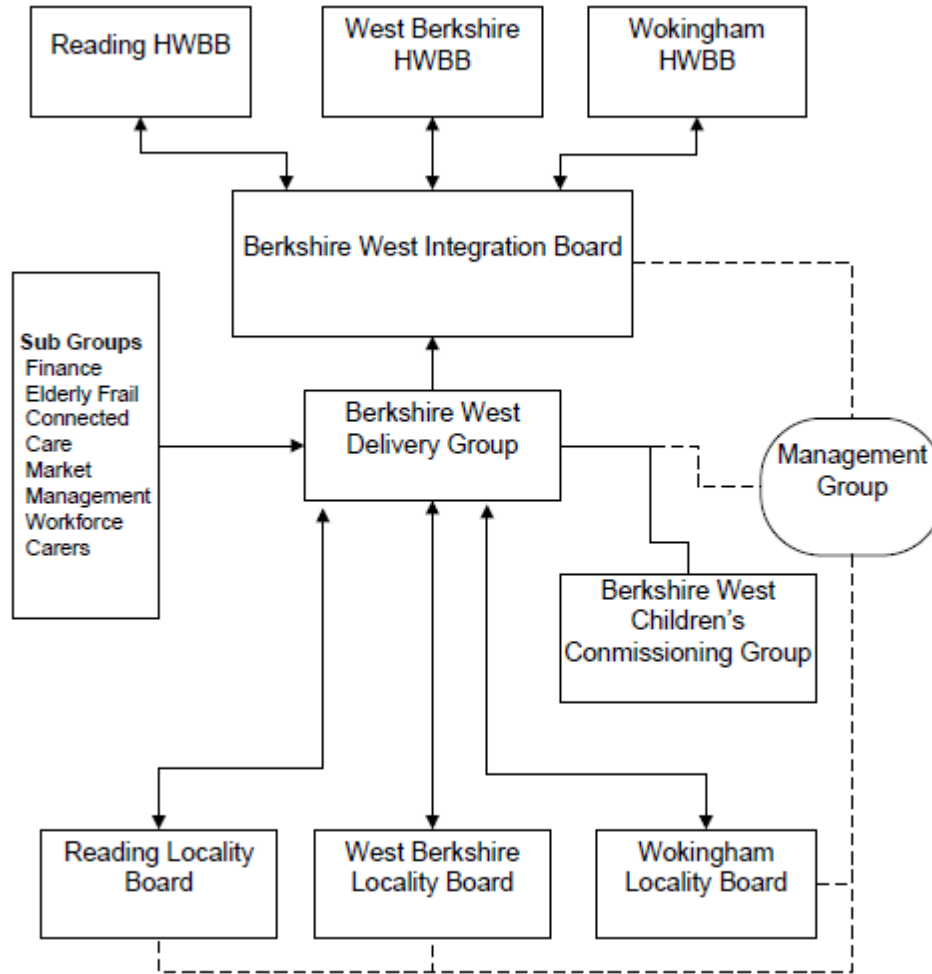
In 2009, nine of the then PCTs in South Central decided to collaboratively procure a risk stratification tool which would support case finding for community health staff as well as supporting other programmes for patients with long term conditions. The Adjusted Clinical Groups (ACG) tool was implemented into all 54 GP practices within the Berkshire West PCT, including the 14 GP practices in North and West (3) and South Reading (11) CCGs. This tool has allowed us, in collaboration with our Berkshire Community Health Service, to have a richer source



	<p>of information about the health needs of the local practice population and to be able to support a reduction in emergency admissions.</p>
<p>Please provide a description of the specifics of the overarching governance and accountability structures in place locally to support integrated care, including:</p> <ul style="list-style-type: none"> • A description of the specifics of the management and oversight in place to support the delivery of the BCF plan? • An articulation of the arrangements in place to support joint working? • Key milestones associated with the delivery of the plan of action in 2016-17? • A fully populated and comprehensive risk log, with evidence that it has been developed in partnership with all stakeholders and a description of how risks will be managed operationally including: <ul style="list-style-type: none"> • A quantified pooled 	<p>The West Berkshire Health and Wellbeing Board will have strategic oversight and governance for the West Berkshire Better Care Fund and related arrangements. Membership of this Board includes two voluntary sector representatives, as well as West Berkshire Healthwatch, together with Newbury & District CCG, North West Reading CCG and West Berkshire Council. This Board meets regularly and will receive reports on progress, outcomes and exceptions on performance and risks. This board will ensure appropriate monitoring of progress against national and local performance in the BCF, and regular updating of the risk register associated with such performance.</p> <p>Because the local health and social care economy works across our Berkshire West boundaries many of the schemes within the plan are part of a wider Integration Programme, as outlined below:</p>

funding amount that is 'at risk'

- Demonstration that this has been calculated using clear analytics and modelling
- An articulation of any other risks associated with not meeting BCF targets in 2016-17
- An articulation of the risk sharing arrangements in place across the health and care system, and how these are reflected in contracting and payment arrangements





There are monthly Berkshire West Delivery Group meetings with representatives from each of the partner organisations in attendance. For projects that span all three unitary authorities in Berkshire West (Reading Borough Council and Wokingham Borough Council as well as West Berkshire Council), accountability is held with the Berkshire West Integration Board. All projects that span the three localities are required to submit a monthly highlight report, which includes milestone and financial status, key achievements, next steps, issues and risks.

West Berkshire's Health and Wellbeing Board has strategic oversight of our plans to develop more integrated services within the district. The Health and Wellbeing Board has already overseen the production of the latest Joint Strategic Needs Assessment for West Berkshire, and led the development of a Health and Wellbeing Strategy and Delivery Plan. The Board is therefore well placed to ensure West Berkshire's integration plans draw on local evidence of need and health inequalities.

The Programme Office across Berkshire West ensures there is sufficient project management capacity to deliver both the local and wider enabling schemes identified within this submission. The next section describes the management and oversight which monitors project delivery to ensure our identified schemes remain on track.

Within the Programme Management Methodology being used to implement the BCF the Health and Wellbeing Board act as the Programme Board and the West Berkshire Health and Wellbeing Steering Group as project board.

Every project is sponsored by one or more senior managers and a clinician from across the health and social care economy. There are implementation teams for each of the named projects with assigned Project Managers

We are utilising the Office of Government Commerce (OGC) best practice framework "Managing Successful Programmes" to manage the overarching programme and the Prince 2 Project Management Methodology for management of the individual projects within it.

Project Managers will report to the Projects Board at regular intervals. Terms of reference exist for all groups and specific responsibilities have been documented for named roles, e.g. Programme Manager

Governance Strategies for the Programme have been formulated and documented to ensure consistency across

the projects and encompass the following:

- Benefits management
- Information management;
- Risk management;
- Issue resolution;
- Monitoring and control
- Quality management;
- Programme
- resource management;
- Stakeholder engagement/consultation/communication

For example project issues or risks which have been identified and logged at the project level but cannot be resolved/managed there, will be escalated to the Health and Wellbeing Steering Group through regular Highlight Reports and if they cannot be resolved/managed there, they will be escalated to the Delivery Group and so on. Programme risks will be regularly reviewed by the Steering Group and an action plan put in place for any risks that remain red following mitigation.

From 2017-19 , within West Berkshire's locality any existing projects or projects that are deemed business as usual have a PID on a page, which summaries the objectives, benefits etc. A full project PID is required to be submitted to the locality integration board for any new projects. These full PIDs are also presented to the Finance sub-group who under the new Chair are currently developing a value for money model, which will be used for any future projects.

Risk Register

A risk register is kept for each project and project managers are required to review on a regular basis and escalate unmanageable risks up through the governance structure.

Risk Share Agreement

By its nature a pooled budget provides an appropriate vehicle for sharing risk between the associated parties.

The arrangements for risk share, overspends and underspends in the BCF are set out in Schedule 3 of the Locality S75 Agreement.

S75 Agreement

- 2.1 The risk share fund in the BCF comprises the value of the aggregate reduction in non-elective admissions expected to be achieved in the year from the successful implementation of the specified schemes.
- 2.2 At the commencement of the agreement the value of the risk share fund is withheld by the CCG from its BCF allocation.
- 2.3 Where admission avoidance schemes are successful and the planned levels of activity are achieved and, as such, value is delivered to the NHS in that way, then the risk share funding may be released to be spent as agreed by the partners. Any payments made from the risk share fund will be on a quarterly basis, in arrears, which are equivalent to the value of the savings made, up to the maximum risk share fund.
- 2.4 Any amount released from the risk share fund cannot exceed the amount set aside for the schemes listed in the Locality S75 Agreement.
- 2.5 Where the anticipated savings benefits are not achieved, any unreleased funds are retained by the CCG to cover the cost of additional non-elective activity.
- 3. Pooled Fund Manager
 - 3.1 The Pooled Fund Manager will at all times be responsible for managing schemes within the budget available, including any amounts which may have been released from the risk share.
 - 3.2 The Pooled Fund Manager will be responsible for setting out a phased budget for both costs and benefits for schemes at the commencement of the financial year and for reporting actual costs and benefits year-to-date with a forecast for the full year on a monthly basis.
 - 3.3 Overspends which cannot be otherwise mitigated, shall be met in the first instance from the respective scheme's Pooled Fund Contingency. Should this be insufficient, then any residual overspend shall be met by the Pooled Fund holder for the respective scheme.

	<p>3.4 In the event that expenditure from any Pooled Fund in any financial year is less than the aggregate value of the financial contributions made for that financial year, the surplus monies will be returned to the Partner contributing to the Pool unless alternative arrangements are agreed by the Partners.</p> <p>3.5 Reputational risk will be managed through an aligned communications and engagement plan.</p> <p>4. Risk Management Framework & Governance Arrangements</p> <p>4.1 A comprehensive risk register will be in place to manage or mitigate known and emerging risks associated with the development and implementation of the Better Care Fund Plan.</p> <p>4.2 Resources to support the development and maintenance of the risk register will be identified by the parties.</p> <p>4.3 The Risk Log will be reviewed by groups that are responsible for the individual identified risks – e.g. the finance risks will be reviewed on a monthly basis by the finance group who will update the Risk log for the Programme and provide these updates to the Programme manager for inclusion into the Master Risk Log. The Programme Manager has overall responsibility for ensuring the Risk Log is updated regularly and reported to the Integration Board. Significant risks will be escalated to the Partnership Board and the Health and Well Being Board and up to the key decision making bodies in both organisations as appropriate</p> <p>4.4 The Risk Log will also be reviewed in both health and social care individual governance frameworks.</p> <p>5. Accounting Arrangements</p> <p>5.1 In determining the pooled budget arrangements the following factors have been considered</p> <ul style="list-style-type: none"> (a) Whether the funds are being transferred or not from health to social care (b) Who is commissioning the service associated with the budget (c) Which organisation is providing the resources to run/manage the service (d) Who are parties to any associated contracts (e) Which organisation bears the risk of any overspend
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	<p>(f) Where any cost savings benefit arise</p> <p>(g) Which staff are involved</p> <p>5.2 The appropriate accounting standards of each organisation will apply in relation to any joint arrangements that are put in place.</p> <p>5.3 Each of the CCGs and the Local Authority will recognise its share of the pooled budget in its individual accounts and memorandum accounts will be maintained.</p>
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Section 3 - National Conditions

<p>Plans Jointly Agreed</p> <p>Does the BCF Plan cover a minimum of the pooled Fund specified in the Spending Review, and potentially extending to the totality of the health and care spend in the HWB area, and is it signed off by the HWB itself, and by the constituent Councils and CCGs?</p> <p>Explain how, in agreeing the plan, have you engaged with health and social care providers likely to be affected by the use of the Fund in order to achieve the best outcomes for local people. Please illustrate:</p> <ul style="list-style-type: none"> • There is joint agreement across commissioners and providers as to how the BCF will contribute to a longer term strategic plan • This includes an assessment of future capacity and workforce requirements across the system • The implications for local providers have been set out clearly for HWBs so that their agreement for the deployment of the Fund includes recognition of the service change consequences? <p>As the Disabled Facilities Grant (DFG) will again be allocated through the BCF, please confirm that local housing authority representatives have been involved in developing and agreeing the plan, in order to ensure a joined-up approach to improving outcomes across health, social care and housing.</p>	<p>Our Better Care Fund projects have been developed and rolled out over a series of meetings and the West Berkshire Locality Integration Board involving Acute Trust, community health providers, social care, primary care and Voluntary Sector.</p> <p>These meetings have acted as a local catalyst to co-develop new programmes drawing on provider views about local pressures and opportunities to work differently to achieve better outcomes.</p> <p>Going forward with our BCF plan for the next 2 years, we expect that the Berkshire Healthcare Foundation Trust, the Royal Berkshire Hospitals Trust, Local GP's, Adult Social Care, Public Health and Healthwatch to continue to be part of the integration implementation plans.</p> <p>In addition we have held a number of public engagement events to let the public know about our achievements and plans over the next 2 years.</p>
<p>Maintaining the Provision of Social Care</p> <p>Please specify the total amount from the Better Care Fund that has been allocated for supporting of adult social care services and confirm:</p>	<p>As set out in the BCF planning submission, contribution to Adult Social Care in 2017/18 has been increased from ? to ? and from ? to ? in 2018/19. This represents a real terms increase on 2016/17 and fulfils the requirement of this</p>



<ul style="list-style-type: none"> • That at least the local proportion of the £138m for the implementation of the new Care Act duties has been identified • The amount of funding that will be dedicated to carer-specific support from within the BCF pool? <p>Please describe how the local adult social care services will continue to be supported in a manner consistent with 2015-16. Has this support been agreed locally and, as a minimum, does the funding and services maintain in real terms the level of protection as provided through the mandated minimum element of local BCF agreements of 2015-16?</p> <p>In setting the level of protection for social care in your local area, please describe how you have ensured that any change does not destabilise the local social and health care system as a whole?</p> <p>Please include a comparison to the approach and figures set out in 2015-16 plans and confirm this approach is consistent with the 2012 Department of Health guidance to NHS England on the funding transfer from the NHS to social care in 2013-14.</p>	<p>national condition.</p> <p>This real terms increase should help ensure some stability for Adult Social Care. However, it should be remembered that the overall gross commissioning budgets for Adult Social Care are ?.</p>
<p>Agreement to invest in NHS out of hospital commissioned services</p> <p>Please detail your agreed plan for using your share of the £1 billion that had previously been used to create the payment for performance element of the fund, in line with the national condition guidance, linking back to the summary and expenditure plan tabs of your BCF planning return template.</p> <p>Please describe if you have considered whether a local risk sharing arrangement is required, supported by analysis of the likely risk of unplanned activity in the area based on their track record of performance. Please make reference to the consideration of the long term trend in admissions, and the success of schemes implemented to date. If a risk sharing arrangement has been agreed please explain how the decision was arrived at, and illustrate the conditions are appropriate and consistent with guidance.</p>	<p>Our out of hospital vision is underpinned by the development of our Accountable Care System and more operationally for 17/18 through the work of the CCG’s Long Term Conditions Programme Board, the Better Care Fund and the Frail Elderly Pathway Programme.</p> <p>Our aim is to work collaboratively across health and social care and the voluntary sector to provide quality care for patients; minimising the risk of an individual’s health deteriorating and requiring increased service intervention and maximising the opportunities for patient self-management. Within this programme of work are a number of key work streams, supported in many cases by the Strategic Clinical network and Academic Health science network</p>



South of England

For NHS commissioned out-of-hospital services, and services that were previously paid for from funding made available as a result of achieving your non-elective ambition, please confirm if these continue in a manner consistent with 15-16 and provide evidence to support any changes to service provision from 15-16 plan.

to help drive transitional change.

Our investment in the Connected Care, Care Homes Project

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Children & Family Services: Adopt Thames Valley - The Development of a Regional Adoption Agency

Committee considering report:	Executive on 4 May 2017
Portfolio Member:	Councillor Lynne Doherty
Date Portfolio Member agreed report:	25 April 2017
Report Author:	Mac Heath
Forward Plan Ref:	EX3285

1. Purpose of the Report

To approve plans for West Berkshire Council to join and progress developments as a Regional Adoption Agency as a shared service hosted by Oxfordshire County Council with a wider base group of partner authorities. This report provides an overview of plans to set up a Regional Adoption Agency (RAA) across the Thames Valley region. It sets out the legislative framework, potential benefits for children and families and describes the planned timetable for setting up the RAA.

2. Recommendations

To ensure Members are fully aware of the commitment to developing Adopt Thames Valley as a shared partnership to develop a new Regional Adoption Agency (RAA) and seek agreement to progress.

3. Implications:

- 3.1 **Financial:** The service specification, team structure and funding mechanism for the new service are being developed at present, ensuring that the service is delivered next year within the set allocated budget for 2017/18. Work is also underway in each of the participating local authorities to obtain political agreement to setting up Adopt Thames Valley with the view to launch the new partnership in November 2017. It is planned to develop and agree a formula that will benefit from better value through economies of scale in the recruitment and assessment process for adopters' with an improved potential through placing children with adopters' in a more timely way.
- 3.2 **Policy:** N/A
- 3.3 **Personnel:** It is likely that a role that currently sits within Children and Family Services for adoption support may be transferred within the new arrangement alongside current discussions. This is currently approximately 0.4 FTE Social Worker post.
- 3.4 **Legal:** Legal discussions are currently taking place across the involved authorities to ensure the full and clear arrangements for the partnership are in place.

3.5 **Risk Management:** The project is not without risks. Whilst the larger scale presents opportunities for more efficient and effective adoption services there will also be challenges created by working across a wider geographic area with a diverse group of local authorities. These risks are being managed through robust project management and a strong governance structure overseeing the development of the new service.

3.6 **Property:** N/A

3.7 **Other:** N/A

4. **Appendices**

Appendix A (1) – Supporting Information

Children and Family Services: Adopt Thames Valley – The Development of a Regional Adoption Agency Supporting Information

1. INTRODUCTION

This report provides an overview of plans to set up a Regional Adoption Agency (RAA) across the Thames Valley region. It sets out the legislative framework, potential benefits for children and families and describes the planned timetable for setting up the RAA.

2 SUPPORTING INFORMATION

2.1 In June 2015 the Government published a paper titled Regionalising Adoption, it set out provision for the creation of Regional Adoption Agencies. An RAA is a service delivering adoption services across multiple local authority area. The RAA guidance specifically refers to recruiting, matching and supporting of adopters. RAAs will also include voluntary adoption agencies as partners. There is no definitive expectation on the type of organisation that will deliver the RAA functions, but guidance referred to four potential models, they are:

- Local authority shared service
- Local authority owned company
- Joint venture between local authorities and voluntary adoption agencies
- Commissioned service (outsourced to a VAA)

2.2 The Government have stated that they expect every local authority to be part of an RAA or to have delegated their adoption functions to an RAA by 2020. They have also said that they will use the powers of the Education and Adoption Act 2016 to require authorities to do this from 2017 if insufficient progress is being made towards this aim.

2.3 There are many good reasons for joining an RAA beyond the threat of compulsion that has been set out by government. It also seems likely that local authorities who are involved in the setting up and design of RAAs will potentially have more influence and control over the destiny of their adoption services than those who choose to leave it until later.

3 DEVELOPING ADOPT THAMES VALLEY

3.1 Adopt Thames Valley (ATV) is being developed with the support of the Department for Education (DfE). They have granted funding to assist the partner organisations to work together to develop a new service that delivers both better outcomes for children and adopters whilst also reducing costs for the local authorities participating.

3.2 The plan is to develop ATV as a shared service partnership between seven local authorities (Bracknell Forest, Oxfordshire, West Berkshire, Windsor and

Maidenhead, Wokingham, Swindon and Reading) along with two Voluntary Adoption Agencies (PACT and Barnardos). The local authorities and voluntary adoption agencies are working to develop the new service; it will provide adoption services across the geographical area of the participating local authorities. Following the completion of a recent due diligence process it has been agreed that Oxfordshire will be the host authority for Adopt Thames Valley.

- 3.3 Adopt Thames Valley is building on work carried out by four of the participating local authorities (Bracknell Forest, West Berkshire, Windsor and Maidenhead and Wokingham). In December 2014 Adopt Berkshire was set up, this is a shared service hosted by Windsor and Maidenhead delivering adoption services on behalf of all four authorities. This has been successful in promoting positive outcomes for children, external validation (Wokingham received a 'Good' judgement for adoption from Ofsted in 2015) and has delivered savings. Adopt Berkshire is a good demonstration that the concept of shared and joined up adoption services works. The DfE have cited Adopt Berkshire as an example of good practice, but also indicated that it is too small to constitute an RAA.
- 3.4 The service specification, team structure and funding mechanism for the new service are being developed at present. Work is also underway in each of the local authorities to obtain political agreement to setting up Adopt Thames Valley, it is anticipated that this will be undertaken to launch Adopt Thames Valley in December 2017.

4 PROPOSED SPECIFICATION FOR ADOPT THAMES VALLEY

- 4.1 The Service Specification for Adopt Thames Valley has been agreed by all partners. It will build on the success of the organisations that have come together to create it to be even more efficient and effective. It will focus improvements on:

- **High quality matches for children and adopters**
- **Using the large geographical area to recruit more adopters who match the needs of children in the ATV area**
- **High quality adoption support at every stage of the adoption journey**

All activity in the RAA will ensure compliance with requirements set by legislation, regulation, national minimum standards and local procedures. The RAA will operate under an agreed performance management framework and will be subject to inspection and periodic audit (self-audit, peer review etc).

Services in scope of Adopt Thames Valley are as follows:

- Recruitment and assessment of adopters
- Family Finding, Matching & Early Placement Support, including linking with social work teams
- Post Adoption Activity, including letterbox and birth relative support
- Adoption Processes, including adoption panels, adoption advisors and medical advisors
- Financial Activity and Performance Management, including adoption data collection for Ofsted/ALB and administering the Adoption Support Fund

- Adoption and Special Guardianship (SGO) Support, including case work support, buddying or mentoring, access to support groups and other practical support, therapeutic support and birth relative support.

4.2 Budget

Extensive work has taken place to map and understand existing spend. The objectives of this work have been to: i) develop a prudent and robust budget that will enable ATV to deliver adoption services to a good standard, and ii) to identify the fairest, most reasonable and transparent basis for agreeing the contribution required from each of our local authority partners.

In preparing the budget we have held a workshop attended by all local authorities' service managers and accountants to agree the principles of the budget and funding contributions. We have analysed levels of demand and activity, designed a staffing structure linked to projected levels of activity (staffing is the largest area of spend in the budget). We have also modelled various options for how funding contributions could be shared across all local authorities, before agreeing on the proposed mechanism.

4.3 Cost Share Mechanism

All local authority partners have agreed that the local authority funding contributions to the RAA should be based on a rolling 3-year average of adoption placements. This mechanism was deemed to be the fairest measure to directly link cost to activity, it also smoothes budget fluctuations by using a rolling average.

In budget terms, the Adoption and SGO support services are being treated differently to the rest of the RAA service. It was agreed that for the first year of operation, existing adoption support budgets will remain as they currently are, and each authority will draw down the level of service they contribute (i.e. if an authority supplies 1.5 FTE social worker staff for adoption support, they will be deployed to provide adoption/SGO support in that area). In the first year of operation, Adoption and SGO Support will be reviewed and costed, based on evidence informed practice and agreed outcomes. As part of this review, a separate cost share mechanism may be required for adoption support based on a different measure of activity. This may result in changes to the required contribution for this area of work in future years, but forms part of a separate process to be approved by the Adopt Thames Valley Board.

The table below shows the adoption placement data used to drive the funding contributions of all authorities from go live until 31 March 2019, when the formula will be updated with the next data set:

Placements Data	2014/15	2015/16	2016/17	3 Year Average	Cost Share %
Oxfordshire	48	39	47	45	46.9%
Reading	23	12	13	16	16.8%
Bracknell	8	9	3	7	7.0%
Swindon	6	7	23	12	12.6%
RBWM	9	2	3	5	4.9%
Wokingham	3	1	6	3	3.5%
West Berks	6	13	5	8	8.4%
Total	103	83	100	95	100.0%

Budget shares are calculated on the basis of the percentage share of the overall number of placements, so with the current 3yr average this would look as follows:

3 Year Average	Adoption Cost Share	Adoption Support - Fixed Share Initially	Total
Oxfordshire	1,201,116	321,378	1,522,494
Reading	430,250	106,990	537,240
Bracknell	179,271	60,620	239,891
Swindon	322,688	88,263	410,951
RBWM	125,490	73,470	198,960
Wokingham	89,636	98,860	188,496
West Berkshire	215,125	40,890	256,015
Total	2,563,576	790,471	3,354,047

4.4 Transitional budget arrangements

When using the 3yr average of placements to assess each local authorities' share of the RAA budget, it identified some significant changes (both increases and decreases) when compared to current budgets. There are a multitude of reasons for this, and such differences are not unusual for this kind of service.

In order to smooth the transition for all local authorities into this new RAA budget, it was recommended that for the first 12mths (from go live, Nov 2017) local authorities would contribute their current budget (less the target 5.6% saving).

This was a pragmatic and strong partnership approach which the Board recommended in order to ensure all partners could agree to the budget and joining the RAA. It avoids any authority having any major unplanned changes within the remainder of the current year budget (i.e. between Nov 17 – Mar 18), and it smoothes the transition into next year's budget (18/19).

The funding formula for the RAA (i.e. 3yr rolling average of placements) has been approved, but the recommendation regarding the transitional budget arrangement is going through all Local Authorities decision making processes. The purpose of this report is therefore to request delegated approval on this matter is given to the Director of Children's Services in conjunction with Lead Member.

In reality, the year 2 (2019/20) budget estimate is indicative, because budget shares will be re-calculated on the latest 3 year average placement data (adding in 2017/18), which is unknown at this stage. Activity for each authority could be higher or lower than the last 3yr average, and accordingly the budget share could go up or down.

It is important to note that if placements, and therefore budget shares, increase, this should be deemed as a positive. This is a positive outcome in terms of family finding solutions for children and adopters, but also a positive outcome financially because an adoptive placement means significant cost avoidance in Looked After Children budgets.

4.5 Saving target

The RAA budget for adoption services (excluding adoption support which remains the same for year one) represents an overall reduction of 5.6% compared to the current budgets reported by each authority. This is the saving target we are seeking to achieve through economies of scale by establishing the RAA. This is in addition to the less tangible savings which authorities will also make from overhead budgets which do not transfer.

4.6 Payments

Authorities would be invoiced quarterly against the budgeted contributions for the year in advance. A final invoice for the year in the case of an overspend will be issued in early March based on the most recent monitoring position. Any under spend or additional overspend would be carried forward to the new financial year.

4.7 Variances to Budget

Any variances to the budget will be shared amongst the members of ATV on the basis of the relevant cost sharing mechanism.

4.8 Budget Setting

The current proposal is that a draft budget for ATV will be set by the end of July before the year it will apply to (e.g. July 2017 for 1 April 2018). This would take in to account known or expected changes at this time (e.g. pay inflation) and new data sets for the cost mechanism. This will then allow each authority to identify any material changes to their budgets at an early stage. The final budget would be agreed by the board by the end of September to allow all authorities to make changes to their budgets, if required, as part of their annual budget setting processes.

4.9 Governance Structure

Oxfordshire County Council is not providing a service to the other authorities in the way that a paid contractor would. Nonetheless, the host authority is responsible for delivery of these important functions and therefore needs to be accountable to its partners (who retain the statutory duty to deliver these functions).

Furthermore, all participating authorities will need to deliver their social care functions in a way that supports Adopt Thames Valley in its work. The arrangement therefore needs to be captured in a suitable legal agreement setting out the scope of functions to be delivered by Adopt Thames Valley, what is expected of the participants, its aspirations for performance and its duration.

The interim Adopt Thames Valley Board (comprising membership from all local authorities and voluntary adoption agencies) agreed a two-tier Board structure as follows:

- **A Management Board**, with membership comprising Deputy Directors and Senior Voluntary Adoption Agency officers. This Board would approve major operational and strategic decisions (e.g. changes to service specification and setting budget). The Management Board would meet monthly at the beginning, then moving to quarterly once well established.
- **An Oversight Board**, with membership comprising Directors of Children's Services (DSC) and Lead Members from all authorities. This Board would receive reports and have oversight of performance. The Oversight Board would meet twice a year at the beginning, with frequency to be reviewed.
- **All Operational**, day to day decisions will reside with Oxfordshire County Council as the host authority for the shared service.

A full legal agreement is being drawn up based on a shared service arrangement, which all partners will sign up to.

4.10 Equalities Implications

It is not envisaged that the changes proposed will impact upon any protected groups. Access and eligibility for adoption services would not be changed by joining the RAA.

5 IMPLICATIONS FOR WEST BERKSHIRE CHILDREN AND RESIDENTS

- 5.1 Adoption is a small, but critical element of our Children's Services. For Looked After children who are unable to return home to their birth family or other relatives, adoption provides permanence and security. At the end of February 2017 West Berkshire had 156 Looked After Children. Since 2012/13, we have increased our number of adoptions; adoption has become more of a permanency option with eleven adoption orders granted in 2015/16. The changes described in this report will also affect people wishing to adopt who live in our area.
- 5.2 The creation of Adopt Thames Valley will not remove our Corporate Parenting responsibilities for children who need adoption. West Berkshire local authority will continue to ensure appropriate adoption plans are agreed for West Berkshire children through the scrutiny of Agency Decision Maker (ADM). The ADM role is fulfilled by Head of Children and Family Services and West Berkshire will take an active role in the governance and performance management of Adopt Thames Valley when it starts to deliver services.

6 RECOMMENDATION

- 6.1 West Berkshire stopped directly providing most adoption services in December 2014 when Adopt Berkshire was set up. The creation of Adopt Thames Valley represents a logical development that will enable adoption services to be even more effective and efficient and it is recommended that delegated approval for the transitional arrangements is given to the Director of Children's Services in conjunction with the Lead Member.

Subject to Call-In:

Yes: No:

- The item is due to be referred to Council for final approval
- Delays in implementation could have serious financial implications for the Council
- Delays in implementation could compromise the Council's position
- Considered or reviewed by Overview and Scrutiny Management Commission or associated Task Groups within preceding six months
- Item is Urgent Key Decision
- Report is to note only

Strategic Aims and Priorities Supported:

The proposals will help achieve the following Council Strategy aim:

MEC – Become an even more effective Council

The proposals contained in this report will help to achieve the following Council Strategy priority:

MEC1 – Become an even more effective Council

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Draft Airports National Policy Statement

Committee considering report:	Executive on 4 May 2017
Portfolio Member:	Councillor Jeanette Clifford
Date Portfolio Member agreed report:	6 April 2017
Report Author:	Jenny Graham
Forward Plan Ref:	EX3280

1. Purpose of the Report

- 1.1 To outline to the Executive the purpose and contents of the Draft Airports National Policy Statement and to establish West Berkshire Council's response to the Government's current consultation.

2. Recommendation

- 2.1 To agree the proposed response to the Government's consultation on the Draft Airports National Policy Statement (NPS) which includes support for the Heathrow Northwest Runway Scheme.

3. Implications

- 3.1 **Financial:** Whilst there are no direct implications for West Berkshire Council's finances, there are significant implications for West Berkshire's economy and that of the wider Thames Valley region. The Heathrow Northwest Runway scheme is expected to generate up to 77,000 additional jobs in the local area by 2030, with Heathrow Airport also pledging to provide 5,000 additional apprenticeships by this time. It is estimated that by 2040, the Government's preferred option for expansion at Heathrow would see the region's annual GVA boosted by £3 billion as a result of the extra activity at Heathrow.
- 3.2 **Policy:** The Council does not have a specific policy relating to development at airports but this Draft Airports (NPS) and the Government's preferred option of airport expansion via the Heathrow Northwest Runway scheme supports the position established by the Council in 2014 in response to the Airports Commission Interim Report.
- 3.3 **Personnel:** n/a
- 3.4 **Legal:** n/a
- 3.5 **Risk Management:** There are limited risks for West Berkshire Council associated with the Government's Airports NPS consultation process. It is a public process, and it is open to anyone and everyone to respond. The responsibility for

a final decision on airport capacity expansion rests with the Government. Even if the Airports NPS confirms Heathrow and the Northwest Runway scheme as the preferred option, Heathrow Airport Limited will embark on a two year process to secure a Development Consent Order. This process itself is subject to public consultation and an Examination-in-Public.

3.6 **Property:** n/a

3.7 **Other:** n/a

4. **Other options considered**

4.1 The Council is not obliged to respond to this Government consultation. However, given the importance of Heathrow to the Thames Valley and West Berkshire economies it is considered appropriate for the Council to respond and continue to support the position initially expressed by the Executive in 2014 of support for the expansion of airport capacity in the south east to be focused at Heathrow.

Executive Summary

5. Introduction / Background

- The Government published its Draft Airports National Policy Statement (NPS) on 2nd February 2017. The Government is seeking views on the Airports NPS and has set a 16 week consultation period which ends on 25th May.
- The Airports NPS follows on from the work of the Airports Commission, Chaired by Sir Howard Davies, and will be the primary basis for making decisions on any development consent application for additional capacity at Heathrow.
- The Executive established its position in relation to the expansion of airport capacity in the south east at its meeting on 13.02.2014. It agreed to i) support growth in capacity being at Heathrow; ii) support measures to improve public transport access arrangements to Heathrow; and iii) seek appropriate mitigation measures for local communities.

6. Proposal

- The Draft Airports NPS reinforces the importance of aviation to the UK economy and sets out the need for new airport capacity in the south east.
- The Government is clear within the NPS that the preferred scheme is a new Northwest Runway at Heathrow and sets out the reasons why.
- The NPS (within section 5) describes what will be expected to be covered by any development consent application for the Northwest Runway at Heathrow. The assessment required, the mitigation expected and how decisions will be made on each of the following areas is included: surface access; air quality; noise; carbon emissions; biodiversity and ecological conservation; land use including open space, green infrastructure and Green Belt; resource and waste management; flood risk; water quality and resources; historic environment; landscape and visual impacts; land instability; dust, odour, artificial light, smoke and steam; community compensation, community engagement and skills.
- The Thames Valley Berkshire LEP is drafting a response to the consultation as Heathrow and the infrastructure that supports it is of significant importance to the region's economy and to the delivery of the LEP's Strategic Economic Plan.

7. Conclusion

- It is proposed that the Council responds to the consultation using the Government's consultation response form and that the following are highlighted within it: 1) That the Council supports the Government's preferred option for a Northwest Runway at Heathrow; 2) That the Council has contributed to the response made to the consultation by the TVB LEP and supports the LEP's response; 3) That the Council welcomes and supports the Government's objective for surface access to Heathrow; 4) That the Council welcomes and supports the emphasis on community compensation and also the public commitment from Heathrow Airport to a generous package in addition to the statutory requirements.

Background Papers:

Draft Airports National Policy Statement

Subject to Call-In:

Yes: No:

The item is due to be referred to Council for final approval

Delays in implementation could have serious financial implications for the Council

Delays in implementation could compromise the Council's position

Considered or reviewed by Overview and Scrutiny Management Commission or associated Task Groups within preceding six months

Item is Urgent Key Decision

Report is to note only

Strategic Aims and Priorities Supported:

The proposals will help achieve the following Council Strategy aim:

SLE – A stronger local economy

The proposals contained in this report will help to achieve the following Council Strategy priority:

SLE2 – Deliver or enable key infrastructure improvements in relation to roads, rail, flood prevention, regeneration and the digital economy

The proposals contained in this report will help to achieve the above Council Strategy aim and priority by supporting proposals that will have a positive impact on the District's economy and will deliver key national infrastructure improvements.

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8. Appendices

- 8.1 Appendix A – Supporting Information
- 8.2 Appendix B – Equalities Impact Assessment
- 8.3 Appendix C – Consultation Response Form



Department
for Transport

Draft Airports National Policy Statement: new runway capacity and infrastructure at airports in the South East of England

Presented to Parliament pursuant to Section 9(2) of the
Planning Act 2008

Moving Britain Ahead

February 2017

Draft Airports National Policy Statement: new runway capacity and infrastructure at airports in the South East of England

Presented to Parliament pursuant to Section 9(2) of
the Planning Act 2008

February 2017



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1. Introduction

Background

- 1.1** The UK aviation sector plays an important role in the modern economy, contributing around £20 billion per year¹ and directly supporting approximately 230,000 jobs.² The positive impacts of the aviation sector extend beyond its direct contribution to the economy by also enabling activity in other important sectors like business services, financial services, and the creative industries. The UK has the third largest aviation network in the world, and London's airports serve more routes than the airports of any other European city.
- 1.2** However, London and the South East are now facing longer term capacity problems. Heathrow Airport is operating at capacity today, Gatwick Airport is operating at capacity at peak times, and the whole London airports system is forecast to be full by 2040.³ There is still spare capacity elsewhere in the South East for point to point and especially low cost flights. However, with very limited capability at London's major airports, London is beginning to find that new routes to important long haul destinations are being set up elsewhere in Europe. This is having an adverse impact on the UK economy, and affecting the country's global competitiveness.⁴
- 1.3** In September 2012, the Coalition Government established the independent Airports Commission to examine the scale and timing of any requirement for additional capacity to maintain the UK's position as Europe's most important aviation hub, and identify and evaluate how any need for additional capacity should be met in the short, medium and long term.⁵
- 1.4** In its Interim Report in December 2013, the independent Airports Commission concluded that there was a need for one additional runway to be in operation in the South East of England by 2030.⁶ It also confirmed three shortlisted capacity schemes for further analysis: a Second Runway at Gatwick Airport (proposed by Gatwick Airport Ltd.), a Northwest Runway at Heathrow Airport (proposed by Heathrow Airport Ltd.), and an Extended Northern Runway at Heathrow Airport (proposed by Heathrow Hub Ltd.). The Airports Commission then consulted further on the three shortlisted schemes, plus proposals for a new airport in the inner Thames Estuary. In September 2014, the Airports Commission concluded not to consider further an inner Thames Estuary scheme.⁷
- 1.5** In its Final Report in July 2015, the Airports Commission unanimously concluded that the proposal for a Northwest Runway at Heathrow Airport, combined with a significant package of measures to address its environmental and community impacts, presented the strongest case and offered the greatest strategic and economic benefits.

¹ ONS, Input-Output Supply and Use tables, 2014

² ONS, Business Register and Employment Survey, 2014

³ <https://www.gov.uk/government/publications/airports-commission-final-report> *Airports Commission: Final Report*, p3

⁴ *Airports Commission: Final Report*, p3

⁵ [https://www.gov.uk/Government/organisations/airports-Airports Commission](https://www.gov.uk/Government/organisations/airports-Airports%20Commission)

⁶ <https://www.gov.uk/government/publications/airports-commission-interim-report>

⁷ <https://www.gov.uk/government/publications/inner-thames-estuary-airport-summary-and-decision>

- 1.6** On 14 December 2015, the Government accepted the Airports Commission’s recommendation for increased capacity in the South East of England, and its shortlisted scheme options. The Government also confirmed that it would begin work on the building blocks of an Airports National Policy Statement (‘Airports NPS’), and this is what happened.⁸
- 1.7** The Government believes that an NPS is the most appropriate method to put in place the planning framework for a new runway in the South East of England.⁹ All three shortlisted airport schemes would have been classed as nationally significant infrastructure projects under the Planning Act 2008, and the Government’s view is that an Airports NPS, and a development consent application made under the Planning Act 2008, is the most appropriate route to deliver the Government’s preferred scheme.
- 1.8** In its announcement on 14 December 2015, the Government made clear that it would be important to undertake further work regarding the final location of the preferred scheme. This included additional work on air quality, noise, carbon, and mitigating impacts on affected local communities.
- 1.9** On 25 October 2016, the Government announced that a Northwest Runway at Heathrow Airport, combined with a significant package of supporting measures, was its preferred scheme to deliver additional airport capacity in the South East of England. It also confirmed that this would be included in a draft Airports NPS, to be the subject of consultation according to the procedures laid down in the Planning Act 2008.¹⁰

Purpose and scope of the Airports NPS

- 1.10** The Airports NPS provides the primary basis for decision making on development consent applications for a Northwest Runway at Heathrow Airport, and will be an important and relevant consideration in respect of applications for new runway capacity and other airport infrastructure in London and the South East of England. Other NPSs may also be relevant to decisions on airport capacity in this geographical area.
- 1.11** The Airports NPS sets out:
- The Government’s policy on the need for new airport capacity in the South East of England;
 - The Government’s preferred location and scheme to deliver new capacity; and
 - Particular considerations relevant to a development consent application to which the Airports NPS relates.
- 1.12** It sets out planning policy in relation to applications for any airport nationally significant infrastructure project in the South East of England, and its policies will be important and relevant for the examination by the Examining Authority, and decisions by the Secretary of State in relation to such applications.

⁸ <https://www.gov.uk/government/speeches/aviation-capacity>

⁹ Throughout this document, unless specified otherwise, the term “NPS” refers to the Airports NPS. Other NPSs, for example the National Networks NPS, are referred to in full as required

¹⁰ <https://www.gov.uk/government/speeches/airport-capacity>

- 1.13** In particular, the Secretary of State will use the Airports NPS as the primary basis for making decisions on any development consent application for a new Northwest Runway at Heathrow Airport, which is the Government's preferred scheme. The policies in the Airports NPS will have effect in relation to the Government's preferred scheme, having a runway length of at least 3,500m and enabling at least 260,000 additional air transport movements per annum.¹¹ It will also have effect in relation to terminal infrastructure associated with the Heathrow Northwest Runway scheme and the reconfiguration of the central terminal area at Heathrow Airport.
- 1.14** It is possible that an applicant for development consent in respect of the preferred scheme will promote more than one application for development consent, dealing with different components individually. To the extent that this is the case, the Secretary of State will apply the Airports NPS to such applications to the extent that he determines to be appropriate in the circumstances.
- 1.15** For a scheme to be compliant with the Airports NPS, the Secretary of State would expect to see these elements comprised in its design, and their implementation and delivery secured, particularly with regard to runway length and increased capacity of air transport movements. Other NPSs may also be relevant to decisions on nationally significant infrastructure projects at airports but, if there is conflict between the Airports NPS and other NPSs, the conflict should be resolved in favour of the NPS that has been most recently designated.
- 1.16** Under Section 104 of the Planning Act 2008, the Secretary of State must decide any application in accordance with any relevant NPS unless he or she is satisfied that to do so would:
- Lead to the UK being in breach of its international obligations;
 - Be unlawful;
 - Lead to the Secretary of State being in breach of any duty imposed by or under any legislation;
 - Result in adverse impacts of the development outweighing its benefits; or;
 - Be contrary to legislation about how the decisions are to be taken.¹²
- 1.17** The Airports NPS refers in some places to other relevant documents. These other documents may be updated or amended over the lifetime of the Airports NPS, and so successor documents should be referred to when this is the case.
- 1.18** Unlike the regime for the granting of planning permission under the Town and Country Planning Act 1990, there is no provision in the Planning Act 2008 for the making of an 'outline' application for development consent, followed by 'reserved matters' approval. This does not mean, however, that development cannot be phased, so that particular parts are brought forward at different times, or that the details of a proposal cannot be reserved for determination later. Guidance by the Department for Communities and Local Government recognises that development projects advanced through the development consent order process may be phased, but emphasises that every phase of the project contained in a development consent application must be considered in the application for the order and the order itself.¹³

¹¹ The Airports NPS stipulates the length of the new runway to ensure that the new infrastructure can accommodate the largest commercial aircraft, as they operate many of the long haul flights that support the UK's position as a major aviation hub

¹² Planning Act 2008, Section 104 – decisions in cases where an NPS has effect

¹³ <https://www.gov.uk/government/publications/guidance-on-the-pre-application-process-for-major-infrastructure-projects>

Duration

1.19 The Airports NPS covers development that is anticipated to be required by 2030 as well as other development required to support it. It will remain in place until it is withdrawn, amended or replaced. It will be reviewed, in accordance with the Planning Act 2008, when the Secretary of State considers it appropriate to do so. When considering whether to review the Airports NPS, the Secretary of State will look at whether there has been a significant change in any circumstances on which the policy was based and whether such change was anticipated when the Airports NPS was designated.

Territorial extent

1.20 The Airports NPS covers England only. Some aspects of aviation noise policy are devolved but others are reserved.¹⁴

1.21 Aviation policy is largely a reserved matter, though planning policy is not. Specifically:

- The National Assembly for Wales has devolved powers relating to airports in terms of land use planning and surface access policy;
- The Scottish Parliament has competence for planning in Scotland, and some powers in relation to aerodromes are also devolved to the Scottish Parliament; and
- The Northern Ireland Executive and Assembly have devolved powers relating to airports in terms of regional land use planning, surface access policy and funding, and environmental policy. The Northern Ireland Executive also has responsibility for airport economic regulation, has powers over land in relation to aviation safety, has the ability to grant aid for airports infrastructure, and may exercise certain controls relating to the management of airports.

European Union

1.22 On 23 June 2016, the people of the United Kingdom voted to leave the European Union. Until exit negotiations are concluded, the UK remains a full member of the European Union. and all the rights and obligations of European Union membership remain in force. During this period the Government will continue to negotiate, implement and apply European Union legislation. Therefore, for the time being, European Union legislation applies to the development of this policy and to decision making in relation to the preferred scheme.

Appraisal of Sustainability

1.23 An Appraisal of Sustainability is required by the Planning Act 2008 in relation to any NPS. An Appraisal of Sustainability, which describes the analysis of reasonable alternatives to the preferred scheme, has been carried out to inform the Airports NPS. The Appraisal of Sustainability informs the development of the Airports NPS by assessing the potential economic, social and environmental impacts of options to increase airport capacity.

¹⁴ For the avoidance of doubt, references to matters which are “reserved” in this section refer to those matters of legislative responsibility reserved to the Westminster Parliament under the UK’s devolution arrangements

- 1.24** The Appraisal of Sustainability also incorporates a strategic environmental assessment (pursuant to Directive 2001/42/EC as transposed by SI 2004/1633).¹⁵ The Appraisal of Sustainability was published alongside the Airports NPS.
- 1.25** The overall conclusions of the Appraisal of Sustainability show that (provided any scheme remains within the parameters and boundaries in this policy), whilst there will be inevitable harm caused by a new Northwest Runway at Heathrow Airport in relation to some topics, the need for such a scheme, the obligation to mitigate such harm as far as possible, and the benefits that such a scheme will deliver, outweigh such harm. However, this is subject to the assessment of the effects of the preferred scheme, identification of suitable mitigation, and measures to secure and deliver the relevant mitigation.
- 1.26** The preferred scheme has been subject to further refinement by Heathrow Airport since the conclusion of the work of the Airports Commission. These refinements were not captured within the Airports Commission's appraisals and are not expected to significantly alter the key appraisal findings. The Government expects any applicant to carry out a further and more detailed study, and to secure appropriate mitigation measures, ahead of seeking development consent.

Habitats Regulations Assessment

- 1.27** The Airports NPS has also been assessed under the Habitats and Wild Birds Directive and Regulations.¹⁶ A Habitats Regulations Assessment has been undertaken at a strategic level, and was published alongside the Airports NPS.
- 1.28** The Habitats Regulations Assessment concluded that it cannot rule out the potential for adverse effects on the integrity of European sites adjacent to or at a distance from the preferred scheme, given that more detailed project design information and detailed proposals for mitigation are not presently available. The Airports NPS has thus been considered in line with the requirements set out in Article 6(4) of the Habitats Directive. Consideration has been given to potential alternatives to the preferred scheme, and the conclusion was reached that there were no alternatives that would better respect the integrity of European Sites and deliver the objectives of the Airports NPS in relation to UK airport capacity and meeting the identified needs for additional capacity provision. Accordingly, the Government has presented its case why imperative reasons of overriding public interest exist which provide the rationale for why the Airports NPS should be designated, given the presently uncertain conclusions identified by the Habitats Regulations Assessment.
- 1.29** Any development brought forward through the Airports NPS that would be likely to have a significant effect on a European site, either alone or in combination with other plans or projects, will be subject to assessment under Part 6 of the Habitats Regulations at the detailed design stage. If it cannot be concluded that there would be no adverse effects on site integrity, the project will need to be refused or pass the tests of Article 6(4) including any necessary compensatory measures that will need to be secured.

¹⁵ Directive 2001/42/EC of the European Parliament and of the Council on the assessment of the effects of certain plans and programmes on the environment

¹⁶ Council Directive 92/43/EEC on the conservation of natural habitats and of wild flora and fauna; and Directive 2009/147/EC of the European Parliament and of the Council on the conservation of wild birds

Equality Impact Assessment

- 1.30** The Airports NPS has been informed by an Interim Equality Impact Assessment, which was published alongside the Airports NPS.
- 1.31** Under the Equality Act 2010, public bodies have a statutory duty to ensure race, disability and equality are considered in the exercise of their functions. The Interim Equality Impact Assessment considered the potential equalities implications of airport expansion, including the effect on persons or groups of persons who share certain characteristics protected by the Equality Act 2010. The Interim Equality Impact Assessment concludes that all of the shortlisted schemes will have effects on these groups, but that such effects can be managed and can ultimately be within appropriate limits. The Airports NPS requires that final impacts on affected groups should be the subject of a detailed review, carefully designed through engagement with the local community, and approved by the Secretary of State. It should be possible to fully or partially mitigate negative equalities impacts through good design, operations and mitigation plans.

Health Impact Assessment

- 1.32** The Airports NPS has been subject to a Health Impact Assessment, which was published alongside the Airports NPS.
- 1.33** The Health Impact Assessment identified impacts which would affect the population's health, including noise, air quality and socio-economic impacts. In order to be compliant with the Airports NPS, a further project level Health Impact Assessment is required. The application should include and propose health mitigation, which seeks to maximise the health benefits of the scheme and mitigate any negative health impacts.

Relationship between the Airports NPS and the Aviation Policy Framework

- 1.34** The Airports NPS sets out Government policy on expanding airport capacity in the South East of England, in particular by developing a Northwest Runway at Heathrow Airport. Any application for a new Northwest Runway development at Heathrow will be considered under the Airports NPS. Other Government policy on airport capacity has been set out in the Aviation Policy Framework, published in 2013.¹⁷ The Airports NPS does not affect Government policy on wider aviation issues, for which the 2013 Aviation Policy Framework and any subsequent policy statements still apply.¹⁸

Development covered by the Airports NPS

- 1.35** The Airports NPS has effect in relation to the delivery of additional airport capacity through the provision of a Northwest Runway at Heathrow Airport. It also applies to proposals for new terminal capacity located between the new Northwest Runway and the existing Northern Runway at Heathrow Airport, as well as the reconfiguration of Heathrow Airport's central terminal area. Each of these elements is also capable of constituting a nationally significantly infrastructure project.

¹⁷ <https://www.gov.uk/government/publications/aviation-policy-framework>

¹⁸ The Government is consulting on changes to UK airspace policy, which make up part of the Aviation Policy Framework, in parallel with its consultation on the draft Airports NPS

1.36 The Airports NPS does not have effect in relation to an application for development consent for an airport development not comprised in an application relating to: the Heathrow Northwest Runway, and proposals for new terminal capacity located between the Northwest Runway at Heathrow Airport and the existing Northern Runway and reconfiguration of Heathrow Airport's central terminal area. Nevertheless, the Secretary of State considers that the contents of the Airports NPS will be both important and relevant considerations in the determination of such an application, particularly where it relates to London or the South East of England. Among the considerations that will be important and relevant are the findings in the Airports NPS as to the need for new airport capacity and that the preferred scheme is the most appropriate means of meeting that need.

2. The need for additional airport capacity

The importance of aviation to the UK economy

- 2.1** International connectivity, underpinned by strong airports and airlines, is important to the success of the UK economy. It is essential to allow domestic and foreign companies to access existing and new markets, and to help deliver trade and investment, linking us to valuable international markets and ensuring that the UK is open for business. It facilitates trade in goods and services, enables the movement of workers and tourists, and drives business innovation and investment, being particularly important for many of the fastest growing sectors of the economy.
- 2.2** International connectivity attracts businesses to cluster round airports, and helps to improve the productivity of the wider UK economy. Large and small UK businesses rely on air travel, while our airports are the primary gateway for vital time-sensitive freight services. Air travel also allows us ever greater freedom to travel and visit family and friends across the globe, and brings millions of people to the UK to do business or enjoy the best the country has to offer.
- 2.3** The UK benefits from a strong and substantially privatised airport sector, with a regulatory system that supports growth while ensuring the interests of passengers are at its heart. The Government believes that this is the right approach for the airport sector, but that Government has an important role to play in strategic decisions like planning future airport capacity.
- 2.4** The UK has the third largest aviation network in the world after the USA and China,¹⁹ and London's airports serve more routes than any other European city.²⁰ The UK's airports handled over 250 million passengers in 2015, a 5.5% increase from the previous year.²¹ The sector benefits the UK economy through its direct contribution to GDP and employment, and by facilitating trade and investment, manufacturing supply chains, skills development, and tourism.
- 2.5** In 2014 the UK aviation sector generated around £20 billion²² of economic output, and directly employed around 230,000 workers,²³ supporting many more jobs indirectly. The UK has the second largest aircraft manufacturing industry in the world after the USA, and will benefit economically from growth in employment and exports from future aviation growth.²⁴ Air Passenger Duty remains an important contributor to Government revenue, raising over £3 billion in 2014/15.²⁵ Heathrow Airport directly supports around 75,000 jobs on site.²⁶
- 2.6** Businesses from across the UK utilise our aviation network to access markets worldwide. The UK's strong services sector, which provides significant export earnings for the country, is particularly reliant on aviation. The sector includes,

¹⁹ *The Global Competitiveness Report 2014-2015*, World Economic Forum, 2015, based on available airline seat kilometres

²⁰ *Airports Commission: Final Report*, p55

²¹ <https://www.caa.co.uk/Data-and-analysis/UK-aviation-market/Airports/Datasets/UK-Airport-data/Airport-data-2015/>

²² ONS, Input-Output Supply and Use tables, 2014

²³ ONS, Business Register and Employment Survey, 2014

²⁴ UK Aerospace Industry Survey, Aerospace, Defence, Security Trade Association, 2010

²⁵ <https://www.gov.uk/Government/statistics/hmrc-tax-and-nics-receipts-for-the-uk>

²⁶ <https://your.heathrow.com/takingbritainfurther/jobs-and-growth/>

among others, financial services, insurance, creative industries, education, and health – all of which rely on face-to-face engagement with customers for success.

- 2.7** Air freight is also important to the UK economy. Although only a small proportion of UK trade by weight is carried by air, it is particularly important for supporting export-led growth in sectors where goods are of high value or time critical. Heathrow Airport is the UK's biggest freight port by value.²⁷ Over £155 billion of air freight was sent between UK and non-European Union countries in 2015, representing over 40% of the UK's extra-European Union trade by value.²⁸ This is especially important in the advanced manufacturing sector, where air freight is a key element of the time-critical supply chain. By 2030, advanced manufacturing industries such as pharmaceuticals or chemicals, whose components and products are predominately moved by air, are expected to be among the top five UK export markets by their share of value.²⁹ In the future, UK manufacturing competitiveness and a successful and diverse UK economy will drive the need for quicker air freight.
- 2.8** Aviation also brings many wider benefits to society and individuals, including travel for leisure and visiting family and friends. This drives further economic activity. In 2013, for example, the direct gross value added of the tourism sector, one of the important beneficiaries of a strong UK aviation sector, was £59 billion.³⁰ Likewise, 2015 saw the value of inbound tourism rise to over £22 billion,³¹ with the wider UK tourism industry forecast to grow significantly over the coming decades.
- 2.9** The importance of aviation to the UK economy, and in particular the UK's hub status, has only increased following the country's decision to leave the European Union. As the UK develops its new trading relationships with the rest of the world, it will be essential that increased airport capacity is delivered to support routes to and from the UK around the world, particularly to emerging and developing economies.

The need for new airport capacity

- 2.10** However, challenges exist in the UK's aviation sector, stemming in particular from capacity constraints. These constraints are affecting our ability to travel conveniently and to a broader range of destinations than in the past. They create negative impacts on the UK through increased risk of flight delays and unreliability, restricted scope for competition and lower fares, declining domestic connectivity, erosion of the UK's hub status³² relative to foreign competitors, and constraining the scope of the aviation sector to deliver wider economic benefits.
- 2.11** The UK now faces a significant capacity challenge. Heathrow Airport is currently the busiest two-runway airport in the world, while Gatwick Airport is the busiest single runway airport in the world. London's airports are filling up fast, and will all be full by 2040 if we do not take action now.³³

²⁷ <https://your.heathrow.com/takingbritainfurther/trade-and-exports/facts-and-figures/>

²⁸ <https://www.uktradeinfo.com/Statistics/Pages/Statistics.aspx>

²⁹ <https://globalconnections.hsbc.com/global/en/tools-data/trade-forecast-tool/uk#>

³⁰ Estimates of the Economic Importance of Tourism 2008-2013, Office for National Statistics, December 2014

³¹ <https://www.visitbritain.org/2015-snapshot>. This figure represents tourism by all modes of transport. The equivalent figure for inbound tourists by air is £19 billion in 2015

³² Defined as the frequency of flights and the density of a route network

³³ *Airports Commission: Final Report*, p3

- 2.12** Aviation demand is likely to increase significantly between now and 2050.³⁴ All major airports in the South East of England³⁵ are expected to be full by 2040, and by 2050 demand in the South East of England is expected to outstrip capacity by 13-15%, even on the lowest demand forecasts.³⁶ There is relatively little scope to redistribute demand away from the region to less heavily utilised capacity elsewhere in the country.³⁷
- 2.13** The UK's hub status, stemming from the convenience and variety of its direct connections across the world, is already being challenged by restricted connectivity.³⁸ Hub airports at Paris, Frankfurt and Amsterdam have spare capacity and are able to attract new flights to growth markets in China and South America.³⁹ These competitors have benefited from the capacity constraints at Heathrow Airport, and have seen faster growth over the past few years. The UK's airports also face growing competition from hubs in the Middle East like Dubai, Abu Dhabi, Doha and Istanbul. Heathrow Airport was overtaken by Dubai in 2015 as the world's busiest international passenger airport.⁴⁰
- 2.14** The consequences of not increasing airport capacity in the South East of England – the 'do nothing' or 'do minimum scenarios' – are detrimental to the UK economy and the UK's hub status. International connectivity will be restricted as capacity restrictions mean airlines prioritise their routes, seeking to maximise their profits. Capacity constraints therefore lead to trade-offs in destinations, and while there is scope to respond to changing demand patterns, this necessarily comes at the expense of other connections. Domestic connectivity into the largest London airports will also decline as competition for slots encourages airlines to prioritise more profitable routes.
- 2.15** Operating existing capacity at its limits means there will be little resilience to unforeseen disruptions, leading to delays. Fares are likely to rise as demand outstrips supply, and the lack of available slots makes it more difficult for new competitors to enter the market.
- 2.16** The Government believes that not increasing capacity will impose costs on passengers and on the wider economy. The Airports Commission estimated that direct negative impacts to passengers, such as fare increases and delays, would range from £21 billion to £23 billion over 60 years.⁴¹ Without expansion, capacity constraints would impose increasing costs on the rest of the economy over time, lowering economic output by making aviation more expensive and less convenient to use, with knock-on effects in lost trade, tourism and foreign direct investment.
- 2.17** It is very challenging to put a precise figure on these impacts, but using alternative approaches the Airports Commission estimated these costs to be between £30 billion and £45 billion over 60 years.⁴² The Airports Commission urged caution interpreting these figures, which overlap with the direct passenger costs reported above and so are not wholly additional. But they do illustrate that not increasing

³⁴ *Airports Commission: Final Report*, p83

³⁵ Defined as Gatwick, Heathrow, London City, Luton and Stansted

³⁶ *Airports Commission: Interim Report*, p111

³⁷ *Airports Commission: Interim Report*, pp117-126

³⁸ For more analysis on the UK's hub status, see *Airports Commission: Interim Report*, pp90-92

³⁹ *Airports Commission: Final Report*, p249

⁴⁰ <http://www.aci.aero/News/Releases/Most-Recent/2016/09/09/Airports-Council-International-releases-2015-World-Airport-Traffic-Report-The-busiest-become-busier-the-year-of-the-international-hub-airport>

⁴¹ *Airports Commission: Final Report*, p81; present value over 60 years

⁴² *Airports Commission: Final Report*, p81

airport capacity carries real economic costs to the whole economy beyond aviation passengers. Having reviewed this further, the Government accepts this analysis.

- 2.18** The Government also acknowledges the local and national environmental impacts of airports and aviation, for example noise and emissions, and believes that capacity expansion should take place in a way that satisfactorily mitigates these impacts wherever possible. Expansion must be deliverable within national targets and legal limits for air quality and greenhouse gas emissions.

The Airports Commission

2.19 To address these issues, in September 2012, the Coalition Government established the independent Airports Commission, led by Sir Howard Davies. The Airports Commission had two objectives:

- To produce an Interim Report, setting out the nature, scale and timing of steps needed to maintain the UK's global hub status alongside recommendations for making better use of the UK's existing runway capacity over the next five years; and
- To produce a Final Report, setting out recommendations on how to meet any need for additional airport capacity in the longer term.⁴³

2.20 The Airports Commission was asked to take appropriate account of the national, regional and local implications of any expansion. As well as seven discussion papers and an appraisal framework, the Airports Commission delivered its recommendations to Government in its Interim Report in December 2013 and its Final Report in July 2015. It also published a summary and decision paper in September 2014 on whether to add an inner Thames Estuary airport proposal to a shortlist for further appraisal.⁴⁴

Alternatives to additional runway capacity

2.21 The Airports Commission explored potential alternatives to additional runway capacity, which included:

- Doing nothing;
- A 'do minimum' set of alternatives with very limited provision for additional capacity;
- Redistribution methods, for example changing the rate of Air Passenger Duty, changing slot allocation regimes, traffic distribution rules, and prohibiting certain types of flights;
- Investment in high speed rail and improved surface access options; and
- New technologies.⁴⁵

2.22 The Airports Commission found that none of these options delivered a sufficient increase in capacity, and that many required investment far in excess of the cost of runway expansion.

⁴³ <https://www.gov.uk/government/organisations/airports-commission/about/terms-of-reference>

⁴⁴ <https://www.gov.uk/government/publications/inner-thames-estuary-airport-summary-and-decision>

⁴⁵ *Airports Commission: Final Report*, p84

The Airports Commission's shortlisting process

2.23 The Airports Commission consulted widely on its appraisal framework, which contained its criteria for sifting proposed schemes,⁴⁶ and the Government is satisfied that the appraisal framework was appropriate. The Airports Commission received 52 proposals, with three options developed by the Airports Commission itself. The Airports Commission took advice from a number of relevant stakeholders, including NATS Holdings, the Civil Aviation Authority, Network Rail, and the Highways Agency (as it then was). The Government believes that the Airports Commission has analysed all the options put forward to the appropriate degree of detail, and discounted non-shortlisted schemes fairly and objectively according to the sift criteria. The Government does not consider that any of the non-shortlisted schemes represents a reasonable alternative to its preferred scheme.

2.24 The three shortlisted schemes were:

- Gatwick Second Runway scheme;
- Heathrow Northwest Runway scheme (which the Airports Commission recommended and is the Government's preferred scheme); and
- Heathrow Extended Northern Runway scheme.

2.25 The Government has made clear in its announcement of 14 December 2015 that it agrees with the Airports Commission's three shortlisted schemes for expansion, and has taken forward its further work on this basis. As set out at paragraph 1.35 of this document, the Airports NPS will only have effect in relation to a scheme located at Heathrow Airport for the provision of a Northwest Runway, and not the other shortlisted schemes.

The Airports Commission's conclusions

2.26 In its Interim Report in December 2013,⁴⁷ the Airports Commission concluded that there was a need for one additional runway to be in operation in the South East of England by 2030. It also set in train a period of further consultation on three shortlisted schemes (Gatwick Second Runway scheme, Heathrow Northwest Runway scheme, and Heathrow Extended Northern Runway scheme), as well as the option of a new airport in the inner Thames Estuary. In September 2014, the Airports Commission concluded that a new airport in the inner Thames Estuary did not perform sufficiently well to warrant consideration alongside the three schemes that it decided to shortlist.

2.27 In its Final Report in July 2015, the Airports Commission concluded that the proposed Northwest Runway at Heathrow Airport presented the strongest case for expansion and would offer the greatest strategic and economic benefits to the UK. A copy of the illustrative Heathrow Northwest Runway scheme masterplan is included at Annex B. The Airports Commission also made clear that expansion would have to involve a significant package of supporting measures to address the environmental and community impacts of the new runway.

⁴⁶ <https://www.gov.uk/government/publications/sift-criteria-for-long-term-capacity-options-at-uk-airports>

⁴⁷ *Airports Commission: Interim Report*, p11

The Government's work

- 2.28** The Government has reviewed the Airports Commission's work and the representations Government has received on the issue of airport capacity, and is confident that the Airports Commission's arguments and reasoning are clear and thorough.
- 2.29** The Airports Commission undertook an extensive appraisal over two and a half years, consulting widely and analysing all the evidence before making its final recommendations. Since then, the Government has reviewed the Airports Commission's work and concluded that its evidence base on the case for expansion and its use of this evidence are both sound.⁴⁸ This has given the Government the assurance required to use the evidence to inform its further work, which is set out in more detail later. The Government has therefore considered the Airports Commission data in great depth and also carried out its own further work, all of which informs the Airports NPS.
- 2.30** In coming to these decisions, the Government has fully considered the Airports Commission's Interim and Final Reports, as well as the inner Thames Estuary summary and decision paper. The Government also received a range of information from a variety of stakeholders in response to those reports, which was taken into account by the Government in reaching its preference.
- 2.31** Having reviewed the work of the Airports Commission and considered the evidence put forward on the issue of airport capacity, the Government believes that there is clear and strong evidence that there is a need to increase capacity in the South East of England by 2030 by constructing one new runway. The Government also agrees with the Airports Commission that this can be delivered within the UK's obligations under the Climate Change Act 2008.⁴⁹
- 2.32** The next chapter of the Airports NPS sets out how the Government has identified the most effective and appropriate way to address the overall need for increased airport capacity, while meeting the UK's air quality and carbon obligations.

⁴⁸ <https://www.gov.uk/government/publications/airport-expansion-further-review-and-sensitivities-report>

⁴⁹ <https://www.gov.uk/government/publications/airport-expansion-dft-review-of-the-airports-commissions-final-report> *Review of the Airports Commission Final Report*, p19

3. The Government's preferred scheme: Heathrow Northwest Runway

Overview

- 3.1** While the previous chapter of the Airports NPS sets out the Government's underlying policy and evidence on the need to expand airport capacity in the South East of England, this chapter sets out why the Government has stated its preference for the Heathrow Northwest Runway scheme.
- 3.2** As set out in the previous chapter, the Airports Commission undertook a detailed shortlisting process, which resulted in three shortlisted schemes being considered by the Government for additional airport capacity:
- Gatwick Second Runway scheme;
 - Heathrow Northwest Runway scheme (which the Airports Commission recommended and is the Government's preferred scheme);
 - Heathrow Extended Northern Runway scheme.
- 3.3** The Government accepted the Airports Commission's three shortlisted schemes on 14 December 2015, agreeing with the Airports Commission's conclusion that one new runway in the South East of England by 2030 would be required to meet capacity requirements.
- 3.4** Following the publication of the Airports Commission's Final Report, the Government undertook further work on:
- Air quality;
 - Noise;
 - Carbon emissions; and
 - Impacts on local communities.
- 3.5** The Government has carried out additional sensitivities, which show the worst case scenarios on noise, carbon and the economy, within the Appraisal of Sustainability.
- 3.6** The work on air quality, which demonstrated that expansion (with mitigation) is capable of taking place within legal limits, is outlined in the Government's air quality re-analysis⁵⁰ and the Appraisal of Sustainability. Both documents contain a worst case scenario.
- 3.7** The Government agrees with the Airports Commission's assessment that a new runway is deliverable within the UK's climate change obligations.⁵¹
- 3.8** Following engagement with all three shortlisted scheme promoters, the Government has recommended a package of community supporting measures.

⁵⁰ <https://www.gov.uk/government/publications/airport-expansion-further-analysis-of-air-quality-data>

⁵¹ <https://www.gov.uk/government/publications/airport-expansion-dft-review-of-the-airports-commissions-final-report> *Review of the Airports Commission Final Report*, p19

- 3.9** The Government also carried out additional work in relation to surface access, and further economic analysis. This work has allowed the Government to consider carefully the effectiveness of each of the three schemes to meet the need for additional capacity.
- 3.10** The detailed results of this work can be found in a number of reports published by the Government on 25 October 2016:
- A formal review by the Department for Transport of the Airports Commission’s Final Report;⁵²
 - An air quality re-analysis to test the Airports Commission’s work against the Government’s air quality plan;⁵³
 - A further review of the Airports Commission’s analytical approach, providing greater assurance in those areas where needed;⁵⁴
 - A comparison of the originally shortlisted schemes’ compensation packages against other expansion projects around the world;⁵⁵
 - An assurance report by Highways England on the schemes’ road surface access proposals;⁵⁶ and
 - A non-binding statement of principles between Heathrow Airport and the Secretary of State for Transport on the Heathrow Northwest Runway scheme.⁵⁷
- 3.11** On 25 October 2016, the Government announced that its preferred scheme to meet the need for new airport capacity in the South East of England was a Northwest Runway at Heathrow Airport.⁵⁸ It also confirmed that this would be included in a draft Airports NPS, which would be subject to consultation in accordance with the procedures laid down in the Planning Act 2008. The Government believes that the Heathrow Northwest Runway scheme, of all the three shortlisted schemes, is the most effective and most appropriate way of meeting the needs case set out in chapter 2. As such, the Government has also concluded that the other shortlisted schemes do not represent true alternatives to the preferred scheme.
- 3.12** The remainder of this chapter is broken down into two distinct sections. The first section focuses on why the Government prefers the Heathrow Northwest Runway Scheme to the Gatwick Second Runway scheme in terms of delivering additional airport capacity by 2030. The second section focuses on why the Government prefers the Heathrow Northwest Runway scheme to the Heathrow Extended Northern Runway scheme.
- 3.13** Increasing airport capacity in the South East of England can be expected to result in both positive and negative impacts, as would be the case for any major infrastructure project. Important positive impacts are expected to include securing the UK’s hub status, better international connectivity, and providing benefits to passengers and the UK economy as a whole (for example for the freight industry). The negative impacts are expected to include environmental impacts, for example on air quality and affected local communities.

⁵² <https://www.gov.uk/government/publications/airport-expansion-dft-review-of-the-airports-commissions-final-report>

⁵³ <https://www.gov.uk/government/publications/airport-expansion-further-analysis-of-air-quality-data>

⁵⁴ <https://www.gov.uk/government/publications/airport-expansion-further-review-and-sensitivities-report>

⁵⁵ <https://www.gov.uk/government/publications/airport-expansion-global-comparison-of-airport-mitigation-measures>

⁵⁶ <https://www.gov.uk/government/publications/airport-expansion-highways-england-assurance-report>

⁵⁷ <https://www.gov.uk/government/publications/heathrow-airport-limited-statement-of-principles>

⁵⁸ <https://www.gov.uk/government/speeches/airport-capacity>

3.14 In its considerations on a preferred scheme, the Government has fully taken into account the work of the Airports Commission, information provided by a variety of stakeholders, and the results of the Government's further work outlined in paragraphs 3.4-3.10 above. As set out below, the Government has considered the positive and negative effects from each of the three shortlisted schemes, and reached its conclusion by weighing these expected effects, along with considering how positive effects can be enhanced and negative effects mitigated.

Heathrow Northwest Runway and Gatwick Second Runway

3.15 In identifying the preferred scheme, a wide range of factors has been taken into account, including:

- International connectivity and strategic benefits;
- Passenger and wider economic benefits;
- Domestic connectivity and regional impacts;
- Surface access links;
- Views of airlines, regional airports and the business community;
- Financeability;
- Deliverability; and
- Local environmental impacts.

3.16 While the Government acknowledges the differences between the three shortlisted schemes, carbon impacts (unlike the factors above) have not been considered as a differentiating factor between schemes due to the Airports Commission's overarching assessment that that all three are deliverable within the UK's climate change obligations.

International connectivity and strategic benefits, including freight

3.17 Heathrow Airport is best placed to address this need by providing the biggest boost to the UK's international connectivity. Heathrow Airport is one of the world's major hub airports, serving around 180 destinations worldwide with at least a weekly service, including a diverse network of onward flights across the UK and Europe.⁵⁹ Building on this base, expansion at Heathrow Airport will mean it will continue to attract a growing number of transfer passengers, providing the added demand to make more routes viable. In particular, this is expected to lead to more long haul flights and connections to fast-growing economies, helping to secure the UK's status as a global aviation hub, and enabling it to play a crucial role in the global economy

3.18 By contrast, expansion at Gatwick Airport would not enhance, and would consequently threaten, the UK's global aviation hub status. Gatwick Airport would largely remain a point to point airport, attracting very few transfer passengers. Heathrow Airport would continue to be constrained, outcompeted by competitor hubs which lure away transfer passengers, further weakening the range and frequency of viable routes. At the UK level, there would be significantly fewer long haul flights in comparison to the preferred scheme, with long haul destinations served less frequently. Expansion at Heathrow Airport is the better option to ensure the number of services on existing routes increases and allows airlines to offer more frequent new routes to vital emerging markets.

⁵⁹ <https://your.heathrow.com/takingbritainfurther/vision/new-destinations/>

- 3.19** This is demonstrated by the forecasts produced by the Airports Commission.⁶⁰ Compared to no expansion, the Airports Commission estimated that a Northwest Runway at Heathrow Airport by 2040 would result in 125,000 additional flights a year across the UK as a whole (including 39,000 long haul), and 27 million additional passengers a year. By way of comparison, the Extended Northern Runway would add 104,000 more flights and 23 million additional passengers.⁶¹
- 3.20** Compared to no expansion, the Second Runway scheme at Gatwick would add 54,000 flights and 8.5 million passengers by 2040, across the UK as a whole, increasing to 60,000 and 16 million respectively in 2050. The Airports Commission projected that 8,000 of these additional flights would be long haul in 2040, rising to 15,000 in 2050.⁶² Gatwick Airport has recently been successful in securing a number of long haul routes to the USA and Canada from low cost carriers, a new market segment.
- 3.21** As set out above, the ease with which businesses can move staff around the globe is an important facilitator of trade and for businesses locating and remaining in the UK. The broader range and greater frequency of long haul flights at Heathrow Airport best meets this need. It would deliver benefits for UK passengers (both business and leisure) by allowing them to travel to more destinations flexibly. These benefits include the additional frequency of flights, for example connecting the UK to long haul destinations daily instead of weekly, or several times a day instead of daily. Businesses from across the UK currently take advantage of Heathrow Airport's international connections, and will continue to benefit from these following expansion. In particular, the additional capacity delivered at Heathrow Airport will support growth in important sectors of the UK economy, including tourism, financial services, and the creative industries.
- 3.22** The aviation sector can also boost the wider economy by providing more opportunities for trade through air freight. The time-sensitive air freight industry, and those industries that use air freight, benefit from greater quantity and frequency of services, especially long haul. By providing more space for cargo, lowering costs, and by the greater frequency of services, this should in turn provide a boost to trade and GDP benefits.⁶³
- 3.23** As set out above, expansion at Heathrow Airport delivers the biggest boost in long haul flights, and the greatest benefit therefore to air freight. This is further facilitated by the existing and proposed airport development of freight facilities as part of the Northwest Runway scheme. Heathrow Airport currently has a substantial freight handling operation, around 20 times larger by tonnage⁶⁴ than that at Gatwick Airport, and accounting for 31% of the UK's non-European Union trade by value – over 200 times more than Gatwick Airport.⁶⁵ Expansion at Heathrow Airport will

⁶⁰ An important uncertainty to the central estimates concerns the forecasts of future aviation demand and allocation across UK airports. The Airports Commission reflected this uncertainty using five demand scenarios, as well as two carbon policy regimes. The Department for Transport has run a demand sensitivity to look at the impact of recent growth in UK aviation demand. Further uncertainty arises from the choice of individual modelling assumptions. Further information, including on the Airports Commission's scenarios and sensitivity analysis, can be found in the *Further Review and Sensitivities Report* and *Appraisal of Sustainability*

⁶¹ https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/439687/strategic-fit-updated-forecasts.pdf Airports Commission Aviation Forecasts. This number refers to terminal passengers which include those passengers changing planes, who are counted twice, reflecting the fact that they arrive on one flight and depart on another

⁶² Airports Commission Aviation Forecasts

⁶³ *Further Review and Sensitivities Report*, p33

⁶⁴ <https://www.caa.co.uk/Data-and-analysis/UK-aviation-market/Airports/Datasets/UK-airport-data/>

⁶⁵ <https://www.uktradeinfo.com/Statistics/BuildYourOwnTables/Pages/Home.aspx>

further strengthen the connections of firms from across the UK to international markets.

Passenger and wider economic benefits

- 3.24** Without expansion, passengers and other users of airports are likely to suffer from higher fares and more delays. High demand for air travel at airports with limited or no scope for increased capacity could weaken competition, allowing airlines to charge higher fares. As airports fill up and operate at full capacity, there is little resilience to deal with any disruption, leading to delays.
- 3.25** Expansion via the Heathrow Northwest Runway scheme is best placed to address this need. Heathrow Airport is currently the busiest two runway airport in the world, already operating at full capacity, with substantial pent up demand from passengers and airlines. Expansion at Heathrow Airport would increase the availability of services, and increase competition between airlines. This would lower fares that passengers can expect to face relative to no expansion, leading to significant benefits to business and leisure passengers and the wider economy (not including wider trade benefits) of up to £61 billion over 60 years.^{66 67} Crucially, the extent of the pent up demand at Heathrow Airport means that these benefits will be experienced more rapidly once the new capacity is operational, with both Heathrow schemes providing more passenger benefits by 2050 than the Gatwick Second Runway scheme. These benefits are expected to be realised by passengers across the UK as they make use of the additional services provided by the expanded airport.
- 3.26** The Government also recognises the role airports can play in supporting wider economic growth in the local community. Expansion at Heathrow Airport is expected to result in larger benefits to the wider economy than expansion at Gatwick Airport. These additional benefits come from more businesses clustering around the expanded airport as well as the productivity benefits from firms who now enjoy lower aviation transport costs. Heathrow Airport already has a more developed cluster of businesses in its surrounding area, which should enable an even larger economic boost from expansion in the local economy.⁶⁸
- 3.27** Expansion via the Heathrow Northwest Runway scheme should deliver additional jobs at the airport, through its supply chain and in the local community. The Heathrow Northwest Runway scheme is expected to generate up to 77,000 additional jobs in the local area by 2030,⁶⁹ with Heathrow Airport also pledging to provide 5,000 additional apprenticeships by this time. The number of local jobs created at an expanded Heathrow Airport is predicted to be much greater than at Gatwick Airport (up to 12,500 by 2030 and 44,200 by 2050),⁷⁰ and the jobs would also be created more quickly. The numbers are higher at Heathrow Airport because the additional capacity is forecast to be used more quickly following expansion and, importantly, because the types of services offered at an expanded Heathrow Airport

⁶⁶ For clarity of presentation, only the central estimate in the 'carbon traded' scenario is presented here. This does not imply any Government position on future carbon policy. Estimates under different carbon and demand scenarios are available in section 3.13 of the Appraisal of Sustainability, Appendix A-3: Economy. For background on the carbon and demand scenarios themselves, see sections 3 and 4 of the Airports Commission's *Strategic fit: updated forecasts* <https://www.gov.uk/government/publications/airports-commission-final-report-strategic-fit>

⁶⁷ This includes passenger benefits to UK residents, non-UK residents and international-to-international interliners

⁶⁸ *Further Review and Sensitivities Report*, p32

⁶⁹ *Airports Commission: Final Report*, p25

⁷⁰ *Further Review and Sensitivities Report*, p38

are likely to be more complex, particularly with the greater number of full service airlines operating there.

- 3.28** Expansion also brings a wider set of non-monetised benefits such as local job creation, trade, and freight benefits, which indicate a stronger case for a Heathrow scheme than for the Gatwick Second Runway scheme.⁷¹

Domestic connectivity

- 3.29** The Government recognises the importance that the nations and regions of the UK attach to domestic connectivity, particularly connections into Heathrow Airport. Airports across the UK provide a vital contribution to the economic wellbeing of the whole of the UK. Without expansion, there is a risk that, as airlines react to limited capacity, they could prioritise routes away from domestic connections. The Government therefore sees expansion at Heathrow Airport as an opportunity to not only protect and strengthen the frequency of existing domestic routes, but to secure new domestic routes to the benefit of passengers and businesses across the UK.

- 3.30** Passengers from across the UK are likely to benefit from the improved international connectivity provided by expansion. By 2040, 5.5 million additional passengers from outside of London and the South East are forecast to make one way international journeys from Heathrow Airport. Under a Gatwick Second Runway scheme, 3 million additional passengers from outside London and the South East would be forecast to make one way international journeys from Gatwick Airport in 2040. By way of comparison, under a Heathrow Extended Northern Runway scheme, 4.5 million additional passengers from outside London and the South East would be forecast to make one way international journeys from Heathrow Airport in 2040.⁷²

- 3.31** An expanded Heathrow Airport should therefore mean that more passengers from across the UK are likely to benefit from lower fares and access to important international markets from the airport.

⁷¹ *Further Review and Sensitivities Report*, p33

⁷² Department for Transport analysis of Airports Commission Aviation Forecasts

3.32 The Government expects to see expansion at Heathrow Airport driving an increase in the number of UK airports with connections specifically into the airport. Heathrow Airport and Gatwick Airport set out plans on domestic connectivity which they say they would deliver, if successful, by 2030:

- 14 domestic routes for Heathrow Airport, compared to the eight routes currently in operation; and
- 12 domestic routes for Gatwick Airport, compared to the six currently offered.

Heathrow Airport under expansion in 2030 ^{73 74}	Gatwick Airport under expansion in 2030 ⁷⁵
<p>8 domestic routes operating today (Aberdeen, Belfast City, Edinburgh, Glasgow, Inverness, Leeds Bradford, Manchester, Newcastle)</p> <p>plus Belfast International, Durham Tees Valley, Humberside, Liverpool, Newquay, Prestwick</p> <p>Total: 14</p>	<p>6 domestic routes operating today (Aberdeen, Belfast International, Edinburgh, Glasgow, Inverness, Newquay)</p> <p>plus Belfast City, Derry-Londonderry, Dundee, Leeds Bradford, Manchester, Newcastle</p> <p>Total: 12</p>

Government expectation on domestic connectivity

3.33 The Government recognises that air routes are in the first instance a commercial decision for airlines and are not in the gift of an airport operator. But the Government is determined that these new routes will be secured, and will hold Heathrow Airport to account on this. The Government requires Heathrow Airport to demonstrate it has worked constructively with its airline customers to protect and strengthen existing domestic routes, and to develop new domestic connections, including to regions currently unserved.

Surface access links

3.34 To realise the benefits of expansion, passengers and users must have good access to the airport. On this basis Heathrow Airport has the advantage, because of its more accessible location and more varied surface access links.

3.35 Heathrow Airport already has good surface transport links to the rest of the UK. It enjoys road links via the M25, M4, M40 and M3, and rail links via the London Underground Piccadilly Line, Heathrow Connect, and Heathrow Express. In the future, it will connect to Crossrail, and link to HS2 at Old Oak Common. Plans are being developed for improved rail access: the proposed Western Rail Access could link the airport to the Great Western Main Line, and Southern Rail Access could join routes to the South West Trains network and London Waterloo Station. This varied choice of road and rail connections makes Heathrow Airport accessible to both

⁷³ Taken from promoter plans for domestic connections at Heathrow Airport and Gatwick Airport, compared to existing domestic connections at both airports. The Government would expect Heathrow Airport’s plan to be broadly equivalent for the Extended Northern Runway proposal if it was taken forward

⁷⁴ Plus routes to UK Crown Dependencies (Isle of Man and Jersey)

⁷⁵ Plus routes to UK Crown Dependencies (Guernsey, Isle of Man and Jersey)

passengers and freight operators in much of the UK, and provides significant resilience to any disruption.

- 3.36** Access to Gatwick relies on the M23 and the Brighton Main Line, which means it serves London well but makes it less convenient for onward travel to the rest of the UK. It is also less resilient than Heathrow Airport. Heathrow Airport has advantages over Gatwick Airport with its greater integration into the national transport network, benefitting both passengers and freight operators. It also currently has significantly larger freight operations than Gatwick Airport, around 20 times larger in terms of total tonnage⁷⁶ and over 200 times larger in terms of value.⁷⁷
- 3.37** The airport scheme promoters have pledged to meet the cost of surface access schemes required to enable a runway to open. For Gatwick Airport, this covers the full cost of the works (including the M23 and A23) needed to support expansion. The two Heathrow schemes would pay for the full cost of M25, A4 and A3044 diversions and local road works. They would make a contribution towards the cost of the proposed Western Rail Access and Southern Rail Access schemes. Improvements which are already underway, such as Thameslink and Crossrail, will be completed, and the Government has not assumed any change to these schemes' existing funding.
- 3.38** The majority of the surface access costs where a split of beneficiaries is expected (for example, where multiple businesses and the public at large benefit from a new road junction or rail scheme) are likely to be borne by Government, as the schemes provide greater benefits for non-airport users. The airport contribution would be subject to a negotiation, and review by regulators.
- 3.39** Because of the early stages of development, there is some variability of surface access costs, which are subject to more detailed development and, for example, choices over precise routes. The additional public expenditure effects of the options would likely be as follows:
- For both Heathrow proposals, there is no Government road spend directly linked to expansion; the promoter would pay for changes to the M25, A4 and A3044 and any local roads. The Western and Southern Rail schemes are at different levels of development and, based on current estimates, could cost between £1.4 billion and £2.5 billion together. The Government would expect this cost to be partly offset by airport contributions, which would be negotiated when the schemes reach an appropriate level of development.
 - For the Gatwick proposal, there would be no additional public expenditure solely because of expansion, as all road enhancement costs for airport expansion would be met by the scheme promoter. The Government has assumed that any improvements to the Brighton Main Line that may be required would take place regardless of expansion and would be publicly funded.

⁷⁶ <https://www.caa.co.uk/Data-and-analysis/UK-aviation-market/Airports/Datasets/UK-airport-data/>

⁷⁷ <https://www.uktradeinfo.com/Statistics/BuildYourOwnTables/Pages/Home.aspx>

Views and support of airlines, regional airports and the business community

- 3.40** The benefits of expansion will be delivered only if airlines and the industry choose to use the new capacity, and pay for it via airport charges. There is much greater airline support for expansion via the Heathrow Northwest Runway scheme than the other two schemes, subject to various concerns being met, for example on costs.
- 3.41** The majority of regional airports who have stated a public preference support expanding Heathrow Airport, on the basis of its current status as the UK's hub (though Birmingham Airport has supported expansion at Gatwick Airport). This support is driven by airports' considerations on connectivity and other commercial issues.
- 3.42** Expansion is critical for business confidence in the UK. The Heathrow Northwest Runway scheme has strong support from the wider business community across the whole of the UK, including from the Confederation of British Industry,⁷⁸ the British Chambers of Commerce,⁷⁹ the Federation of Small Businesses,⁸⁰ the manufacturers' organisation EEF,⁸¹ and regional business groups across the UK. 61% of the directors asked by the Institute of Directors stated that their preference was for expansion at Heathrow Airport, compared to 39% who favoured expansion at Gatwick Airport.⁸²

Financeability

- 3.43** While the Gatwick Second Runway scheme would be significantly cheaper than the two schemes at Heathrow, with the Heathrow Northwest Runway the most expensive of the three shortlisted schemes, all three are private sector schemes which the Government believes could be financeable without Government support.⁸³
- 3.44** The level of debt and equity required for the Gatwick Second Runway scheme would be significantly lower than for the Heathrow schemes, but the Airports Commission noted that the Gatwick Second Runway scheme would have comparatively higher demand risk, which is harder for Government to mitigate compared to the Heathrow schemes.⁸⁴ Both Heathrow schemes build on a strong track record of proven demand that has proven resistant to economic downturns. Independent financial advisers have undertaken further work for the Government, and agree that all three schemes are financeable without Government support.

Deliverability

- 3.45** The three shortlisted schemes involve different levels of delivery risk. Gatwick Airport said its Second Runway scheme is capable of being delivered by 2025, while Heathrow Airport said its Northwest Runway scheme is capable of being delivered by 2026. The Gatwick Second Runway scheme would be much simpler to build. The process for delivering powers for the Heathrow schemes will be more complex because the schemes themselves are more complex. The delivery dates for both Heathrow schemes are therefore likely to be more risky than that for the scheme at Gatwick.

⁷⁸ <https://your.heathrow.com/takingbritainfurther/tuc-and-cbi-unite-to-call-for-heathrow-expansion/>

⁷⁹ <http://www.britishchambers.org.uk/press-office/press-releases/bcc-while-britain-dithers-on-aviation,-others-do.html>

⁸⁰ <http://fsb.org.uk/media-centre/press-releases/heathrow-expansion-sends-clear-signal-britain-is-open-for-business>

⁸¹ <https://www.eef.org.uk/about-eef/media-news-and-insights/media-releases/2016/oct/eef-comment-on-heathrow-expansion>

⁸² <https://www.iod.com/news-campaigns/news/articles/Business-leaders-welcome-Airports-Commission-recommendations>

⁸³ The Airports Commission estimated capital costs at £9 billion for the Gatwick Second Runway scheme, £14.4 billion for the Heathrow Extended Northern Runway Scheme, and £17.6 billion for the Heathrow Northwest Runway scheme, not including surface access costs

⁸⁴ *Airports Commission: Final Report*, p270

3.46 The Airports Commission worked with the Civil Aviation Authority and NATS Holdings to review the operational and airspace implications of all three shortlisted schemes, including conducting fast-time simulation modelling of the proposed airspace routes. This work concluded that, while managing the expecting increase in air traffic safely for any scheme will be challenging, it should nevertheless be achievable given modernisation of airspace in the South East of England and taking advantage of new technologies – changes which will be necessary with or without expansion. The Airports Commission also asked the Health and Safety Laboratory to review the scale of increase in crash risk associated with each of the schemes. This review concluded that “the changes to the background crash rate are minimal, regardless of whether or not expansion takes place at the airports.”⁸⁵

Local environmental impacts

3.47 Decisions on airport capacity must rightly balance local, environmental and social considerations against the national and local benefits stemming from expansion. As set out above, in terms of economic and strategic benefits, expansion via the Heathrow Northwest Runway scheme best meets the need for additional capacity in the South East of England. However, set against these positive impacts, airport expansion can also have negative impacts. For example, all three schemes will have significant impacts on the environment and local communities.

3.48 The Appraisal of Sustainability presents an assessment of the local environmental impact of all three schemes. It shows that, while all three schemes are expected to have a negative effect on impacts such as air quality, noise and biodiversity, the Gatwick Second Runway scheme has a less adverse impact than either scheme at Heathrow. This is primarily because Gatwick Airport is in a more rural location, with fewer people impacted by the airport. Even so, as set out in the *Further Review and Sensitivities Report* in monetary terms, the environmental impacts of all three schemes are small when compared to the size of the benefits, or considered over the 60 year appraisal period. In addition, the Appraisal of Sustainability also sets out potential measures to mitigate these local impacts to ensure that legal limits will be met. As set out below, the Government believes this demonstrates how the commitment to ensure that local impacts of expansion will be mitigated satisfactorily can be met.

3.49 Heathrow Airport has committed to ensuring its landside airport-related traffic is no greater than today. In addition, the airport will be expected to achieve a public transport mode share of at least 50% by 2030, and at least 55% by 2040, for passengers.

3.50 The Government agrees with the evidence set out by the Airports Commission that expansion at Heathrow Airport is consistent with the UK’s climate change obligations.⁸⁶

3.51 The Heathrow Northwest Runway scheme will be accompanied by a package of measures to mitigate the impact of airport expansion on the environment and affected communities.⁸⁷ The Government agrees with the Airports Commission’s

⁸⁵ *Airports Commission: Final Report*, p243

⁸⁶ <https://www.gov.uk/government/publications/airport-expansion-dft-review-of-the-airports-commissions-final-report> *Review of the Airports Commission Final Report*, p19

⁸⁷ By way of comparison, the Government engaged Ernst & Young to prepare a report on the approaches taken by other international airports in addressing the local impacts of the airport - <https://www.gov.uk/government/publications/airport-expansion-global-comparison-of-airport-mitigation-measures>

conclusion that “to make expansion possible...a comprehensive package of accompanying measures [should be recommended to] make the airport’s expansion more acceptable to its local community, and to Londoners generally”.⁸⁸ This will include a highly valued night flight ban of six and a half hours between 11pm and 7am (with the exact start and finish times to be determined following consultation), and the offer of a predictable, though reduced, period of respite for local communities.

3.52 To mitigate environmental impacts, Heathrow Airport and Gatwick Airport both announced compensation packages (covering residential property acquisition, noise insulation, and other community measures like funding for schools), which stand at more than £1 billion at Heathrow Airport and more than £200 million at Gatwick Airport (over 15-20 years from 2020). Heathrow Airport’s package reflects the much greater number of people affected in the local area.

Heathrow Northwest Runway and Heathrow Extended Northern Runway

3.53 The Heathrow Extended Northern runway scheme has two advantages over the Heathrow Northwest Runway scheme: lower capital costs (£14.4 billion for the Extended Northern Runway scheme compared to £17.6 billion for the Northwest Runway scheme), and significantly fewer houses being demolished (242 rather than 783), as well as avoiding impacts on a number of commercial properties.

3.54 However, the Government made a preference for the Heathrow Northwest Runway based on a number of factors:

- Resilience;
- Respite from noise for local communities; and
- Deliverability.

3.55 The Heathrow Northwest Runway scheme would provide respite by altering the pattern of arrivals and departures across the runways over the course of the day to give communities breaks from noise. However, respite would decrease from one half to one third of the day. The Heathrow Extended Northern Runway scheme has much less potential for respite. It would use both runways for arrivals and departures for most of the day, although it may be able to ‘switch off’ one runway for a short time during non-peak periods with a corresponding reduction in capacity.⁸⁹

3.56 The Heathrow Northwest Runway scheme should provide greater resilience than the Heathrow Extended Northern Runway scheme because of the way the three separate runways could operate more flexibly when needed to reduce delays, and the less congested airfield. It delivers greater capacity (estimated on a like for like basis by the Airports Commission at 740,000 flights departing and arriving per annum compared to the Extended Northern Runway scheme at 700,000),⁹⁰ accordingly higher economic benefits, and a broader route network. It also provides greater space for commercial development, which could be used to enhance onsite freight capacity.

⁸⁸ *Airports Commission: Final Report*, p4

⁸⁹ *Airports Commission: Final Report*, pp180-184

⁹⁰ *Airports Commission: Final Report*, p29

3.57 The Airports Commission and the Civil Aviation Authority both assessed the Extended Northern Runway scheme to be deliverable.⁹¹ However, the Extended Northern Runway scheme has no direct global precedent. As such, there is greater uncertainty as to what measures may be required to ensure that the airport can operate safely, and what the impact of those measures may be, including the restriction on runway capacity.

Carbon emissions

3.58 Although not a differentiating factor between the three shortlisted schemes, the Government has considered the issue of carbon emissions, given the Government's commitment to tackle climate change, and its legal obligations under the Climate Change Act 2008.

3.59 The Airports Commission identified carbon impacts from expansion in four areas: a net increase in air travel; airside ground movements and airport operations; changes in travel patterns as a result of the scheme's surface access arrangements; and construction of new infrastructure. Emissions from air travel, specifically international flights, are by far the largest of these impacts.⁹²

3.60 To address uncertainties over the future policy treatment of international aviation emissions,⁹³ the Airports Commission used two carbon policy scenarios in its analysis.

3.61 The first was a 'carbon capped' scenario, in which emissions from the UK aviation sector are limited to the Committee on Climate Change's planning assumption for the sector of 37.5 million tonnes of carbon dioxide equivalent in 2050. The second was a 'carbon traded' scenario, in which emissions are traded as part of a global carbon market, allowing reductions to be made where they are most efficient across the global economy.

3.62 The Airports Commission then assessed whether the needs case could be met under each of these scenarios, that is whether expansion would still deliver the necessary improvements and provide benefits to passengers and the wider economy.

3.63 The Airports Commission concluded that any one of the three shortlisted schemes could be delivered within the UK's climate change obligations,⁹⁴ as well as showing that a mix of policy measures and technologies could be employed to meet the Committee of Climate Change's planning assumption.⁹⁵

3.64 Of the three shortlisted schemes, the Heathrow Northwest Runway scheme produces the highest carbon emissions in absolute terms. However, this is in part due to the greater additional connectivity provided by the scheme, and, in relation to the increase in emissions caused by expansion under any of the schemes, the differences between the schemes are small. Both of the Airports Commission's carbon policy scenarios incorporated measures to ensure that the increased

⁹¹ *Airports Commission: Final Report*, p236

⁹² Intra-UK flights account for approximately 6% of the total emissions from all flights departing UK airports. These emissions are included in the UK's carbon budgets

⁹³ https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/186683/aviation-and-climate-change-paper.pdf *Airports Commission: discussion paper 03: aviation and climate change*, pp12-16

⁹⁴ *Airports Commission: Final Report*, pp203-205

⁹⁵ <https://www.gov.uk/government/publications/airports-commission-final-report-economy-impacts> *Airports Commission: Economy: Carbon Policy Sensitivity Test*. This does not imply any Government position on future carbon policy

emissions from any of the shortlisted schemes were not additional overall either at the global level (in the carbon traded case) or at the UK level (in the carbon capped case).

- 3.65** The Airports Commission also showed that, in both carbon policy scenarios, the Heathrow Northwest Runway scheme would deliver significant benefits to passengers and the wider economy (such as lower fares, improved frequency and higher productivity), and would do so more quickly than the Gatwick Second Runway scheme. Both Heathrow schemes provide more passenger benefits by 2050 than the Gatwick Second Runway scheme.
- 3.66** The Government has considered the Airports Commission's conclusions, and agrees both that expansion via a Northwest Runway at Heathrow Airport (as its preferred scheme) can be delivered within the UK's carbon obligations, and that the scheme is the right choice on economic and strategic grounds regardless of the future regime to deal with emissions from international aviation.⁹⁶

Strategic environmental assessment

- 3.67** Strategic environmental assessments are required by the law. A strategic environmental assessment is set out in full in the Appraisal of Sustainability.⁹⁷ It demonstrates that airport expansion will attract additional air traffic, which impacts upon quality of life and wellbeing, in particular through noise, air quality, housing, community facilities, and access to nature and cultural heritage. Negative impacts upon quality of life were of a greater scale within the two Heathrow schemes and of lower magnitude for the Gatwick Second Runway scheme. However, when assessing against the objective of maximising economic benefits and improving competitiveness and employment, the Heathrow Northwest Runway scheme generates the most benefits, as well as producing the highest direct benefits to passengers.

Conclusion

- 3.68** This section summarises the factors the Government considered when evaluating each of the three schemes shortlisted by the Airports Commission against the needs case presented in chapter 2. As part of this, the Government identified where schemes could have negative impacts, for example on the local environment. It considered the predicted beneficial effects of the three schemes, particularly in relation to the needs case and economic considerations. It also assessed how the schemes could conform to wider Government strategic objectives and meet legal obligations, for example on air quality. Bringing these considerations together, the Government's decision on a preferred scheme balances this range of factors, enabling it to determine which scheme, overall, is the most effective and appropriate means of meeting the needs case.
- 3.69** The Appraisal of Sustainability provides an assessment of the schemes against a number of the factors considered in this chapter. It concludes that the Heathrow Northwest Runway scheme is best placed to maximise the economic benefits that the provision of additional airport capacity could deliver, although this scheme is likely to do so with the greatest negative impact on local communities. However, the Appraisal of Sustainability also identifies measures which can help to mitigate these

⁹⁶ *Further Review and Sensitivities Report*, p47

⁹⁷ <https://www.gov.uk/government/collections/heathrow-airport-expansion>

impacts, for example by reducing noise, ensure air quality legal limits are met, show how future carbon targets could be met, and assess future demand scenarios.

3.70 Building on this assessment, the Government has identified a number of attributes in the manner of strategic considerations, which it believes the preferred scheme is particularly likely to deliver. The Government has afforded particular weight to these:

- **Expansion via the Heathrow Northwest Runway scheme would provide the biggest boost to connectivity, particularly in terms of long haul flights.** This is important to a range of high value sectors across the economy in the UK which depend on air travel, as well as for air freight.
- **Expansion via the Heathrow Northwest Runway scheme would provide benefits to passengers and to the wider economy sooner than the other schemes.** This is regardless of the technical challenges to its delivery. It would also provide the greatest boost to local jobs.
- **Heathrow Airport is better connected to the rest of the UK by road and rail.** Heathrow Airport already has good road links via the M25, M4, M40 and M3, and rail links via the London Underground Piccadilly Line, Heathrow Connect and Heathrow Express. In the future, it will be connected to Crossrail, and linked to HS2 at Old Oak Common. The number of such links provides resilience.
- **The Heathrow Northwest Runway scheme delivers the greatest support for freight.** The plans for the scheme include a doubling of freight capacity at the airport. Heathrow Airport already handles more freight by value than all other UK airports combined, and twice as much as the UK's two largest container ports.

3.71 Taken together, benefits to passengers and the wider economy are substantial, even having regard to the proportionally greater environmental disbenefits estimated for the Heathrow Northwest Runway. Even though the preferred scheme's environmental disbenefits are larger than those of the Gatwick Second Runway scheme, when all benefits and disbenefits are considered together,⁹⁸ overall the Heathrow Northwest Runway scheme is considered to deliver the greatest net benefits to the UK.

3.72 A number of mitigation measures will need to be applied to reduce the impacts of the Heathrow Northwest Runway scheme felt by the local community and the environment. Airport expansion is also expected to be accompanied by an extensive and appropriate compensation package for affected parties. With these safeguards in place, the Government considers that the Heathrow Northwest Runway scheme delivers the greatest strategic and economic benefits, and is therefore the most effective and appropriate way of meeting the needs case.

⁹⁸ *Further Review and Sensitivities Report*, p39

4. Assessment principles

General principles of assessment

- 4.1** The statutory framework for deciding applications for development consent under the Planning Act 2008 is set out in the Airports NPS. This chapter of the Airports NPS sets out general policies in accordance with which applications relating to a Northwest Runway at Heathrow Airport are to be decided.
- 4.2** The Airports NPS covering the Heathrow Northwest Runway scheme establishes the needs case for that proposed development, provided it adheres to the detailed policies and protections set out in the Airports NPS, and the legal constraints contained within the Planning Act 2008. The statutory framework for deciding nationally significant infrastructure project applications where there is a relevant designated NPS is set out in Section 104 of the Planning Act 2008.⁹⁹
- 4.3** The Airports NPS applies to schemes at Heathrow Airport (in the area shown within the illustrative scheme boundary map at Annex A) that include a runway of at least 3,500m in length and that are capable of delivering additional passenger capacity of at least 260,000 air transport movements per annum, and associated infrastructure and surface access facilities. In particular, it also applies to the reconfiguration of terminal areas of Heathrow Airport shown on the illustrative masterplan at Annex B. The Secretary of State's policy in relation to other airport infrastructure in the South East of England is set out at paragraph 1.36 above.
- 4.4** In considering any proposed development, and in particular when weighing its adverse impacts against its benefits, the Examining Authority and the Secretary of State will take into account:
- Its potential benefits, including the facilitation of economic development (including job creation) and environmental improvement, and any long term or wider benefits; and
 - Its potential adverse impacts (including any longer term and cumulative adverse impacts) as well as any measures to avoid, reduce or compensate for any adverse impacts.
- 4.5** In this context, environmental, safety, social and economic benefits and adverse impacts should be considered at national, regional and local levels. These may be identified in the Airports NPS, or elsewhere. The Secretary of State will also have regard to the manner in which such benefits are secured, and the level of confidence in their delivery.
- 4.6** The National Networks NPS sets out the Government's policies to deliver development of nationally significant infrastructure projects on the national road and rail networks and strategic rail freight interchanges. It provides planning guidance for promoters of nationally significant infrastructure projects on the road and rail networks, and the basis for the examination by the Examining Authority and decisions by the Secretary of State.

⁹⁹ Planning Act 2008, Section 104 – decisions in cases where an NPS has effect

- 4.7** Where the applicant's proposals in relation to surface access meet the thresholds to qualify as nationally significant infrastructure projects under the Planning Act 2008, or is associated development under section 115 of the Planning Act 2008, the Secretary of State will consider those aspects by reference to both the National Networks NPS and the Airports NPS, as appropriate. To the extent that discrete aspects of the surface access proposals do not qualify as nationally significant and cannot be included in a development consent application as associated development (for example), the applicant will be expected to pursue or secure necessary consent(s) through the most appropriate alternative consenting regime. This might include, for example, the Town and Country Planning Act 1990, the Highways Act 1980, or the Transport and Works Act 1992, or a separate development consent application, promoted by a third party if need be.
- 4.8** The Secretary of State will consider any relevant nationally significant road and rail elements of the applicant's proposals in accordance with the National Networks NPS and with the Airports NPS. If there is conflict between the Airports NPS and other NPSs, the conflict should be resolved in favour of the NPS that has been most recently designated. The Airports NPS and the National Networks NPS may also be a material consideration in decision making on applications for road and rail schemes associated with or related to the preferred scheme that fall under the Town and Country Planning Act 1990, the Transport and Works Act 1992, or other legislation relating to planning. Whether, and to what extent, the Airports NPS and the National Networks NPS are a material consideration will be judged on a case by case basis by the relevant decision makers.
- 4.9** The Examining Authority should only recommend, and the Secretary of State will only impose, requirements in relation to a development consent, that are necessary, relevant to planning, relevant to the development to be consented, enforceable, precise, and reasonable in all other respects.¹⁰⁰ Guidance on the use of planning conditions or any successor to it should be taken into account where requirements are proposed.
- 4.10** Obligations under Section 106 of the Town and Country Planning Act 1990 should only be sought where they are necessary to make the development acceptable in planning terms, (including where necessary to ensure compliance with the Airports NPS), directly related to the proposed development, and fairly and reasonably related in scale and kind to the development.¹⁰¹

Scheme variation

- 4.11** While the Government has decided that a Northwest Runway at Heathrow Airport is its preferred scheme to deliver additional airport capacity (an illustrative masterplan is at Annex B of the Airports NPS), this does not limit variations resulting in the final scheme for which development consent is sought. To benefit from the full support of policy within the Airports NPS, any application(s) will have to fall within the boundaries and parameters set out in the Airports NPS. However, the form of a development for which an application is made is a matter for the applicant. The Airports NPS does not prejudice the viability or merits of any particular application, detailed scheme or applicant. It governs the location, limits and nature of such schemes. It will be for an Examining Authority, and ultimately the Secretary of State,

¹⁰⁰ National Planning Policy Framework, paragraph 206

¹⁰¹ Town and Country Planning Act 1990, Section 106; Regulation 122(2) Community Infrastructure Levy Regulations 2010; National Planning Policy Framework, paragraph 204

to determine whether any future application is compliant with the Airports NPS, meets the need for additional capacity, and is of benefit to the UK, whilst minimising any harm caused.

Environmental Impact Assessment

- 4.12** All proposals for projects that are subject to the European Union's Environmental Impact Assessment Directive,¹⁰² and are likely to have significant effects on the environment, must be accompanied by an environmental statement, describing the aspects of the environment likely to be significantly affected by the project.¹⁰³ The Directive specifically requires an Environmental Impact Assessment to identify, describe and assess effects on human beings, fauna and flora, soil, water, air, climate, the landscape, material assets and cultural heritage, and the interaction between them. Schedule 4 of the Infrastructure Planning (Environmental Impact Assessment) Regulations 2009 sets out the information that should be included in the environmental statement. This includes a description of the likely significant effects of the proposed project on the environment, covering the direct effects and any indirect, secondary, cumulative, short-, medium- and long-term, permanent and temporary, positive and negative effects of the project, and also the measures envisaged for avoiding or mitigating significant adverse effects.
- 4.13** When examining a proposal to which the Airports NPS applies, the Examining Authority should ensure that likely significant effects at all stages of the project have been adequately assessed. Any requests for environmental information not included in the original environmental statement should be proportionate and focus only on likely significant effects. In the Airports NPS, the terms 'effects', 'impacts' or 'benefits' should accordingly be understood to mean likely significant effects, impacts or benefits.
- 4.14** When considering significant cumulative effects, any environmental statement should provide information on how the effects of an applicant's proposal would combine and interact with the effects of other development (including projects for which consent has been granted, as well as those already in existence if they are not part of the baseline).¹⁰⁴
- 4.15** The Examining Authority should consider how significant cumulative effects, and the interrelationship between effects, might as a whole affect the environment, even though they may be acceptable when considered on an individual basis or with mitigation measures in place.
- 4.16** In some instances it may not be possible at the time of the application for development consent for all aspects of the proposal to have been settled in precise detail. Where this is the case, the applicant should explain in its application which elements of the proposal have yet to be finalised, and the reasons why this is the case.

¹⁰² Directive 2014/52/EU of the European Parliament and of the Council amending Directive 2011/92/EU on the assessment of the effects of certain public and private projects on the environment. The amendments to Directive 2011/92/EU made by Directive 2014/52/EU have not yet been transposed into domestic legislation. They are required to be transposed by 16 May 2017. It is currently proposed to transpose the amendments by amending the Infrastructure Planning (Environmental Impact Assessment) Regulations 2009. Once transposition has been effected, the requirements of the transposing legislation will need to be satisfied

¹⁰³ <http://www.legislation.gov.uk/uksi/2009/2263/contents/made>

¹⁰⁴ The applicant should refer to the Planning Inspectorate's advice on assessing cumulative effects <https://infrastructure.planninginspectorate.gov.uk/wp-content/uploads/2015/12/Advice-note-17V4.pdf>

- 4.17** Effort should be made to refine the detail of the proposed development. However, where details are still to be finalised, the applicant is advised to set out in the environmental statement the relevant design parameters used for the assessment. The environmental statement should explain, with reference to the parameters, what the maximum extent of the proposed development may be (for example in terms of site area), and assess the potential adverse effects which the project could have, to ensure that the impacts of the project as it may be constructed have been properly assessed.
- 4.18** Should the Secretary of State decide to grant development consent for an application where details are still to be finalised, this will need to be reflected in appropriate development consent requirements in the development consent order. It may be the case that development consent is granted for a proposal and, at a later stage, the applicant wishes (for technical or commercial reasons) to construct it in such a way that it is outside the terms of what has been consented, for example because its extent will be greater than has been provided for in terms of the consent. In this situation, it will be necessary for the applicant to apply for a change to be made to the development consent provided under the Planning Act 2008.

Habitats Regulations Assessment

- 4.19** Prior to granting development consent, the Secretary of State as competent authority must have regard to the duties under the Conservation of Habitats and Species Regulations 2010.¹⁰⁵ Under these regulations, if the competent authority considers that the proposed development is likely to have a significant effect on a European site or a European offshore marine site (either alone or in combination with other plans or projects), and is not connected with or necessary to the management of that site, it must make an Appropriate Assessment of the implications for the site in view of the site's conservation objectives.¹⁰⁶ ¹⁰⁷ The applicant should also refer to the Airports NPS sections on biodiversity, land use, and air quality. The applicant should seek the advice of Natural England to ensure that impacts on European sites are adequately considered.
- 4.20** The applicant is required to provide sufficient information with their applications for development consent to enable the Secretary of State to carry out an Appropriate Assessment if required. This information should include details of any measures that are proposed to minimise or avoid any likely significant effects on a European site. The information provided may also assist the Secretary of State in concluding that an Appropriate Assessment is not required because significant effects on European sites are sufficiently unlikely that they can be excluded. If it is concluded there is likely to be a significant effect, or such effects cannot be ruled out (alone or in combination), an Appropriate Assessment is required.
- 4.21** If an Appropriate Assessment for a proposed airport development concludes that it is not possible to rule out an adverse effect on the integrity of a European site, it is possible to apply for derogation from the requirements of the Habitats Directive, subject to the proposal meeting three tests. These tests are that no feasible, less

¹⁰⁵ <http://www.legislation.gov.uk/ukxi/2010/490/regulation/41/made>

¹⁰⁶ This includes candidate Special Areas of Conservation, Sites of Community Importance, Special Areas of Conservation and Special Protection Areas, and is defined in Regulation 8 of the Conservation of Habitats and Species Regulations 2010

¹⁰⁷ Directive 2011/92/EU was amended in 2014 by Directive 2014/52/EU. As amended, Article 2(3) of the Directive provides that, where an obligation to assess environmental effects arises simultaneously from the EIA Directive and the Habitats Directive (Directive 92/43/EU) and/or the Wild Birds Directive (Directive 2009/147/EC), Member States "shall, where appropriate, ensure that coordinated and/or joint procedures" are provided for

damaging alternatives should exist, that there are imperative reasons of overriding public interest for the proposal going ahead, and that adequate and timely compensation measures will be put in place to ensure the overall coherence of the network of protected sites is maintained.

- 4.22** Where a development may negatively affect any priority natural habitat or species¹⁰⁸ on a site for which they are a protected feature, any imperative reasons of overriding public interest case would need to be established solely on one or more of the grounds relating to human health, public safety or beneficial consequences of primary importance to the environment.

Equalities

- 4.23** The Airports Commission's stated objective on equalities was "to reduce or avoid disproportionate impacts on any social group".¹⁰⁹ At consultation stage, the Airports Commission carried out a high level equality impact assessment.
- 4.24** The Appraisal of Sustainability to the Airports NPS sets out an assessment of equalities impacts, informed by the work of the Airports Commission. The Airports Commission was clear that its assessment was based upon current scheme design, and that a more detailed equalities impact assessment would likely be necessary as design, supporting measures and operational plans were developed.
- 4.25** The Airports Commission's assessment identified different types of equalities impacts for each of its shortlisted schemes, but no substantial difference in the overall extent of equalities impacts. The Airports Commission's assessment, and the assessment carried out for the Appraisal of Sustainability that informs the Airports NPS, both concluded that negative equalities impacts could be well mitigated through good design and operation, and supporting measures and plans.
- 4.26** The Department for Transport has reviewed the Airports Commission's work, informed by the equality impact assessment carried out as part of the Appraisal of Sustainability. The Government is satisfied that the scope of the Airports Commission's work was appropriate at this stage of scheme development, that the Airports Commission's approach was consistent with the Equality Act 2010, and that its conclusion is consistent with the evidence produced.
- 4.27** For any application to be considered compliant with the Airports NPS, it must be accompanied by a project level equalities impact assessment examining the potential impact of that project on groups of people with protected characteristics. In order to benefit from the support of the Airports NPS, the results of that project level equalities impact assessment must be within the legal limits and parameters of acceptability outlined in the Appraisal of Sustainability that informs the Airports NPS.

¹⁰⁸ As listed in Annex I and II of the Habitats Directive

¹⁰⁹ *Airports Commission: Appraisal Framework*, p98

Alternative requirements

4.28 The applicant should comply with all legal requirements and any policy requirements set out in the Airports NPS on the assessment of alternatives. In particular:

- The Environmental Impact Assessment Directive requires projects with significant environmental effects to include a description of the reasonable alternatives studied by the applicant which are relevant to the proposed development and its specific characteristics, and an indication of the main reasons for the option chosen, taking into account the significant effects of the project on the environmental effects;
- There may also be other specific legal requirements for the consideration of alternatives, for example, under the Habitats and Water Framework Directives; and
- There may also be policy requirements in the Airports NPS, for example the flood risk sequential test.

Criteria for 'good design' for airports infrastructure

4.29 The applicant should include design as an integral consideration from the outset of a proposal.

4.30 Visual appearance should be an important factor in considering the scheme design, as well as functionality, fitness for purpose, sustainability and cost. Applying 'good design' to airports projects should therefore produce sustainable infrastructure sensitive to place, efficient in the use of natural resources and energy used in their construction, and matched by an appearance that demonstrates good aesthetics as far as possible.

4.31 A good design should meet the principal objectives of the scheme by eliminating or substantially mitigating the identified problems by improving operational conditions and simultaneously minimising adverse impacts. It should also mitigate any existing adverse impacts wherever possible, for example in relation to safety or the environment. A good design will also be one that sustains the improvements to operational efficiency for as many years as is practicable, taking into account capital cost, economics and environmental impacts.

4.32 Scheme design will be an important and relevant consideration in decision making. The Secretary of State will need to be satisfied that projects are sustainable and as aesthetically sensitive, durable, adaptable and resilient as they can reasonably be, having regard to regulatory and other constraints and including accounting for natural hazards such as flooding.

4.33 The scheme should take into account, as far as possible, both functionality, including fitness for purpose and sustainability, and aesthetics, including the scheme's contribution to the quality of the area in which it would be located. The applicant will want to consider the role of technology in delivering new airports projects. Professional, independent advice on the design aspects of a proposal should be undertaken to ensure good design principles are embedded into infrastructure proposals.

- 4.34** There may be opportunities for the applicant to demonstrate good design in terms of siting and design measures relative to existing landscape and historical character and function, landscape permeability, landform, and vegetation.
- 4.35** The applicant should be able to demonstrate in its application how the design process was conducted and how the proposed design evolved. Where a number of different designs were considered, the applicant should set out the reasons why the favoured choice has been selected. The Examining Authority and Secretary of State will take into account the ultimate purpose of the infrastructure and bear in mind the operational, safety and security requirements which the design has to satisfy.

Costs

- 4.36** The applicant should demonstrate in its application that its scheme is cost-efficient and sustainable, and seeks to minimise costs to airlines, passengers and freight owners over its lifetime.

Climate change adaptation

- 4.37** The Planning Act 2008 requires the Secretary of State to have regard to the desirability of mitigating, and adapting to, climate change in designating an NPS.¹¹⁰
- 4.38** This section sets out how the Airports NPS puts Government policy on climate change adaptation into practice, and in particular how the applicant and the Secretary of State will take into account the effects of climate change when developing and considering airports infrastructure applications. Climate change mitigation is essential to minimise the most dangerous impacts of climate change, as previous global greenhouse gas emissions will already mean some degree of continued climate change for at least the next 30 years. Climate change is likely to mean that the UK will experience on average hotter, drier summers and warmer, wetter winters. There is potentially an increased risk of flooding, drought, heatwaves, intense rainfall events and other extreme events such as storms and wildfires, as well as rising sea levels.
- 4.39** Adaptation is therefore necessary to deal with the potential impacts of these changes that are already happening. New development should be planned to avoid increased vulnerability to the range of impacts arising from climate change. When new development is brought forward in areas which are vulnerable, care should be taken to ensure that risks can be managed through suitable adaptation measures, including through the provision of green infrastructure.
- 4.40** The Government has published a set of UK Climate Projections, and every five years prepares a statutory UK Climate Change Risk Assessment and National Adaptation Programme.¹¹¹ In addition, the Climate Change Act 2008 adaptation reporting power has been used by Government to invite reporting authorities (a defined list of public bodies and statutory undertakers, including airports) to consider the impact on them of current and predicted climate change, and to report on progress implementing adaptation actions.¹¹² Successive strategies for adaptation reporting will be laid alongside five yearly updates to the National Adaptation Programme.

¹¹⁰ Planning Act 2008, Section 10(3)(a)

¹¹¹ Climate Change Act, Section 58

¹¹² Climate Change Act, Section 62

- 4.41** New airports infrastructure will typically be a long-term investment which will need to remain operational over many decades, in the face of a changing climate. Consequently, the applicant must consider the impacts of climate change when planning design, build and operation. Any accompanying environmental statement should set out how the proposal will take account of the projected impacts of climate change.
- 4.42** Detailed consideration must be given to the range of potential impacts of climate change using the latest UK Climate Projections available at the time, and to ensuring any environmental statement that is prepared identifies appropriate mitigation or adaptation measures. This should cover the estimated lifetime of the new infrastructure. Should a new set of UK Climate Projections become available after the preparation of any environmental statement, the Examining Authority should consider whether it needs to request additional information from the applicant.
- 4.43** Where transport infrastructure has safety-critical elements, and the design life of the asset is 60 years or greater, the applicant should apply the UK Climate Projections 2009 high emissions scenario (high impact, low likelihood) against the 2080 projections at the 50% probability level.
- 4.44** The applicant should demonstrate that there are no critical features of infrastructure design which may be seriously affected by more radical changes to the climate beyond those projected in the latest set of UK Climate Projections. Any potential critical features should be assessed, taking account of the latest credible scientific evidence on, for example, sea level rise, and on the basis that necessary action can be taken to ensure the operation of the infrastructure over its estimated lifetime through potential further mitigation or adaptation.
- 4.45** Any adaptation measures should be based on the latest set of UK Climate Projections,¹¹³ the most recent UK Climate Change Risk Assessment,¹¹⁴ consultation with statutory consultation bodies, and any other appropriate climate projection data. Any adaptation measures must themselves also be assessed as part of any Environmental Impact Assessment and included in the environmental statement, which should set out how and where such measures are proposed to be secured.
- 4.46** If any proposed adaptation measures themselves give rise to consequential impacts, the Secretary of State will consider the impact in relation to the application as a whole and the assessment principles set out in the Airports NPS.
- 4.47** Adaptation measures can be required to be implemented at the time of construction where necessary and appropriate to do so.
- 4.48** Where adaptation measures are necessary to deal with the impact of climate change, and that measure would have an adverse effect on other aspects of the project or the surrounding environment, the Secretary of State may consider requiring the applicant to ensure that the adaptation measure could be implemented should the need arise, rather than at the outset of the development.

¹¹³ <http://ukclimateprojections.metoffice.gov.uk/>

¹¹⁴ <https://www.gov.uk/government/publications/uk-climate-change-risk-assessment-government-report>

Pollution control and other environmental protection regimes

- 4.49** Issues relating to discharges or emissions from a proposed project which affect air quality, water quality, land quality or the marine environment, or which include noise, may be subject to separate regulation under the pollution control framework or other consenting and licensing regimes. Relevant permissions will need to be obtained for any activities within the development that are regulated under those regimes before the activities can be operated.
- 4.50** In deciding an application, the Secretary of State should focus on whether the development is an acceptable use of the land, and on the impacts of that use, rather than the control of processes, emissions or discharges themselves. The Secretary of State should assess the potential impacts of processes, emissions or discharges to inform decision making, but should work on the assumption that, in terms of the control and enforcement, the relevant pollution control regime will be properly applied and enforced. Decisions under the Planning Act 2008 should complement but not duplicate those taken under the relevant pollution control regime.
- 4.51** These considerations apply in an analogous way to other environmental regulatory regimes, including those on land drainage, flood defence, and biodiversity.
- 4.52** When an applicant applies for an environmental permit, the relevant regulator (in this case the Environment Agency) requires that the application demonstrates that processes are in place to meet all relevant environmental permit requirements. In examining the impacts of the project, the Examining Authority may wish to seek the views of the regulator on the scope of the permit or consent and any management plans (such as any produced for noise) that would be included in an environmental permit application.
- 4.53** The applicant should begin pre-application discussions with the Environment Agency as early as possible. It is expected, however, that an applicant will have first considered the requirements as a starting point for discussion. Some consents require a significant amount of preparation: as an example, the Environment Agency strongly recommends the applicant should start work towards submitting the permit application at least six months prior to the submission of a development consent order application, where it wishes to parallel track the applications. This will help ensure that applications take account of all relevant environmental considerations and that the relevant regulators are able to provide timely advice and assurance to the Examining Authority and the Secretary of State.
- 4.54** The Secretary of State will be satisfied that development consent can be granted taking full account of environmental impacts. This will require close cooperation with the Environment Agency, the local planning authority and pollution control authority, and other relevant bodies, such as Natural England, Drainage Boards, and water and sewerage undertakers, to ensure that, in the case of potentially polluting developments:
- The relevant pollution control authority is satisfied that potential releases can be adequately regulated under the pollution control framework; and
 - The effects of existing sources of pollution in and around the project are not such that the cumulative effects of pollution when the proposed development is added would make that development unacceptable, particularly in relation to statutory environmental quality limits.

4.55 The Secretary of State should not refuse consent on the basis of regulated impacts unless there is good reason to believe that any relevant necessary operational pollution control permits or licences or other consents will not subsequently be granted.

Common law nuisance and statutory nuisance

4.56 Section 158 of the Planning Act 2008 provides a defence of statutory authority in civil or criminal proceedings for nuisance. Such a defence is also available in respect of anything else authorised by an order granting development consent. The defence does not extinguish the local authority's duties under Part III of the Environmental Protection Act 1990 to inspect its area and take reasonable steps to investigate complaints of statutory nuisance and to serve an abatement notice where satisfied of its existence, likely occurrence or recurrence.

4.57 During the examination of an application for development consent for infrastructure covered under the Airports NPS, possible sources of nuisance under Section 79(1) of the Environmental Protection Act 1990 and under sections 76 and 77 of the Civil Aviation Act 1982 should be considered by the Examining Authority. The Examining Authority should also consider how those sources of nuisance might be mitigated or limited so they can recommend appropriate requirements that the Secretary of State might include in any subsequent order granting development consent.

4.58 The defence of statutory authority is subject to any contrary provision made by the Secretary of State in any particular case by an order granting development consent.¹¹⁵

Security considerations

4.59 National security considerations apply across all national infrastructure sectors. The Department for Transport acts as the sector sponsor department for the aviation sector, and in this capacity has lead responsibility for security matters and for directing the security approach to be taken, working with the Civil Aviation Authority. The Department for Transport works closely with Government agencies, including the Centre for the Protection of National Infrastructure, to reduce the vulnerability of the aviation sector to terrorism and other national security threats.

4.60 Government policy is to ensure that, where possible, proportionate protective security measures are designed into new infrastructure projects at an early stage in the project development. The nature of the aviation sector as a target for terrorism means that security considerations will likely apply in the case of the infrastructure project for which development consent may be sought under the Airports NPS.

4.61 Where national security implications have been identified, the applicant should consult with relevant security experts from the Centre for the Protection of National Infrastructure and the Department for Transport to ensure that physical, procedural and personnel security measures have been adequately considered in the design process, and that adequate consideration has been given to the management of security risks. If the Centre for the Protection of National Infrastructure is satisfied that security issues have been adequately addressed in the project when the application is submitted, it will provide confirmation of this to the Secretary of State,

¹¹⁵ Planning Act 2008, Section 158(3)

and the Examining Authority should not need to give any further consideration to the details of the security measures during the examination.

- 4.62** The applicant should only include such security-related information in the application as is necessary to enable the Examining Authority to examine the development consent issues and make a properly informed recommendation on the application.
- 4.63** In exceptional cases where examination of an application would involve public disclosure of information about defence or national security which would not be in the national interest, the Secretary of State can intervene and may appoint an examiner to consider evidence in closed session.
- 4.64** Air transport is one of the safest forms of travel, and the UK is a world leader in aviation safety. Maintaining and improving that record, while ensuring that regulation is proportionate and cost-effective, remains of primary importance to the UK. Since 2003, rules and standards for aviation safety in Europe have increasingly been set by the European Aviation Safety Agency. The UK will continue to work closely with European Aviation Safety Agency to ensure that a high and uniform level of civil aviation safety is maintained across Europe. The preferred scheme at Heathrow must comply with the UK's civil aviation safety regime, regulated by the Civil Aviation Authority.
- 4.65** There remains a considerable threat to aviation security from terrorism. The UK meets this threat with a multi-layered aviation security regime built on intelligence, effective risk management and robust, proportionate measures, brought together under the National Aviation Security Programme. The regulations governing aviation security in the UK have their basis in UK and European law, and are enforced by the Civil Aviation Authority on behalf of the Secretary of State. The design and operation of the Heathrow Northwest Runway scheme, to which the Airports NPS relates, must comply with aviation security regulations and guidance in the same way as existing airports. There may also be other security considerations linked to any application for development consent under the Airports NPS.

Health

- 4.66** The construction and use of airports infrastructure has the potential to affect people's health, wellbeing and quality of life. Infrastructure can have direct impacts on health because of traffic, noise, vibration, air quality and emissions, light pollution, community severance, dust, odour, polluting water, hazardous waste and pests.
- 4.67** New or enhanced airports infrastructure may also have indirect health impacts, for example if they affect access to key public services, local transport, opportunities for cycling and walking, or the use of open space for recreation and physical activity. It should also be noted, however, that the increased employment stemming from airport expansion may have indirect positive health impacts.
- 4.68** As described elsewhere in the Airports NPS, where the proposed project has likely significant environmental impacts that would have an effect on human beings, any environmental statement should identify and set out the assessment of any likely significant health impacts.

4.69 The applicant should identify measures to avoid, reduce or compensate for adverse health impacts as appropriate. These impacts may affect people simultaneously, so the applicant, the Examining Authority and the Secretary of State (in determining an application for development consent) should consider the cumulative impact on health.

Accessibility

4.70 The Government is committed to creating a more accessible and inclusive transport network that provides a range of opportunities and choices for all people to connect with jobs, services and leisure opportunities. This commitment extends to all the users of new airports infrastructure, and to the associated surface access facilities.

4.71 In 2008, the Department for Transport published *Access to Air Travel for Disabled Persons and Persons with Reduced Mobility – Code of Practice*,¹¹⁶ which sets out the legal framework and gives advice and information. Since then, the Equality Act 2010 has updated and extended the legal framework for accessibility.¹¹⁷

4.72 In accordance with legal and best practice requirements on accessibility:

- The Government requires the applicant to include clear details of how plans will improve access on and around the airport by designing and delivering schemes (both new construction and upgrade or refurbishment) that address the accessibility needs of all those who use, or are affected by, surface access infrastructure, including those with physical and/or mental impairments as well as older users. Every opportunity to deliver improvements in accessibility on and to the existing national road network should also be taken;
- The Government will continue to work to ensure that all bus and train fleets comply with legal access standards by 2020, and to improve rail station access for those with impairments in accordance with legislation and best practice; and
- The car will continue to play an important role, providing disabled people with independence where other forms of transport are not accessible or available. Easy access and car parking provision at the airports is essential to this goal and must meet standards set down in guidance (such as the Department for Transport's *Inclusive Mobility*).¹¹⁸

¹¹⁶ <http://webarchive.nationalarchives.gov.uk/+/http://www.dft.gov.uk/transportforyou/access/aviationshipping/accesstoairtravelfordisabled.pdf>

¹¹⁷ <http://www.legislation.gov.uk/ukpga/2010/15/contents>

¹¹⁸ <https://www.gov.uk/government/publications/inclusive-mobility>

5. Specific impacts and requirements

Introduction

- 5.1** This chapter focuses on the potential impacts of the Heathrow Northwest Runway scheme, the assessments that the applicant will need to carry out, and the specific planning requirements that the applicant will need to meet, in order to gain development consent.
- 5.2** In its Final Report, the Airports Commission recommended that “to make expansion possible...a comprehensive package of accompanying measures [should be recommended to] make the airport’s expansion more acceptable to its local community, and to Londoners generally”.¹¹⁹
- 5.3** When the Government stated in December 2015 that it agreed with the Airports Commission that one additional runway was required in the South East of England by 2030, it also emphasised the importance of securing the best possible deal for communities affected by the preferred scheme to increase airport capacity. The Government undertook further work, including through engagement with all three shortlisted scheme promoters, during 2016 to develop a package of location-specific measures to mitigate the impacts of increased capacity, and to enhance beneficial effects.
- 5.4** The Government announced on 25 October 2016 that its preferred scheme to deliver additional airport capacity in the South East of England was a Northwest Runway at Heathrow Airport. Alongside this, it set out a number of supporting measures that any application for development consent will be required to demonstrate and secure in order to mitigate the impacts of expansion on the environment and affected communities.

Surface access

Introduction

- 5.5** The Government’s objective for surface access is to ensure that access to the airport by road, rail and public transport is high quality, efficient and reliable for both passengers and airport workers who use transport on a daily basis. The Government also wishes to see the number of journeys made to airports by sustainable modes of transport maximised as much as possible. This should be delivered in a way that minimises congestion and environmental impacts, for example on air quality.
- 5.6** A Northwest Runway at Heathrow Airport will have a range of impacts on local and national transport networks serving the airport, during both the construction and operational phases. Passengers and airport workers share the routes to and from the airport with other road and rail users, including commuters, leisure travellers and business users. Without effective mitigation, expansion is likely to increase congestion on existing routes and have environmental impacts such as increased noise and emissions.

¹¹⁹ *Airports Commission: Final Report*, p4

- 5.7** It is important that improvements are made to Heathrow Airport's transport links to be able to support the increased numbers of people who will need to access the expanded airport, should development consent be granted.

Applicant's assessment

- 5.8** The applicant must prepare an airport surface access strategy in conjunction with its Airport Transport Forum, in accordance with the guidance contained in the Aviation Policy Framework.¹²⁰ The airport surface access strategy must reflect the needs of the scheme contained in the application for development consent, over its development, implementation and operational phases. The strategy should reference the role of surface transport in relation to air quality and carbon. The airport surface access strategy must contain specific targets for maximising the proportion of journeys made to the airport by public transport, cycling or walking. The strategy should also contain actions, policies and defined performance indicators for delivering against targets, and should include a mechanism whereby the Airport Transport Forum can oversee implementation of the strategy and monitor progress against targets alongside the implementation and operation of the preferred scheme.
- 5.9** The applicant should assess the implications of airport expansion on surface access network capacity using the WebTAG methodology stipulated in the Department for Transport guidance,¹²¹ or any successor to such methodology. The applicant should consult Highways England, Network Rail and highway and transport authorities, as appropriate, on the assessment and proposed mitigation measures. The assessment should distinguish between the construction and operational project stages for the development comprised in the application.
- 5.10** The applicant should also consult with Highways England, Network Rail and relevant highway and transport authorities, and transport operators, to understand the target completion dates of any third party or external schemes included in existing rail, road or other transport investment plans. It will need to assess the effects of the preferred scheme as influenced by such schemes and plans. Such consultation and assessment, both of third party schemes on which the preferred scheme depends, and others which interact with it, all of which may be subject to their own planning, funding and approval processes, must be understood in terms of implications of the timings for the applicant's own surface access proposals.
- 5.11** The applicant will need to demonstrate that Highways England, Network Rail and relevant highway and transport authorities and transport providers have been consulted, and are content with the deliverability of any new transport schemes or other changes required to existing links to allow expansion within the timescales required for the preferred scheme as a whole. This includes changes to the M25 to allow a new runway to cross the motorway, local road diversions, and improvements including the diversion of the A4 and A3044, and on-airport station works and safeguarding.
- 5.12** For schemes and related surface access proposals or other works impacting on the strategic road network, the applicant should have regard to DfT Circular 02/2013, *The Strategic Road Network and the delivery of sustainable development*¹²² (or

¹²⁰ <https://www.gov.uk/government/publications/aviation-policy-framework>, paragraphs 4.20-4.21

¹²¹ <https://www.gov.uk/guidance/transport-analysis-guidance-webtag>

¹²² <https://www.gov.uk/government/publications/strategic-road-network-and-the-delivery-of-sustainable-development>

prevailing policy), and the National Networks NPS. This sets out the way in which the highway authority for the strategic road network will engage with communities and the development industry to deliver sustainable development and economic growth, whilst safeguarding the primary function and purpose of the network.

- 5.13** The surface access systems and proposed airport infrastructure may have the potential to result in severance in some locations. Where appropriate, the applicant should seek to deliver improvements that reduce community severance and improve accessibility.

Mitigation

- 5.14** In its application, the applicant should set out the mitigation measures that it considers are required to minimise and mitigate the effect of expansion on existing surface access arrangements.
- 5.15** The applicant should demonstrate in its assessment that the proposed surface access strategy will support the additional transport requirements generated by airport expansion. This should be appropriately secured.
- 5.16** Any application for development consent and accompanying airport surface access strategy must include details of how the applicant will maximise the proportion of journeys made to the airport by public transport, cycling and walking to achieve a public transport mode share of at least 50% by 2030, and at least 55% by 2040 for passengers. The applicant should also include details of how it will achieve a 25% reduction from the current baseline of all staff car trips by 2030, and a reduction of 50% by 2040 from 2017 levels.¹²³
- 5.17** The applicant should commit to annual public reporting on performance against these specific targets. The airport surface access strategy should consider measures and incentives which could help to manage demand by car users travelling to and from the airport, as well as physical infrastructure interventions, having at all times due regard to the effect of its strategy on the surrounding area and transport networks. These measures could be used to help achieve mode share targets and should be considered in conjunction with measures to mitigate air quality impacts as described in the Airports NPS.
- 5.18** The Government expects the applicant to secure the upgrading or enhancing of road, rail or other transport networks or services which are physically needed to be completed to enable the Northwest Runway to operate. This includes works to the M25, local road diversions and improvements including the diversion of the A4 and A3044, and on-airport station works and safeguarding. Where a surface transport scheme is not solely required to deliver airport capacity and has a wider range of beneficiaries, the Government, along with relevant stakeholders, will consider the need for a public funding contribution alongside an appropriate contribution from the airport on a case by case basis.
- 5.19** The Government recognises that there may be some works which may not be required at the time the additional runway opens, but will be needed as the additional capacity becomes fully utilised. The same principle applies that, where a transport scheme is not solely required to deliver airport capacity, the Government,

¹²³ These mode share targets are derived from *Heathrow Airport Ltd. Statement of Principles*, part 5, paragraph 1.6 <https://www.gov.uk/government/publications/heathrow-airport-limited-statement-of-principles>

along with relevant stakeholders, will consider the need for a public funding contribution alongside an appropriate contribution from the airport on a case by case basis.

Decision making

- 5.20** The applicant's surface access proposals will give rise to impacts on the existing and surrounding transport infrastructure. The Secretary of State will consider whether the applicant has taken all reasonable steps to mitigate these impacts. Where the proposed mitigation measures are insufficient to effectively offset or reduce the impact of expansion on the transport network, the Secretary of State will impose requirements on the applicant to accept requirements and / or obligations to fund infrastructure or implement other measures to mitigate the adverse impacts.
- 5.21** Provided the applicant is willing to commit to transport planning obligations to satisfactorily mitigate transport impacts identified in the transport assessment (including environment and social impacts), with costs being considered in accordance with the Department for Transport's policy on the funding of surface access schemes, development consent should not be withheld on surface access grounds.

Air quality

Introduction

- 5.22** Increases in emissions of pollutants during the construction or operational phases of airport projects consented under the Airports NPS could result in the worsening of local air quality. Increased emissions can contribute to adverse impacts on human health and on the natural environment.
- 5.23** The European Union has established common, health-based and ecosystem based ambient concentration limit values for the main pollutants in the Ambient Air Quality Directive (2008/50/EU) ('the Air Quality Directive'),¹²⁴ which member states are required to meet by specified dates.
- 5.24** Where compliance by those dates has not been achieved, the member state is required to put in place an action plan showing how the period of exceedance in each non-compliant area will be kept as short as possible. In December 2015, the UK submitted its national air quality plan for nitrogen dioxide, including a zonal plan for Greater London and the South East, for the approval of the European Commission.¹²⁵
- 5.25** In November 2016 the High Court ordered the Government to produce a modified air quality plan that delivers compliance in the shortest possible time. The Government will publish and notify to the European Commission a final, modified air quality plan by 31 July 2017. The 2015 national air quality plan will remain in force until the modified plan is adopted.
- 5.26** Other relevant legislation includes the fourth daughter Air Quality Directive (2004/107/EC),¹²⁶ which sets targets for levels in outdoor air of certain toxic heavy metals and polycyclic aromatic hydrocarbons, and the National Emission Ceilings

¹²⁴ The Ambient Air Quality Directive (2008/50/EU) was brought into law in England through the Air Quality Standards Regulations 2010

¹²⁵ <https://www.gov.uk/government/publications/air-quality-in-the-uk-plan-to-reduce-nitrogen-dioxide-emissions>

¹²⁶ Directive 2004/107/EC of the European Parliament and of the Council of 15 December 2004 relating to arsenic, cadmium, mercury, nickel and polycyclic aromatic hydrocarbons in ambient air. This was brought into law in England through the Air Quality Standards Regulations 2010

Directive (2001/81/EC),¹²⁷ which sets national emission limits for a range of atmospheric pollutants.

- 5.27** Air quality impacts are generated by all types of infrastructure development to varying degrees, and the geographical extent and distribution can cover a large area. At Heathrow Airport in 2013, aircraft movements were modelled to have contributed 14.3% on average to local levels of NO_x on nearby areas. Road transport, by comparison, accounted for 50.8% of NO_x emissions in the same areas. Off-road transport and mobile machinery (a category which would include airside vehicles) contributed 5.2%.
- 5.28** The Airports Commission identified (and in some cases quantified the impact of) a number of measures that would help mitigate any negative impacts on air quality.¹²⁸ In addition, for the Heathrow Northwest Runway scheme, the Airports Commission recommended the following supporting measures:
- That Heathrow Airport should be held to performance targets to increase the percentage of employees and passengers accessing the airport by public transport; and
 - That the introduction of a congestion or access charge for road vehicles should be considered.
- 5.29** The Airports Commission undertook extensive analysis on air quality and concluded that expansion could take place within legal requirements (including in a high demand growth scenario). The Department for Transport conducted a study of the implications of the Government's 2015 national air quality plan on the conclusions of the Airports Commission's air quality assessment.¹²⁹
- 5.30** Since this work was completed in June 2016, updated international evidence on vehicle emission forecasts was published at the end of September 2016. The Department for Transport has conducted further analysis to assess the impact that this updated evidence base would have on compliance with EU limit values of expansion options at Heathrow Airport and Gatwick Airport. The work has helped inform the Government's view that, with a suitable package of policy and mitigation measures, including the Government's modified air quality plan, the Heathrow Northwest Runway scheme would be capable of being delivered without impacting the UK's compliance with air quality limit values.

Applicant's assessment

- 5.31** The applicant should undertake an assessment of the project, to be included as part of the environmental statement, demonstrating to the Secretary of State that the construction and operation of the Northwest Runway will not affect the UK's ability to comply with legal requirements. Failure to demonstrate this will result in refusal of development consent.

¹²⁷ The National Emission Ceilings Directive (2001/81/EC) was transposed into UK law through the National Emission Ceilings Regulations 2002

¹²⁸ <https://www.gov.uk/government/consultations/airports-commission-air-quality-assessment>

¹²⁹ <https://www.gov.uk/government/publications/airport-expansion-further-analysis-of-air-quality-data>

5.32 The environmental statement should assess:

- Existing air quality levels for all relevant pollutants referred to in the Air Quality Standards Regulations 2010 and the National Emission Ceilings Regulations 2002;
- Forecasts of air quality at the time of opening, (a) assuming that the scheme is not built (the ‘future baseline’), and (b) taking account of the impact of the scheme, including when at full capacity; and
- Any significant air quality effects, their mitigation and any residual effects, distinguishing between those applicable to runway construction and operation stages and taking account of the impact that the project is likely to cause on air quality arising from road and other surface access traffic.

5.33 Defra publishes future national projections of air quality based on evidence of future emissions. Projections may be updated as the evidence base changes. The applicant’s assessment should, in so far as practicable, be based on the latest available projections.

Mitigation

5.34 The Secretary of State will need to be satisfied that the mitigation measures put forward by the applicant are acceptable, including at the construction stage. A management / project plan may help record and secure mitigation at this stage.

5.35 Mitigation measures may affect the project design, layout, construction and operation, and / or may comprise measures to improve air quality in pollution hotspots beyond the immediate locality of the scheme.

5.36 While the precise package of mitigations should be subject to consultation with local communities to ensure the most effective measures are taken forward, an extensive range of mitigation measures is likely to be required.

5.37 In addition, Heathrow Airport should continue to strive to meet its public pledge to have landside airport-related traffic no greater than today. To achieve this, it should set out and regularly review its plans to meet the mode share targets set at paragraph 5.16 above. Heathrow Airport should also develop and keep under review plans to improve the impact of road freight serving the airport.

5.38 Other mitigation measures could include, but are not limited to:

- Landing charges structured to reward airlines for operating cleaner flights (for example NO_x emissions charging);
- Zero- or low-emission hybrid or electric vehicle use (ultra-low emission vehicles), charging and fuel facilities;
- Reduced or single engine taxiing (improved taxiing efficiency);
- Reducing emissions from aircraft at the gate (for example installation of fixed electrical ground power and preconditioned air to aircraft stands to reduce the use of auxiliary power unit);
- Modernised heating supplies in airport buildings;
- Changes to the layout of surface access arrangements;
- Traffic restrictions and / or traffic relocation around sensitive areas; and
- Physical means, including barriers to trap or better disperse emissions and speed control on roads.

5.39 Mitigation measures at the construction stage should also be provided and draw on best practice from other major construction schemes, including during the procurement of contractors. Specific measures could include but are not limited to:

- Development of a construction traffic management plan (which may include the possible use of rail and consolidation sites or waterways);
- The use of low emission construction plant / fleet, fitting of diesel particulate filters, and use of cleaner engines;
- The use of freight consolidation sites;
- Active workforce management / a worker transport scheme;
- Construction site connection to grid electricity to avoid use of mobile generation; and
- Selection of construction material to minimise distance of transport and increase recycling percentages of the material where appropriate.

5.40 The implementation of mitigation measures may require working with partners to support their delivery.

Decision making

5.41 The Secretary of State will consider air quality impacts over the wider area likely to be affected, as well as in the vicinity of the scheme. In order to grant development consent, the Secretary of State will need to be satisfied that, with mitigation, the scheme would be compliant with legal requirements.

5.42 Air quality considerations are likely to be particularly relevant where the scheme is proposed:

- Within or adjacent to Air Quality Management Areas,¹³⁰ roads identified as being above limit values, or nature conservation sites (including Natura 2000 sites and Sites of Special Scientific Interest);
- Where changes are sufficient to bring about the need for new Air Quality Management Areas or change the size of an existing Air Quality Management Area, or bring about changes to exceedances of the limit values, or where they may have the potential to impact on nature conservation sites; and
- Where, after taking into account mitigation, a project would lead to a significant air quality impact in relation to Environmental Impact Assessment and / or where they lead to a deterioration in air quality in a zone or agglomeration.

Noise

Introduction

5.43 The impact of noise from airport expansion is a key concern for communities affected, and the Government takes this issue very seriously. High exposure to noise is an annoyance, can disturb sleep, and can also affect people's health. Aircraft operations are by far the largest source of noise emissions from an airport, although noise will also be generated from ground operations and surface transport, and during the construction phase of a scheme.

5.44 Aircraft noise is not only determined by the number of aircraft overhead, but also by engine technologies and airframe design, the paths the aircraft take when

¹³⁰ <https://uk-air.defra.gov.uk/aqma/>

approaching and departing from the airport, and the way in which the aircraft are flown.

- 5.45** Over recent decades, there have been reductions in aviation noise due to technological and operational improvements, and this trend is expected to continue.¹³¹ New technology is already making aircraft quieter. Newer generation aircraft coming into service have a noise footprint typically 50% smaller on departure than the ones they are replacing, and at least 30% smaller on arrival. In addition, further opportunities for noise reductions are expected in the next decade as part of the UK airspace modernisation programme. One of the key aims of this programme is to “reduce the overall level of noise disturbance by ensuring that fewer aircraft overfly centres of population and airborne holding is at higher altitudes”.¹³² However, evidence has shown that people’s sensitivity to noise has increased in recent years,¹³³ and there has been growing evidence that exposure to high levels of aircraft noise can adversely affect people’s health. Expansion will lead to a rise in the number of flights in the local area compared to a no expansion scenario.
- 5.46** The Government wants to strike a fair balance between the negative impacts of noise (on health, amenity, quality of life and productivity) and the positive economic impacts of flights. There is no European or national legislation which sets legally binding limits on aviation noise emissions. Major airports are, however, under a legal obligation¹³⁴ to develop strategic noise maps and produce Noise Action Plans based on those maps, on a five yearly basis. They are also required to review and, if necessary, revise action plans when a major development occurs affecting the existing noise situation. In addition, the Government already expects the noise-designated airports (Heathrow, Gatwick and Stansted) to produce noise exposure maps on an annual basis.
- 5.47** The International Civil Aviation Organisation introduced the concept of a ‘Balanced Approach’ to noise management (resolution A33/7). This is given legal effect in the UK through EU Regulation 598/2014.¹³⁵
- 5.48** The Airports Commission undertook a thorough assessment of the noise impacts of the proposed development. The Airports Commission used a “noise scorecard” to assess the noise impacts of the scheme in 2030, 2040 and 2050.¹³⁶ The noise scorecard included both conventional metrics, which assess noise levels over a period of time (daytime, night time and 24-hour), and more innovative metrics that assess the number of times a location is overflowed by aircraft whose noise impacts exceed a specified level.
- 5.49** The Airports Commission’s assessment was based on ‘indicative’ flight path designs, which the Government considers to be a reasonable approach at this stage in the process. Precise flight path designs can only be defined at a later stage

¹³¹ *The Sustainable Aviation Noise Roadmap, A Blueprint for Managing Noise from Aviation Sources to 2050*: <http://www.sustainableaviation.co.uk/road-maps/>

¹³² <https://www.caa.co.uk/Commercial-industry/Airspace/Future-airspace-strategy/Future-airspace-strategy/>

¹³³ CAP 1164, *Aircraft noise, sleep disturbance and health effects*: <http://publicapps.caa.co.uk/modalapplication.aspx?appid=11&mode=detail&id=6275>

¹³⁴ The EU Environmental Noise Directive 2002/49 which is implemented in England by the Environmental Noise (England) Regulations 2006 (S.I. 2006/2238 as amended)

¹³⁵ Regulation (EU) No 598/2014 of the European Parliament and of the Council on the establishment of rules and procedures with regard to the introduction of noise-related operating restrictions at Union airports within a Balanced Approach and repealing Directive 2002/30/EC

¹³⁶ <https://www.gov.uk/government/publications/aviation-noise-discussion-paper>

after detailed airspace design work has taken place. This work will need to consider the various options available to ensure a safe and efficient airspace which also mitigates the level of noise disturbance. Once the design work has been completed, the airspace proposal will be subject to extensive consultation as part of the separate airspace decision making process established by the Civil Aviation Authority.

5.50 The Airports Commission concluded that “expansion at Heathrow must be taken forward with a firm guarantee that the airport and its airlines will be held to the very highest standards of noise performance”. In addition, the Airports Commission stated that “the airport should not be allowed to expand without appropriate conditions being put in place in respect of its noise impacts”.¹³⁷

Applicant’s assessment

5.51 Pursuant to the terms of the Environmental Impact Regulations,¹³⁸ the applicant should undertake a noise assessment for the time of opening, the time the airport is forecast to reach full capacity, and (if applicable, being different to either of the other assessment periods) at a point when the airport’s noise impact is forecast to be highest. This should form part of the environmental statement. The noise assessment should include the following:

- A description of the noise sources;
- An assessment of the effect of predicted changes in the noise environment on any noise sensitive premises (including schools and hospitals) and noise sensitive areas (including National Parks and Areas of Outstanding Natural Beauty);
- The characteristics of the existing noise environment, including noise from aircraft, using noise exposure maps, and from surface transport and ground operations associated with the project, the latter during both the construction and operation phases of the project;
- A prediction on how the noise environment will change with the proposed project; and
- Measures to be employed in mitigating the effects of noise.

These should take into account construction and operational noise (including from surface access arrangements) and aircraft noise.

5.52 Operational noise, with respect to human receptors, should be assessed using the principles of the relevant British Standards and other guidance. For the prediction, assessment and management of construction noise, reference should be made to any British Standards and other guidance which give examples of mitigation strategies.

¹³⁷ *Airports Commission: Final Report*, p276

¹³⁸ <http://www.legislation.gov.uk/ukxi/2009/2263/contents/made> (as amended - see <http://www.legislation.gov.uk/ukxi/2011/2741/contents/made> and <http://www.legislation.gov.uk/ukxi/2012/787/contents/made>)

Mitigation

- 5.53** Noise management at airports where a noise problem has been identified is subject to the concept of a 'Balanced Approach', referred to above. EU Regulation 598/2014, which adopts the Balanced Approach,¹³⁹ also lays down a procedure for the adoption of noise-related operating restrictions, in particular a requirement for prior consultation.
- 5.54** The Government recognises that aircraft noise is a significant concern to communities affected and that, as a result of additional runway capacity, noise-related action will need to be taken. Such action should strike a fair balance between the negative impacts of noise and positive economic impacts of flights.
- 5.55** The Government also recognises that predictable periods of relief from aircraft noise (known as respite) are important for communities affected, and that noise at night is widely regarded as the least acceptable aspect of aviation noise for those communities, with the costs on communities of aircraft noise during the night (particularly the health costs associated with sleep disturbance) being higher.
- 5.56** While the package and detail of noise mitigation measures should be subject to consultation with local communities and other stakeholders to ensure the most appropriate and effective measures are taken forward, the Government expects the applicant to make particular efforts to avoid significant adverse noise impacts and mitigate other adverse noise impacts as a result of the Northwest Runway scheme and Heathrow Airport as a whole.
- 5.57** The Secretary of State will consider whether the mitigation measures put forward by the applicant following consultation are acceptable. The noise mitigation measures should ensure that the number of people significantly affected by aircraft noise is limited and, where possible, reduced.
- 5.58** The applicant should specifically seek to deliver the mitigation measures set out in paragraphs 5.59-5.61 below.
- 5.59** The applicant should put forward plans for a noise envelope. Such an envelope should be tailored to local priorities and include clear noise performance targets. As such, the design of the envelope should be defined in consultation with local communities and relevant stakeholders, and on the basis of the expert advice of an independent third party. This third party could be the Independent Commission on Civil Aviation Noise proposed by the Government in its separate consultation on UK airspace policy. The benefits of future technological improvements should be shared between the applicant and its local communities, hence helping to achieve a balance between growth and noise reduction. Suitable review periods should be set in consultation with the parties mentioned above to ensure the noise envelope's framework remains relevant.
- 5.60** The applicant should put forward plans for a runway alternation scheme that provides communities affected with predictable periods of respite (though the Government acknowledges that the duration of periods of respite that currently apply will be reduced). Predictability should be afforded to the extent that this is

¹³⁹ For the purposes EU Regulation 598/2015, an airport means an airport which has more than 50 000 civil aircraft movements per calendar year (a movement being a take-off or landing), on the basis of the average number of movements in the last three calendar years before the noise assessment

within the applicant's control. The details of any such scheme, including timings, duration and scheduling, should be defined in consultation with local communities and relevant stakeholders, and on the basis of the expert advice of an independent third party. This third party could be the Independent Commission on Civil Aviation Noise.

5.61 The Government also expects a ban on scheduled night flights for a period of six and a half hours, between the hours of 11pm and 7am, to be implemented.¹⁴⁰ The rules around its operation, including the exact timings of such a ban, should be defined in consultation with local communities and relevant stakeholders, in line with the requirements of EU Regulation 598/2014.

5.62 It is recognised that Heathrow Airport already supports a number of initiatives to mitigate aircraft noise, such as developing quieter operating procedures (like steeper descent approaches) and keeping landing gear up as long as possible. The applicant is expected to continue to do so, and to explore all opportunities to mitigate operational noise in line with best practice. The implementation of such measures may require working with partners to support their delivery.

5.63 Noise mitigation measures at the construction stage should also be provided. These should draw on best practice from other major construction schemes, with due regard given to any relevant British Standards and other guidance, and should be taken into account during the procurement of contractors.

5.64 Other measures to mitigate noise during the construction and operation of the development may include one or more of the following:

- Reducing noise at point of generation and containment of noise generated;
- Ensuring adequate distance between source and noise-sensitive receptors, and incorporating good design to minimise noise transmission through screening by natural barriers or other buildings; and
- Restricting activities allowed on the site.

5.65 The Secretary of State will expect the applicant to put forward proposals as to how these measures may be secured and enforced, including the bodies who may enforce the measures. These bodies might include the Secretary of State, local authorities (including those over a wider area), and / or the Civil Aviation Authority.

Decision making

5.66 The proposed development must be undertaken in accordance with statutory requirements for noise.¹⁴¹ Due regard must have been given to national policy on aviation noise, and the relevant sections of the Noise Policy Statement for England,¹⁴² the National Planning Policy Framework,¹⁴³ and the Government's associated planning guidance on noise.¹⁴⁴ However, the Airports NPS must be used as the primary policy on noise when considering the Heathrow Northwest Runway scheme, and has primacy over other wider noise policy sources.

¹⁴⁰ 11pm to 7am is the standard night period used in noise measurement, and is used in World Health Organisation guidelines and the Environmental Noise Directive

¹⁴¹ EU Regulation 598/2015; The Environmental Noise (England) Regulations 2006

¹⁴² <https://www.gov.uk/government/publications/noise-policy-statement-for-england>

¹⁴³ National Planning Policy Framework, paragraph 123

¹⁴⁴ <http://planningguidance.communities.gov.uk/blog/guidance/noise/noise-guidance/>

5.67 Development consent should not be granted unless the Secretary of State is satisfied that the proposals will meet the following aims for the effective management and control of noise, within the context of Government policy on sustainable development:

- Avoid significant adverse impacts on health and quality of life from noise;
- Mitigate and minimise adverse impacts on health and quality of life from noise; and
- Where possible, contribute to improvements to health and quality of life.

Carbon emissions

Introduction

5.68 The Government has a number of international and domestic obligations to limit the carbon emitted by both the construction and operation phases of the project.

5.69 The Government's key objective on aviation emissions, as outlined in the Aviation Policy Framework, is to ensure that the aviation sector makes a significant and cost-effective contribution towards reducing global emissions.¹⁴⁵ This must be achieved while minimising the risk of putting UK businesses at a competitive international disadvantage. The development of the Heathrow Northwest Runway scheme being considered under the Airports NPS does not override this objective.

5.70 The UK's obligations on greenhouse gas emissions are set under the 2008 Climate Change Act. Under this framework, the UK has a 2050 target to reduce its greenhouse gas emissions by at least 80% on 1990 levels, and has a series of five year carbon budgets on the way to 2050.

Coverage of aviation emissions under the UK's Climate Change Act

5.71 Whilst UK domestic aviation emissions are included in the 2050 target, international aviation emissions are not currently formally included within the UK's 'net carbon account' for greenhouse gas emissions and are therefore not included in the 2050 target as defined by the Climate Change Act, nor within the first five carbon budgets. The Climate Change Act says that the Government must "take into account" the "estimated amount of reportable emissions from international aviation for the budgetary period or periods in question" when setting carbon budgets. The Committee on Climate Change has interpreted the requirement to take these emissions into account as requiring the UK to aim to meet a 2050 target which includes these emissions, and has made its recommendations for the levels of the existing carbon budgets on this basis.

5.72 The Government has accepted the Committee on Climate Change's recommendations on the first five carbon budgets. The fifth carbon budget, for the period 2028-2032, was set in July 2016 in line with the Committee on Climate Change's advice. In effect, this means that carbon budgets for other sectors of the UK economy have been set at a level which the Committee on Climate Change considers is consistent with meeting the overall 2050 target when international aviation emissions are included.

¹⁴⁵ *Aviation Policy Framework*, paragraph 12

Impacts

- 5.73** The carbon impact of the proposed development falls into four areas: increased emissions from air transport movements (both international and domestic) as a result of increased demand, emissions from airport buildings and ground operations, emissions from surface transport accessing the expanded airport, and emissions caused by construction. The first is by far the largest of these impacts.
- 5.74** The Airports Commission used two sets of carbon scenarios: one in which a cap is imposed on UK aviation emissions in line with the Committee on Climate Change's planning assumption of 37.5 million tonnes of CO₂ in 2050; and another in which an international trading mechanism allows carbon emissions from aviation to be offset by paying for emissions reductions in other sectors of the global economy. The analysis also assumed certain carbon-limiting developments largely outside the applicant's control. These include growth in numbers of more fuel-efficient aircraft, increasing use of biofuels, and other airline operational measures.

Applicant's assessment

- 5.75** Pursuant to the terms of the Environmental Impact Assessment Regulations,¹⁴⁶ the applicant should undertake an assessment of the project as part of the environmental statement, to include an assessment of any likely significant climate factors. The applicant should provide evidence of the carbon impact of the project (including embodied carbon), both from construction and operation, such that it can be assessed against the Government's carbon obligations, including but not limited to carbon budgets. The applicant should quantify the greenhouse gas impacts before and after mitigation to show the impacts of the proposed mitigation. This will require emissions to be split into traded sector and non-traded sector emissions, and for a distinction to be made between international and domestic aviation emissions.
- 5.76** As far as possible, the applicant's assessment should also seek to quantify the impacts of:
- Emissions from surface access due to airport and construction staff; and
 - Emissions from surface access due to freight and retail operations and construction site traffic.

This should be undertaken in both a 'do minimum' and also in the 'do something' scenario for the opening, peak operation, and worst case scenarios.

¹⁴⁶ Town and Country Planning (Environmental Impact Assessment) Regulations 2011 and 2015, <http://www.legislation.gov.uk/uksi/2011/1824/regulation/4/made> and <http://www.legislation.gov.uk/uksi/2015/660/introduction/made>

Mitigation

5.77 The Secretary of State will need to be satisfied that the mitigation measures put forward by the applicant are acceptable, including at the construction stage. A management / project plan may help clarify and secure mitigation at this stage. The applicant is expected to take measures to limit the carbon impact of the project, which may include, but are not limited to:

- Zero or low-emission hybrid or electric vehicle use (ultra-low emission vehicles), charging and fuel facilities;
- Reduced engine taxiing (improved taxiing efficiency);
- Reducing emissions from aircraft at the gate;
- Reduced emissions from airport buildings (for example from lower carbon heating);
- Changes to the layout of surface access arrangements; and
- Encouraging increased use of public transport by staff and passengers.

5.78 Aircraft are expected to become cleaner as technology and standards improve and fleets evolve. It is recognised that the applicant already supports a number of initiatives to reduce the carbon emissions from flights, such as reduced-engine taxiing and ground-towing, and airspace and navigational reform.

5.79 Mitigation measures at the construction stage should also be provided and draw on best practice from other major construction schemes, including during the procurement of contractors. Specific measures could include but are not limited to:

- Development of a construction traffic management plan (which may include the possible use of rail and consolidation sites);
- Transport of materials to site by alternative modes to road (for example by rail or water);
- Increased efficiency in use of construction plant;
- Use of energy efficient site accommodation;
- Reduction of waste, and the transport of waste;
- Construction site connection to grid electricity to avoid use of mobile generation;
- Selection of construction material to utilise low carbon options; and
- Selection of construction material to minimise distance of transport.

5.80 The implementation of mitigation measures may require working with partners to support their delivery.

Decision making

5.81 Any increase in carbon emissions alone is not a reason to refuse development consent, unless the increase in carbon emissions resulting from the project is so significant that it would have a material impact on the ability of Government to meet its carbon reduction targets, including carbon budgets.

5.82 Evidence of appropriate mitigation measures (incorporating engineering plans on configuration and layout, and use of materials) in both design and construction should be presented as part of any application for development consent. The Secretary of State will consider the effectiveness of such mitigation measures in order to ensure that, in relation to design and construction, the carbon footprint is

not unnecessarily high. The Secretary of State's view of the adequacy of the mitigation measures relating to design, construction and operational phases will be a material factor in the decision making process.

Biodiversity and ecological conservation

Introduction

- 5.83** Biodiversity is the variety of plant and animal life in the world or in a particular habitat, and encompasses all species of plants and animals and the complex ecosystems of which they are a part. Government policy for the natural environment, including on biodiversity, is set out in the *Natural Environment White Paper*.¹⁴⁷ The biodiversity section in the *Natural Environment White Paper* sets out a vision of moving progressively from net biodiversity loss to net gain, by supporting healthy, well-functioning ecosystems and establishing more coherent ecological networks that are more resilient to current and future pressures. It is also a requirement of the Water Framework Directive to protect and enhance biodiversity associated with the water environment. Geological conservation relates to the sites that are designated for their geology and / or geomorphological importance.¹⁴⁸
- 5.84** The Government's biodiversity strategy is set out in *Biodiversity 2020: A Strategy for England's wildlife and ecosystem services*.¹⁴⁹ Its aim is to halt overall biodiversity loss, support healthy, well-functioning ecosystems, and establish coherent ecological networks, with more and better places for nature for the benefit of wildlife and people. The contribution that the planning system should make to enhancing the local and natural environment, including establishing coherent ecological networks, is set out in the National Planning Policy Framework, to which the applicant should also refer.¹⁵⁰
- 5.85** The National Planning Policy Framework states that pursuing sustainable development involves seeking positive improvements in the quality of the built, natural and historic environment, as well as in people's quality of life. This includes moving from a net loss of biodiversity to achieving net gains for nature.¹⁵¹
- 5.86** The wide range of legislative provisions at the international and national level that can impact on planning decisions affecting biodiversity and ecological conservation is set out in the Planning Practice Guidance on biodiversity and ecosystems.¹⁵² This includes a description of the potential impacts on internationally, nationally and locally protected sites which may arise through development, and should therefore be considered through further assessment.
- 5.87** Airport development may require the netting of open watercourses to manage the risk of bird strike, which may have a detrimental impact on water environment and biodiversity.

Applicant's assessment

- 5.88** The applicant should ensure that the environmental statement submitted with its application for development consent clearly sets out any likely significant effects on internationally, nationally and locally designated sites of ecological or geological

¹⁴⁷ <https://www.gov.uk/government/publications/the-natural-choice-securing-the-value-of-nature>

¹⁴⁸ A list of designated sites is included in the Geological Conservation Review held by the Joint Nature Conservation Committee

¹⁴⁹ <https://www.gov.uk/government/publications/biodiversity-2020-a-strategy-for-england-s-wildlife-and-ecosystem-services>

¹⁵⁰ National Planning Policy Framework, paragraph 109

¹⁵¹ National Planning Policy Framework, paragraph 9

¹⁵² <http://planningguidance.communities.gov.uk/blog/guidance/natural-environment/biodiversity-ecosystems-and-green-infrastructure/>

importance, protected species, and habitats and other species identified as being of principal importance for the conservation of biodiversity.

- 5.89** The environmental impact assessment should reflect the principles of *Biodiversity 2020* and identify how the effects on the natural environment will be influenced by climate change, and how ecological networks and their physical and biological process will be maintained.
- 5.90** The applicant should show how the project has taken advantage of and maximised opportunities to conserve biodiversity and geological conservation interests.

Mitigation

- 5.91** The Secretary of State will consider what requirements should be attached to any consent and / or in any planning obligations entered into in order to ensure that mitigation measures are delivered and monitored for their effectiveness.
- 5.92** The Secretary of State will take account of any mitigation measures agreed between the applicant and Natural England, and whether Natural England has granted or refused, or intends to grant or refuse, any relevant licences, including protected species mitigation licences.
- 5.93** The applicant's proposal should address the mitigation hierarchy (which supports efforts to conserve and enhance biodiversity), which is set out in the National Planning Policy Framework.¹⁵³
- 5.94** Compensation ratios relating to the effects of the preferred scheme should be considered in more detail during the design. The application of 2:1 compensation ratio is considered to represent the minimum requirement. However, there are other mechanisms for establishing compensation ratios, such as Defra's biodiversity offsetting metric. Equally, it is important to note that habitat ratios form only one part of potential compensation which should be considered, and the location and quality of any compensation land is of key importance. In this regard, habitat creation, where required, should be focused on areas where the most ecological and ecosystems services benefits can be realised.

Decision making

- 5.95** As a general principle, and subject to the specific policies set out below and the Infrastructure Planning (Decisions) Regulations 2010,¹⁵⁴ development should avoid significant harm to biodiversity and geological conservation interests, including through mitigation and consideration of reasonable alternatives. The applicant may also wish to make use of biodiversity offsetting in devising compensation proposals to counteract any impacts on biodiversity which cannot be avoided or mitigated.¹⁵⁵ Where significant harm cannot be avoided or mitigated, as a last resort appropriate compensation measures should be sought. The development consent order, or any associated planning obligations, will need to make provision for the long term management of such measures.

¹⁵³ National Planning Policy Framework, paragraph 118

¹⁵⁴ <http://www.legislation.gov.uk/ukxi/2010/305/regulation/7/made>

¹⁵⁵ <https://www.gov.uk/government/collections/biodiversity-offsetting> Biodiversity offsets are measurable conservation outcomes resulting from actions designed to compensate for residual adverse biodiversity impacts arising from a development after mitigating measures have been taken. The goal of biodiversity offsets is to achieve no net loss and, preferably, a net gain of biodiversity

5.96 In taking decisions, the Secretary of State will ensure that appropriate weight is attached to designated sites of international, national and local importance, protected species, habitats and other species of principal importance for the conservation of biodiversity, and to biodiversity and geological interests within the wider environment.

International sites

5.97 The most important sites for biodiversity are those identified through international conventions and European Directives. The Habitats Regulations provide statutory protection for European sites and require an assessment of impacts upon such sites.¹⁵⁶ The Government considers that the following wildlife sites should have the same protection as European sites:

- Potential Special Protection Areas and possible Special Areas of Conservation;
- Listed or proposed Ramsar sites;¹⁵⁷ and
- Sites identified or required as compensatory measures for adverse effects on European sites, potential Special Protection Areas, possible Special Areas of Conservation, and listed or proposed Ramsar sites.

5.98 At this stage, it is not possible for Heathrow Airport as the applicant to rule out adverse effects of its scheme, given that more detailed project design information, and detailed proposals for mitigation, is not presently available. However, Heathrow Airport will need to demonstrate that articles 6(3) and 6(4) of the Habitats Directive are satisfied in order to gain development consent.

Sites of Special Scientific Interest

5.99 Many Sites of Special Scientific Interest are also designated as sites of international importance and will be protected accordingly. Those that are not, or those features of Sites of Special Scientific Interest that are not covered by an international designation, will be given a high degree of protection. All National Nature Reserves are notified as Sites of Special Scientific Interest.

5.100 Where a proposed development on land within or outside a Site of Special Scientific Interest is likely to have an adverse effect on the site (either individually or in combination with other developments), development consent should not normally be granted. Where an adverse effect on the site's notified special interest features is likely, an exception should be made only where the benefits of the development at this site clearly outweigh both the impacts that it is likely to have on the features of the site that make it of special scientific interest, and any broader impacts on the national network of Sites of Special Scientific Interest. The Secretary of State will ensure that the applicant's proposals to mitigate the harmful aspects of the development and, where possible, to ensure the conservation and enhancement of the site's biodiversity or geological interest, are acceptable. Where necessary, requirements and / or planning obligations should be used to ensure these proposals are delivered.

¹⁵⁶ This includes candidate Special Areas of Conservation, Sites of Community Importance, Special Areas of Conservation and Special Protection Areas, and is defined in Regulation 8 of the Conservation of Habitats and Species Regulations 2010

¹⁵⁷ Potential Special Protection Areas, possible Special Areas of Conservation and proposed Ramsar sites are sites on which Government has initiated public consultation on the scientific case for designation as a Special Protection Area, candidate Special Area of Conservation or Ramsar site

Regional and local sites

5.101 Sites of regional and local biodiversity interest (which include Local Nature Reserves, Local Wildlife Sites and Nature Improvement Areas) have a fundamental role to play in meeting overall national biodiversity targets, contributing to the quality of life and the wellbeing of the community, and supporting research and education. The Secretary of State will give due consideration to such regional or local designations. However, given the need for new infrastructure, these designations should not be used in themselves to refuse development consent, although adequate compensation should always be considered, and ecological corridors and their physical processes should be maintained as a priority to mitigate widespread impacts.

Irreplaceable habitats including ancient woodland and veteran trees

5.102 Ancient woodland is a valuable biodiversity resource both for its diversity of species and for its longevity as woodland. Once lost, it cannot be recreated. The Secretary of State should not grant development consent for any development that would result in the loss or deterioration of irreplaceable habitats including ancient woodland and the loss of aged or veteran trees found outside ancient woodland, unless the national need for and benefits of the development, in that location, clearly outweigh the loss. Aged or veteran trees found outside ancient woodland are also particularly valuable for biodiversity and their loss should be avoided.¹⁵⁸ Where such trees would be affected by development proposals, the applicant should set out proposals for their conservation or, where their loss is unavoidable, the reasons for this.

Biodiversity within and around developments

5.103 The proposed development comprised in the preferred scheme should provide many opportunities for building in beneficial biodiversity as part of good design. When considering proposals, the Secretary of State will consider whether the applicant has maximised such opportunities in and around developments, and particularly to establishing and enhancing green infrastructure. The Secretary of State may use requirements or planning obligations where appropriate in order to ensure that such beneficial features are delivered.

Protection of other habitats and species

5.104 In addition to the habitats and species that are subject to statutory protection or international, regional or local designation, other habitats and species have been identified as being of principal importance for the conservation of biodiversity in England and Wales and therefore requiring conservation action. The Secretary of State will ensure that the applicant has taken measures to ensure that these other habitats and species are protected from the adverse effects of development. Where appropriate, requirements or planning obligations may be used in order to deliver this protection. The Secretary of State will refuse consent where harm to these other habitats, or species and their habitats, would result, unless the benefits of the development (including need) clearly outweigh that harm. In such cases, compensation will generally be expected to be included in the design proposals.

¹⁵⁸ This does not prevent the loss of such trees where the decision maker is satisfied that their loss is unavoidable

Land use including open space, green infrastructure and Green Belt

Introduction

5.105 Access to high quality open spaces and the countryside¹⁵⁹ and opportunities for sport and recreation can be a means of providing necessary mitigation and / or compensation requirements. Green infrastructure can enable developments to provide positive environmental and economic benefits.

5.106 Green Belts, defined in a development plan, are situated around certain cities and built up areas, including London. The fundamental aim of Green Belt policy is to prevent urban sprawl by keeping land permanently open. The essential characteristics of Green Belts are their openness and their permanence. Further information on the purposes and protection of Green Belt is set out in the National Planning Policy Framework.¹⁶⁰

5.107 Best and most versatile agricultural land is land which is most flexible, productive and efficient in response to inputs and which can best deliver future crops for food and non-food uses such as biomass, fibres and pharmaceuticals. The National Planning Policy Framework sets out how local planning authorities should take into account the economic and other benefits of best and most versatile agricultural land.¹⁶¹ Planning practice guidance for the natural environment provides additional guidance on best and most versatile agricultural land and soil issues.

5.108 Development of land will affect soil resources, including physical loss of and damage to soil resources, through land contamination and structural damage. Indirect impacts may also arise from changes in the local water regime, organic matter content, soil biodiversity and soil process.

5.109 Construction and operation of airport facilities is a potential source of contaminative substances (for example, through de-icing or leaks and spills of fuel). Where pre-existing land contamination is being considered through development, the objective is to ensure that the site is suitable for its intended use. Risks would require consideration in accordance with the contaminated land statutory guidance as a minimum.¹⁶²

Applicant's assessment

5.110 The applicant should identify existing and proposed land uses¹⁶³ near the project, including any effects of replacing an existing development or use of the site with the proposed project or preventing a development or use on a neighbouring site from continuing. The applicant should also assess any effects of precluding a new development or use proposed in the development plan. The assessment should be proportionate to the scale of the preferred scheme and its likely impacts on such receptors.

5.111 Existing open space, sports and recreational buildings and land should not be developed unless the land is surplus to requirements or the loss would be replaced by equivalent or better provision in terms of quantity and quality in a suitable

¹⁵⁹ All open space of public value, including not just land but also areas of water (such as rivers, canals, lakes and reservoirs) which offer important opportunities for sport and recreation and can act as a visual amenity

¹⁶⁰ National Planning Policy Framework, paragraphs 79-92

¹⁶¹ National Planning Policy Framework, paragraph 112

¹⁶² <https://www.gov.uk/government/publications/contaminated-land-statutory-guidance>

¹⁶³ For example, where a planning application has been submitted

location. If the applicant is considering proposals which would involve developing such land, it should have regard to any local authority's assessment of need for such types of land and buildings.

- 5.112** During any pre-application discussions with the applicant, the local planning authority should identify any concerns it has about the impacts of the application on land use, having regard to the development plan and relevant applications and including, where relevant, whether it agrees with any independent assessment that the land is surplus to requirements. These are also matters that local authorities may wish to include in their Local Impact Report which can be submitted after an application for development consent has been accepted.
- 5.113** The general policies controlling development in the countryside apply with equal force in Green Belts but there is, in addition, a general presumption against inappropriate development within them. Such development should not be approved except in very special circumstances which are already the subject of Government guidance.¹⁶⁴ The applicant should therefore determine whether the proposal, or any part of it, is within an established Green Belt and, if so, whether its proposal may be considered inappropriate development within the meaning of Green Belt policy. Metropolitan Open Land and land designated a Local Green Space in a local or neighbourhood plan are subject to the same policies of protection as Green Belt, and inappropriate development should not be approved except in very special circumstances.
- 5.114** The applicant should take into account the economic and other benefits of best and most versatile agricultural land. Where significant development of agricultural land is demonstrated to be necessary, the applicant should seek to use areas of poorer quality land in preference to that of a higher quality. The applicant should also identify any effects, and seek to minimise impacts, on soil quality, taking into account any mitigation measures proposed. For developments on previously developed land, the applicant should ensure that they have considered the risk posed by land contamination and how it is proposed to address this.
- 5.115** The applicant should safeguard any mineral resources on the proposed site for the preferred scheme as far as possible.

Mitigation

- 5.116** The applicant can minimise the direct effects of a project on the existing use of the proposed site, or proposed uses near the site, by the application of good design principles, including the layout of the project and the protection of soils during construction.¹⁶⁵
- 5.117** Where green infrastructure is affected, the applicant should aim to ensure the functionality and connectivity of the green infrastructure network is maintained and any necessary works are undertaken, where possible, to mitigate any adverse impact and, where appropriate, to improve that network and other areas of open space, including appropriate access to National Trails and other public rights of way.

¹⁶⁴ https://www.gov.uk/guidance/housing-and-economic-land-availability-assessment#paragraph_044

¹⁶⁵ <https://www.gov.uk/government/publications/code-of-practice-for-the-sustainable-use-of-soils-on-construction-sites>

- 5.118** The Secretary of State must also consider whether mitigation of any adverse effects on green infrastructure or open space is adequately provided for by means of requirements, planning obligations, or any other means, for example to provide exchange land and provide for appropriate management and maintenance agreements. Any exchange land should be at least as good in terms of size, usefulness, attractiveness, quality and accessibility. Alternatively, where sections 131 and 132 of the Planning Act 2008 apply,¹⁶⁶ any replacement land provided under those sections will need to conform to the requirements of those sections.
- 5.119** Where the preferred scheme has an impact on a mineral safeguarding area, the Secretary of State must ensure that the applicant has put forward appropriate mitigation measures to safeguard mineral resources.
- 5.120** Where a project has a sterilising effect on land use, there may be scope for this to be mitigated through, for example, using the land for nature conservation or wildlife corridors.
- 5.121** Public rights of way, National Trails and other rights of access to land are important recreational facilities for walkers, cyclists and equestrians. The applicant is expected to take appropriate mitigation measures to address adverse effects on National Trails, other public rights of way and open access land and, where appropriate, to consider what opportunities there may be to improve access. In considering revisions to an existing right of way, consideration needs to be given to the use, character, attractiveness and convenience of the right of way. The Secretary of State should consider whether the mitigation measures put forward by an applicant are acceptable and whether requirements or other provisions in respect of these measures might be attached to any grant of development consent.

Decision making

- 5.122** The Secretary of State will not grant consent for development on existing open space, sports and recreational buildings and land, including playing fields, unless an assessment has been undertaken either by the local authority or independently, which has shown the open space or the buildings and land to be surplus to requirements, or the Secretary of State determines that the benefits of the project (including need) outweigh the potential loss of such facilities, taking into account any positive proposals made by the applicant to provide new, improved or compensatory land or facilities.
- 5.123** Where networks of green infrastructure have been identified in development plans, they should normally be protected from development and, where, possible, strengthened by or integrated within it.
- 5.124** The Secretary of State will take into account the economic and other benefits of the best and most versatile agricultural land, and ensure the applicant has put forward appropriate mitigation measures to minimise impacts on soils or soil resources.
- 5.125** When located in the Green Belt, projects may comprise inappropriate development. Inappropriate development is by definition harmful to the Green Belt and there is a presumption against it except in very special circumstances. The Secretary of State will need to assess whether there are very special circumstances to justify inappropriate development. Very special circumstances will not exist unless the

¹⁶⁶ <http://www.legislation.gov.uk/ukpga/2008/29/section/131> and <http://www.legislation.gov.uk/ukpga/2008/29/section/132>

potential harm to the Green Belt by reason of inappropriateness, and any other harm, is clearly outweighed by other considerations. In view of the presumption against inappropriate development, the Secretary of State will attach substantial weight to the harm to the Green Belt, when considering any application for such development. The Secretary of State may require the provision of replacement Green Belt land, which should be secured by the applicant.

Resource and waste management

Introduction

5.126 Government policy on hazardous and non-hazardous waste is intended to protect human health and the environment by producing less waste and by using it as a resource wherever possible. Where this is not possible, waste management regulation ensures that waste is disposed of in a way that is least damaging to the environment and to human health.

5.127 Sustainable waste management is implemented through the waste hierarchy:

- Waste prevention;
- Preparing for reuse;
- Recycling;
- Other recovery, including energy recovery; and
- Disposal.

5.128 The targets for preparation for re-use and recycling of municipal waste (50%), and for construction and demolition waste (70%) set out by the Waste Framework Directive (2008/98/EC)¹⁶⁷ should be considered 'minimum acceptable practice' for the construction and operation of any new airport infrastructure. Exceeding these targets if possible by aiming for exemplar performance in resource efficiency and waste management is recommended, to align with the principles of the EU Action Plan for the Circular Economy.¹⁶⁸

5.129 Large airport infrastructure projects may generate hazardous and non-hazardous waste during construction and operation. The Environment Agency's environmental permitting regime incorporates operational waste management requirements for certain activities. When the applicant applies to the Environment Agency for an environmental permit, the Environment Agency will require the application to demonstrate that processes are in place to meet all relevant permit requirements.

5.130 In addition, the Heathrow Northwest Runway scheme would involve the removal of the Lakeside energy from waste plant.

¹⁶⁷ <http://ec.europa.eu/environment/waste/framework/>

¹⁶⁸ http://ec.europa.eu/environment/circular-economy/index_en.htm

5.131 Waste generated and sent to landfill during construction and operation will be an ongoing management issue, and will continue to have adverse effects on the environment into and beyond the operational phase. The principal adverse effects of sending waste to landfill include:

- Permanent loss of materials from potential use higher up the waste management hierarchy;
- Reduction of local and regional landfill capacity;
- Visual, noise, health and other nuisance impacts on local communities;
- Environmental degradation and pollution;
- Greenhouse gas emissions; and
- Environmental implications of transporting waste to landfill sites.

Applicant's assessment

5.132 The applicant should set out the arrangements that are proposed for managing any waste produced in the application for development consent. The arrangements described should include information on the proposed waste recovery and disposal system for all waste generated by the development. The applicant should seek to minimise the volume of waste sent for disposal unless it can be demonstrated that the alternative is the best overall environmental, social and economic outcome when considered over the whole lifetime of the project.

5.133 The effects of removing the Lakeside energy from waste plant upon capacity for treatment of waste will require assessment.

Mitigation

5.134 The applicant should set out a comprehensive suite of mitigations to eliminate or significantly reduce the risk of adverse impacts associated with resource and waste management.

Decision making

5.135 The Secretary of State will consider the extent to which the applicant has proposed an effective process that will be followed to ensure effective management of hazardous and non-hazardous waste arising from the all stages of the lifetime of the development. The Secretary of State should be satisfied that the process set out provides assurance that:

- Waste produced will be properly managed, both onsite and offsite;
- The waste from the proposed development can be dealt with appropriately by the waste infrastructure which is, or is likely to be, available. Such waste arising should not have an adverse effect on the capacity of existing waste management facilities to deal with other waste arising in the area; and
- Adequate steps have been taken to minimise the volume of waste arising, and of the volume of waste arising sent to disposal, except where an alternative is the most sustainable outcome overall

5.136 Where necessary, the Secretary of State will require the applicant to develop a resource management plan to ensure that appropriate measures for sustainable resource and waste management are secured.

Flood risk

Introduction

- 5.137** Climate change over future decades is likely to result in milder, wetter winters and hotter, drier summers in the UK, while sea levels will continue to rise. Within the lifetime of the proposed development, these factors will lead to increased flood risk in areas susceptible to flooding, and to an increased risk of flooding in some areas not currently thought of as being at risk. In addition to increasing flood risk, longer term climate change will result in changes to weather-related disruption, most often caused by wind, rain, snow and ice. The applicant, the Examining Authority and the Secretary of State in taking decisions should take account of the policy on climate change adaptation as set out in the National Planning Policy Framework¹⁶⁹ and other supporting guidance.¹⁷⁰
- 5.138** The National Planning Policy Framework sets out that inappropriate development in areas at risk of flooding should be avoided by directing development away from areas at highest risk.¹⁷¹ But where development is necessary, it should be made safe without increasing flood risk elsewhere. Supporting guidance¹⁷² explains that essential transport infrastructure (including mass evacuation routes) which has to cross the area at risk is permissible in areas of high flood risk, subject to the requirements of the Exception Test. In addition, as set out in the National Planning Policy Framework, new development should be planned to avoid increased vulnerability to the range of impacts arising from climate change.¹⁷³
- 5.139** Loss of flood plain storage may increase the overall flood risk for the catchment. The extent of any impact will depend on the ability of the development to manage storage of water on site.
- 5.140** There is the potential for airport expansion to result in increased risk from climate change effects, particularly to increased surface water runoff rate and pressure on potable water supply. There may also be effects on groundwater.
- 5.141** Where the Airports NPS mentions the UK Climate Change Risk Assessment, the reader should refer to the most recent version of the document.

Applicant's assessment

- 5.142** The applicant should provide a flood risk assessment.¹⁷⁴ This should identify and assess the risks of all forms of flooding to and from the preferred scheme, and demonstrate how these flood risks will be managed, taking climate change into account.

¹⁶⁹ National Planning Policy Framework, paragraph 99

¹⁷⁰ <https://www.gov.uk/guidance/flood-risk-assessments-climate-change-allowances> and <https://www.gov.uk/government/publications/adapting-to-climate-change-for-risk-management-authorities>

¹⁷¹ National Planning Policy Framework, paragraphs 100-104

¹⁷² <http://planningguidance.communities.gov.uk/blog/guidance/flood-risk-and-coastal-change/>

¹⁷³ National Planning Policy Framework, paragraph 99

¹⁷⁴ <https://www.gov.uk/guidance/flood-risk-assessment-for-planning-applications>

5.143 In preparing a flood risk assessment the applicant should:

- Consider the risk of all forms of flooding arising from the development comprised in the preferred scheme, in addition to the risk of flooding to the project, and demonstrate how these risks will be managed and, where relevant, mitigated, so that the development remains safe throughout its lifetime;¹⁷⁵
- Take into account the impacts of climate change, clearly stating the development lifetime over which the assessment has been made;
- Consider the need for safe access and exit arrangements;
- Include the assessment of residual risk after risk reduction measures have been taken into account, and demonstrate that this is acceptable for the development;
- Consider if there is a need to remain operational during a worst case flood event over the preferred scheme's lifetime; and
- Provide evidence for the Secretary of State to apply the Sequential Test and Exception Test,¹⁷⁶ as appropriate.

5.144 Where the preferred scheme may be affected by, or may add to, flood risk, the applicant is advised to seek early pre-application discussions with the Environment Agency, and, where relevant, other flood risk management bodies such as lead local flood authorities, Internal Drainage Boards, sewerage undertakers, highways authorities and reservoir owners and operators. These discussions can be used to identify the likelihood and possible extent and nature of the flood risk, help scope the flood risk assessment, and identify the information that may be required by the Secretary of State to reach a decision on the application. If the Environment Agency has concerns about proposals on flood risk grounds, the applicant is encouraged to discuss these concerns at a sufficiently early stage with the Environment Agency and explore ways in which the proposal might be amended, or additional information provided, which would satisfy the Environment Agency's concerns, before the application for development consent is submitted.

5.145 For local flood risk (surface water, groundwater and ordinary watercourse flooding), local flood risk management strategies and surface water management plans provide useful sources of information for consideration in a flood risk assessment. Surface water flood issues need to be understood to allow them to be taken into account, for example by clearly identifying and managing flow routes.

5.146 When assessing the potential impacts of climate change on airports which can be wider than flooding impacts, such as implications from heat and water availability and the potential adaptation strategies for them, the applicant should take into account the latest UK Climate Change Risk Assessment, the latest set of UK Climate Projections, and other relevant sources of climate change evidence.

Mitigation

5.147 The applicant should ensure that the preferred scheme design takes into account flood risk, and should put forward measures to mitigate the impact of flooding.

5.148 Mitigation measures will need to be developed as part of the applicant's application for development consent to ensure that it is safe from flooding, and will not increase

¹⁷⁵ Updated flood maps are available on the Environment Agency's website

¹⁷⁶ National Planning Policy Framework, paragraphs 100-104

flood risk elsewhere for the proposed development's lifetime, taking into account climate change.

- 5.149** To satisfactorily manage flood risk and the impact of the natural water cycle on people, property and ecosystems, good design and infrastructure may need to be secured using requirements or planning obligations. This may include the use of sustainable drainage systems but could also include vegetation to help to slow runoff, hold back peak flows, and make landscapes more able to absorb the impact of severe weather events.
- 5.150** In the Airports NPS, the term sustainable drainage systems is used and taken to cover the whole range of sustainable approaches to surface water drainage management including:
- Source control measures including rainwater recycling and drainage;
 - Infiltration devices to allow water to soak into the ground, that can include individual soakaways and communal facilities;
 - Filter strips and swales, which are vegetated features that hold and drain water downhill mimicking natural drainage patterns;
 - Filter drains and porous pavements to allow rainwater and runoff to infiltrate into permeable material below ground and provide storage if needed;
 - Basins and ponds to hold excess water after rain and allow controlled discharge that avoids flooding; and
 - Flood routes to carry and direct excess water through developments to minimise the impact of severe rainfall flooding.
- 5.151** Site layout and surface water drainage systems should be able to cope with events that exceed the design capacity of the system, so that excess water can be safely stored on or conveyed from the site without adverse impacts.
- 5.152** The surface water drainage arrangements for any project should be such that the volumes and peak flow rates of surface water leaving the site are no greater than the rates prior to the proposed project, taking into account climate change, unless specific off-site arrangements are made and result in the same net effect.
- 5.153** It may be necessary to provide surface water storage and infiltration to limit and reduce both the peak rate of discharge from the site and the total volume discharged from the main application site. There may be circumstances where it is appropriate for infiltration attenuation storage to be provided outside the project site, if necessary through the use of a planning obligation or a development consent order requirement.
- 5.154** The sequential approach should be applied to the layout and design of the project. Vulnerable uses should be located on parts of the site at lower probability and residual risk of flooding. The applicant should seek opportunities where appropriate to use open space for multiple purposes such as amenity, wildlife habitat, and flood storage uses. Opportunities can be taken to lower flood risk by improving flow routes, flood storage capacity and using sustainable drainage systems.

Decision making

5.155 Where flood risk is a factor in determining an application for development consent, the Secretary of State will need to be satisfied that, where relevant:

- The application is supported by an appropriate flood risk assessment; and
- The Sequential Test¹⁷⁷ has been applied as part of site selection and, if required, the Exception Test.¹⁷⁸

5.156 When determining an application, the Secretary of State will need to be satisfied that flood risk will not be increased elsewhere, and will only consider development appropriate in areas at risk of flooding where, informed by a flood risk assessment, following the Sequential Test and, if required, the Exception Test, it can be demonstrated that:

- Within the site, the most vulnerable development is located in areas of lowest flood risk unless there are overriding reasons to prefer a different location; and
- Over its lifetime, development is appropriately flood resilient and resistant, including safe access and escape routes where required, and that any residual risk can be safely managed, including by emergency planning, and that priority is given to the use of sustainable drainage systems.

5.157 The applicant should take into account the potential impacts of climate change using the latest UK Climate Change Risk Assessment, the latest set of UK Climate Projections, and other relevant sources of climate change evidence. The applicant should also ensure any environment statement that is prepared identifies appropriate mitigation or adaptation measures. This should cover the estimated lifetime of the new infrastructure. Should a new set of UK Climate Projections become available after the preparation of an environmental statement, the Examining Authority or the Secretary of State will consider whether they need to request additional information from the applicant as part of the development consent application.

5.158 When determining an application, the Secretary of State will need to be satisfied that the potential effects of climate change on the development have been considered as part of the design.

5.159 For construction work which has drainage implications, approval for the preferred scheme's overall approach to drainage systems will form part of any development consent issued by the Secretary of State.¹⁷⁹ The Secretary of State will therefore need to be satisfied that the proposed drainage system complies with any technical standards issued by the Government¹⁸⁰ or to any National Standards¹⁸¹ issued under Schedule 3 to the Flood and Water Management Act 2010.¹⁸² In addition, the development consent order, or any associated planning obligations, will need to make provision for the adoption and maintenance of any Sustainable Drainage Systems, including any necessary access rights to property. The Secretary of State will need to be satisfied that the most appropriate body would be given the

¹⁷⁷ National Planning Policy Framework, paragraph 101

¹⁷⁸ National Planning Policy Framework, paragraph 102

¹⁷⁹ Drainage implications as defined in Paragraph 7(2) of Schedule 3 to the Flood and Water Management Act 2010

¹⁸⁰ <http://www.legislation.gov.uk/ukpga/2010/29/schedule/3/crossheading/requirement-for-approval>

¹⁸¹ <https://www.gov.uk/government/publications/sustainable-drainage-systems-non-statutory-technical-standards>

¹⁸² The National Standards set out requirements for the design, construction, operation and maintenance of sustainable drainage systems, and may include guidance to which the Secretary of State will have regard

¹⁸² <http://www.legislation.gov.uk/ukpga/2010/29/contents>

responsibility for maintaining any sustainable drainage systems, taking into account the nature and security of the infrastructure on the proposed site. The responsible body could include, for example, the applicant, the landowner, the relevant local authority, or another body such as the Internal Drainage Board.

5.160 If the Environment Agency continues to have concerns, and therefore objects to the grant of development consent on the grounds of flood risk, the Secretary of State can grant consent, but would need to be satisfied that all reasonable steps have been taken by the applicant and the Environment Agency to attempt to resolve the concerns. Similarly, if the lead local flood authority objects to the development consent on the grounds of surface or other local sources of flooding, the Secretary of State can grant consent, but would need to be satisfied that all reasonable steps have been taken by the applicant and the lead local flood authority to attempt to resolve the concerns.

Water quality and resources

Introduction

5.161 Airport infrastructure projects can have adverse effects on the water environment, including groundwater, inland surface water and transitional waters.¹⁸³ During construction and operation, it can lead to increased demand for water, involve discharges to water, and cause adverse ecological effects resulting from physical modifications to the water environment. There may also be an increased risk of spills and leaks of pollutants to the water environment. These effects could lead to adverse impacts on health or on protected and other species and habitats, and could, in particular, result in surface waters, groundwaters or protected areas¹⁸⁴ failing to meet environmental objectives established under the Water Framework Directive.¹⁸⁵

5.162 The Government's planning policies make clear that the planning system should contribute to and enhance the natural and local environment by, among other things, preventing new and existing development from contributing to, being put at unacceptable risk from, or being adversely affected by, water pollution. The Government has issued guidance on water supply, wastewater and water quality considerations in the planning system.¹⁸⁶ Where applicable, an application for development consent has to contain a plan with accompanying information identifying water bodies in a river basin management plan.¹⁸⁷

5.163 Development may result in an increased potential for impacts on the water environment, especially the quality of the surface and groundwater through the discharge of waters contaminated with de-icer along with hydrocarbons and other pollutants.

¹⁸³ As defined in the Water Framework Directive (2000/60/EC), transitional waters are bodies of surface water in the vicinity of river mouths which are partly saline in character as a result of their proximity to coastal waters by which are substantially influenced by freshwater flows

¹⁸⁴ Protected areas are areas which have been designated as requiring special protection under specific community legislation for the protection of their surface water and groundwater or for the conservation of habitats and species directly depending on water

¹⁸⁵ Directive 2000/60/EC of the European Parliament and of the Council establishing a framework for Community action in the field of water policy

¹⁸⁶ <http://planningguidance.communities.gov.uk/blog/guidance/water-supply-wastewater-and-water-quality/>

¹⁸⁷ <http://www.legislation.gov.uk/uksi/2009/2264/made>

Applicant's assessment

5.164 The applicant should make sufficiently early contact with the relevant regulators, including the Environment Agency, for abstraction licensing and environmental permitting, and with the water supply company likely to supply the water. Where the proposed development is subject to an environmental impact assessment and the development is likely to have significant adverse effects on the water environment, the applicant should ascertain the existing status of, and carry out an assessment of, the impacts of the proposed project on water quality, water resources and physical characteristics as part of the environmental statement.

5.165 Any environmental statement should describe:

- The existing quality of water affected by the proposed project;
- Existing water resources affected by the proposed project and the impacts of the proposed project on water resources;
- Existing physical characteristics of the water environment (including quantity and dynamics of flow) affected by the proposed project, and any impact of physical modifications to these characteristics;
- Any impacts of the proposed project on water bodies or protected areas under the Water Framework Directive and source protection zones around potable groundwater abstractions; and
- Any cumulative effects.

5.166 The applicant should assess the effects on the surrounding water and wastewater treatment network in cooperation with the relevant water and sewerage undertaker(s). It should also address any future water infrastructure requirements of the preferred scheme, including for supplies and sewerage treatment, and the effects on the surrounding water and wastewater treatment network. This assessment would be based on the additional wastewater flows which would need to be treated at sewage treatment works and should be developed through liaison with the relevant water and sewerage undertaker(s).

Mitigation

5.167 The impact on local water resources can be minimised through planning and design for the efficient use of water, including water recycling.

5.168 The Secretary of State will need to consider whether the mitigation measures put forward by the applicant which are needed for operation and construction (and which may be over and above any which may form part of the development consent application) are acceptable.

5.169 The project should adhere to any national standards for sustainable drainage systems, which introduce a hierarchical approach to drainage design that promotes the most sustainable approach but recognises the feasibility and use of conventional drainage systems as part of a sustainable solution for any given site given its constraints.

5.170 The risk of impacts on the water environment can be reduced through careful design to adhere to good pollution practice.

Decision making

- 5.171** Activities that discharge to the water environment are subject to pollution control, and the considerations set out at paragraphs 4.49-4.55 above covering the interface between planning and environmental permitting therefore apply. These considerations will also apply in an analogous way to the abstraction licensing regime regulating activities that take water from the environment, and to the control regimes relating to works to, and structures in, on, or under, a controlled water.
- 5.172** The Secretary of State will generally need to give more weight to impacts on the water environment where a project would have adverse effects on the achievement of the environmental objectives established under the Water Framework Directive.
- 5.173** The Secretary of State will need to be satisfied that a proposal has had regard to the Thames river basin management plan and the requirements of the Water Framework Directive and its daughter Directives, including those on priority substances and groundwater. In terms of Water Framework Directive compliance, the overall aim of development should be no deterioration of ecological status in watercourses, ensuring that Article 4.7 of the Water Framework Directive Regulations does not need to be applied. If Article 4.7 does need to be applied, and the conditions set out apply to airport development, the applicant must set out and report any modifications to the physical characteristics of surface water bodies or alterations to levels of groundwater bodies in the Thames river basin management plan.
- 5.174** The Secretary of State will need to consider the interactions of the preferred scheme with other plans, such as statutory water resources management plans.
- 5.175** The Secretary of State will need to consider proposals put forward by the applicant to mitigate adverse effects on the water environment, taking into account the likely impact of climate change on water availability, and whether appropriate requirements should be attached to any development consent and / or planning obligations. If the Environment Agency continues to have concerns, and objects to the grant of development consent on the grounds of impacts on water quality / resources, the Secretary of State can grant consent, but will need to be satisfied that all reasonable steps have been taken by the applicant and the Environment Agency to try to resolve the concerns.

Historic environment

Introduction

- 5.176** The construction and operation of airports and associated infrastructure has the potential to result in adverse impacts on the historic environment above and below ground. This could be as a result of the scale, form and function of the development, and the wider impacts it can create in terms of associated infrastructure to connect the airport to existing transport networks, changes in aircraft movement on the ground and in the surrounding airspace, additional noise and light levels, and the need for security and space to ensure the airport's operation.
- 5.177** The historic environment includes all aspects of the environment resulting from the interaction between people and places through time, including all surviving physical remains of past human activity, whether visible, buried or submerged, and landscaped and planted or managed flora.

5.178 Those elements of the historic environment that hold value to this and future generations because of their historic, archaeological, architectural or artistic interest are called ‘heritage assets’. Heritage assets may be buildings, monuments, sites, places, areas or landscapes, or any combination of these. The sum of the heritage interests that a heritage asset holds is referred to as its significance. Significance derives not only from a heritage asset’s physical presence, but also from its setting.¹⁸⁸

5.179 Some heritage assets have a level of significance that justifies official designation. Categories of designated heritage assets are:

- World Heritage Sites;
- Scheduled Monuments;
- Listed Buildings;
- Protected Wreck Sites;
- Protected Military Remains;
- Registered Parks and Gardens;
- Registered Battlefields; and
- Conservation Areas.¹⁸⁹

5.180 Non-designated heritage assets of archaeological interest that are demonstrably equivalent to Scheduled Monuments should be considered subject to the policies for designated heritage assets.¹⁹⁰ The absence of designation for such heritage assets does not indicate lower significance.

5.181 The Secretary of State will also consider the impacts on other non-designated heritage assets on the basis of clear evidence that the assets have a significance that merits consideration in that decision, even though those assets are of lesser value than designated heritage assets. The non-designated heritage assets would be identified either through the development plan process by local authorities, including through ‘local listing’, or through the nationally significant infrastructure project examination and decision making process.

Applicant’s assessment

5.182 As part of the environmental statement, the applicant should provide a description of the significance of the heritage assets affected by the proposed development, and the contribution of their setting to that significance. The level of detail should be proportionate to the asset’s importance, and no more than is sufficient to understand the potential impact of the proposal on the significance of the asset. Consideration will also need to be given to the possible impacts, including cumulative, on the wider historic environment. At a minimum, the relevant Historic Environment Record¹⁹¹ should be consulted and the heritage assets assessed

¹⁸⁸ Setting of a heritage asset is the surroundings in which it is experienced. Its extent is not fixed, and may change as the asset and its surroundings evolve. Elements of a setting may make a positive or negative contribution to the significance of an asset, may affect the ability to appreciate that significance, or may be neutral

¹⁸⁹ The issuing of licences to undertake works on protected wreck sites in English waters is the responsibility of the Secretary of State for Culture, Media and Sport and does not form part of development consent orders. The issuing of licences for protected military remains is the responsibility of the Secretary of State for Defence

¹⁹⁰ There will be archaeological interest in a heritage asset if it holds, or may potentially hold, evidence of past human activity worthy of expert investigation at some point. Heritage assets with archaeological interest are the primary source of evidence about the substance and evolution of places, and the people and cultures that made them

¹⁹¹ Historic Environment Records are information services maintained and updated by (or on behalf of) local authorities and National Park Authorities with a view to providing access to comprehensive and dynamic resources relating to the historic environment of an area for public benefit and use. Details of Historic Environment Records in England are available from the Heritage Gateway website. Historic England should also be consulted where relevant

using appropriate expertise. Where a site on which development is proposed includes or has the potential to include heritage assets with archaeological interest, the applicant should include an appropriate desk-based assessment and, where necessary, a field evaluation. The applicant should ensure that the extent of the impact of the proposed development on the significance of any heritage asset affected can be adequately understood from the application and supporting documents.

5.183 Detailed studies will be required on those heritage assets affected by noise, light and indirect impacts based on the guidance provided in *The Setting of Heritage Assets*¹⁹² and the *Aviation Noise Metric*.¹⁹³ Where proposed development will affect the setting of a heritage asset, accurate representative visualisations may be necessary to assess the impact.

5.184 The applicant is encouraged, where opportunities exist, to prepare proposals which can make a positive contribution to the historic environment, and to consider how their scheme takes account of the significance of heritage assets affected. This can include, where possible:

- Enhancing, through design, the significance of heritage assets or setting affected;
- Considering measures that address those heritage assets which are on the Heritage at Risk Register, or which may become at risk, as a result of the scheme; and
- Considering how visual or noise impacts can affect heritage assets, and whether there may be opportunities to enhance access to or interpretation, understanding and appreciation of the heritage assets affected by the scheme.

Careful consideration in preparing the scheme will be required on whether the impacts on the historic environment will be direct or indirect, temporary or permanent.

Decision making

5.185 In determining applications, the Secretary of State will seek to identify and assess the particular significance of any heritage asset that may be affected by the proposed development (including by development affecting the setting of a heritage asset), taking account of the available evidence and any necessary expertise from:

- Relevant information provided with the application and, where applicable, relevant information submitted during examination of the application;
- Any designation records included on the National Heritage List for England;
- Historic landscape character records;
- The relevant Historic Environment Record(s) and similar sources of information;
- Representations made by interested parties during the examination; and
- Expert advice, where appropriate and when the need to understand the significance of the heritage asset demands it.

¹⁹² <https://www.historicengland.org.uk/images-books/publications/gpa3-setting-of-heritage-assets/>

¹⁹³ <https://www.historicengland.org.uk/images-books/publications/aviation-noise-metric/>

- 5.186** The Secretary of State must also comply with the requirements on Listed Buildings, Conservation Areas and Scheduled Monuments set out in The Infrastructure Planning (Decisions) Regulations 2010.¹⁹⁴
- 5.187** In considering the impact of a proposed development on any heritage assets, the Secretary of State will take into account the particular nature of the significance of the heritage asset and the value that they hold for this and future generations. This understanding should be used to avoid or minimise conflict between their conservation and any aspect of the proposal.
- 5.188** The Secretary of State will take into account: the desirability of sustaining and, where appropriate, enhancing the significance of heritage assets; the contribution of their settings; and the positive contribution their conservation can make to supporting sustainable communities – including to their quality of life, their economic vitality, and to the public’s enjoyment of these assets. The Secretary of State will also take into account the desirability of new development making a positive contribution to the character and local distinctiveness of the historic environment. The consideration of design should include scale, height, massing, alignment, materials, use, landscaping (for example screen planting) and the significance of heritage assets.
- 5.189** When considering the impact of a proposed development on the significance of a designated heritage asset, the Secretary of State will give great weight to the asset’s conservation. The more important the asset, the greater the weight should be. The Secretary of State will take into account the desirability of sustaining and enhancing the significance of heritage assets and putting them to viable uses consistent with their conservation, the positive contribution that conservation of heritage assets can make to sustainable communities including their economic vitality, and the desirability of new development making a positive contribution to local character and distinctiveness.
- 5.190** Once lost, heritage assets cannot be replaced, and their loss has a cultural, environmental, economic and social impact. Significance can be harmed or lost through alteration or destruction of the heritage asset or development within its setting. Given that heritage assets are irreplaceable, any harm or loss should require clear and convincing justification.
- 5.191** Substantial harm to or loss of a Grade II Listed Building or a Grade II Registered Park or Garden should be exceptional. Substantial harm to or loss of designated sites of the highest significance, including World Heritage Sites, Scheduled Monuments, Grade I and II* Listed Buildings, Protected Wreck Sites, Registered Battlefields, and Grade I and II* Registered Parks and Gardens should be wholly exceptional.
- 5.192** Any harmful impact on the significance of a designated heritage asset should be weighed against the public benefit of development, recognising that the greater the harm to the significance of the heritage asset, the greater the justification that will be needed for any loss.

¹⁹⁴ <http://www.legislation.gov.uk/uksi/2010/305/regulation/3/made>

5.193 Where the proposed development will lead to substantial harm to or the total loss of significance of a designated heritage asset, the Secretary of State will refuse consent unless it can be demonstrated that the substantial harm or loss of significance is necessary in order to deliver substantial public benefits that outweigh that loss or harm, or alternatively that all of the following apply:

- The nature of the heritage asset prevents all reasonable uses of the site;
- No viable use of the heritage asset itself can be found in the medium term through appropriate marketing that will enable its conservation;
- Conservation by grant funding or some form of charitable or public ownership is demonstrably not possible; and
- The harm or loss is outweighed by the benefit of bringing the site back into use.

5.194 Where the proposed development will lead to less than substantial harm to the significance of a designated heritage asset, this harm should be weighed against the public benefits of the proposal, including securing its optimum viable use.

5.195 Not all elements of a World Heritage Site or conservation area will necessarily contribute to its significance. The Secretary of State will treat the loss of a building (or other element) that makes a positive contribution to the significance of a World Heritage Site or conservation area's significance either as substantial harm or less than substantial harm, as appropriate, taking into account the relative significance of the elements affected and their contribution to the significance of the World Heritage Site or conservation area as a whole.

5.196 Where the loss of significance of any heritage asset is justified on the merits of the new development, the Secretary of State will consider imposing a requirement on the consent, or require the applicant to enter into an obligation, that will prevent the loss occurring until it is reasonably certain that the relevant part of the development is to proceed.

5.197 The applicant should look for opportunities for new development within Conservation Areas and World Heritage Sites, and within the setting of heritage assets, to enhance and better reveal their significance. Proposals that preserve those elements of the setting that make a positive contribution to or better reveal the significance of the asset should be treated favourably.¹⁹⁵

Recording

5.198 A documentary record of our past is not as valuable as retaining the heritage asset, and therefore the ability to record evidence of the asset should not be a factor in deciding whether consent should be given.

5.199 Where the loss of the whole or part of a heritage asset's significance is justified, the Secretary of State will require the applicant to record and advance understanding of the significance of the heritage asset before it is lost (wholly or in part). The extent of the requirement should be proportionate to the nature and level of the asset's significance. The applicant should be required to publish this evidence and to deposit copies of the reports with the relevant Historic Environmental Record. They

¹⁹⁵ Further good practice advice on decision making in the historic environment can be found at: <https://www.historicengland.org.uk/images-books/publications/gpa2-managing-significance-in-decision-taking/>

should also be required to deposit the archive generated in a local museum or other public repository willing to receive it.

- 5.200** Where appropriate, the Secretary of State will impose requirements to the development consent order to ensure that the work is undertaken in a timely manner, in accordance with a written scheme of investigation that meets the requirements of the Airports NPS and has been agreed in writing with the relevant local authority, and that the completion of the exercise is properly secured.
- 5.201** Where there is a high probability that a development site may include as yet undiscovered heritage assets with archaeological interest, the Secretary of State will consider requirements to ensure appropriate procedures are in place for the identification and treatment of such assets discovered during construction.

Landscape and visual impacts

Introduction

- 5.202** For airport development, landscape and visual effects also include tranquillity effects, which would affect people's enjoyment of the natural environment and recreational facilities. In this context, references to landscape should be taken as covering local landscape, waterscape and townscape character and quality, where appropriate.

Applicant's assessment

- 5.203** Where the development is subject to an Environmental Impact Assessment, the applicant should undertake an assessment of any likely significant landscape and visual impacts and describe them in the environmental statement. The landscape and visual assessment should reference any landscape character assessment and associated studies as a means of assessing landscape impacts relevant to the preferred scheme. In addition, the applicant's assessment should take account of any relevant policies based on these assessments in local development documents.
- 5.204** The applicant's assessment should include any significant effects during construction of the preferred scheme and / or the significant effects of the completed development and its operation on landscape components and landscape character, including historic characterisation. This should include assessment of any landscape and visual impacts as a result of the development, for example surface access proposals or aviation activity.
- 5.205** The assessment should include the visibility and conspicuousness of the preferred scheme during construction and the presence and operation of the preferred scheme and potential impacts on views and visual amenity. This should include any noise and light pollution effects, including on local amenity, tranquillity and nature conservation.

Mitigation

- 5.206** Adverse landscape and visual effects may be minimised through appropriate design (including choice of materials), and landscaping schemes. Materials and designs for the airport should be given careful consideration.

Decision making

Landscape impact

5.207 Landscape effects depend on the nature of the existing landscape likely to be changed and nature of the effect likely to occur. Both these factors need to be considered in judging the impact of a project on the landscape. Projects need to be designed carefully, taking account of the potential impact on the landscape. Having regard to siting, operational and other relevant constraints, the development should aim to avoid or minimise harm to the landscape, providing reasonable mitigation where possible and appropriate.

Development proposed within nationally designated areas

5.208 Great weight should be given to conserving landscape and scenic beauty in nationally designated areas. National Parks, the Broads and Areas of Outstanding Natural Beauty have the highest status of protection in relation to landscape and scenic beauty. Each of these designated areas has specific statutory purposes which help ensure their continued protection and which the Secretary of State has a statutory duty to have regard to in decisions.

5.209 The Secretary of State should refuse development consent in these areas except in exceptional circumstances and where it can be demonstrated that it is in the public interest. Consideration of such applications should include an assessment of:

- The need for the development, including in terms of any national considerations, and the impact of consenting, or not consenting it, upon the local economy;
- The cost of, and scope for, developing elsewhere, outside the designated area, or meeting the need for it in some other way; and
- Any detrimental effect on the environment, the landscape and recreational opportunities, and the extent to which that could be moderated.

5.210 Where consent is given in these areas, the Secretary of State should be satisfied that the applicant has ensured that the preferred scheme will be carried out to high environmental standards and, where possible, includes measures to enhance other aspects of the environment. Where necessary, the Secretary of State should consider the imposition of appropriate requirements to ensure these standards are delivered.

Developments outside nationally designated areas which might affect them

5.211 The duty to have regard to the purposes of nationally designated areas also applies when considering applications for projects outside the boundaries of these areas which may have impacts within them. The development should aim to avoid compromising the purposes of designation, and such projects should be designed sensitively given the various siting, operational, and other relevant constraints.

Developments in other areas

5.212 Outside nationally designated areas, there are local landscapes and townscapes that are highly valued locally and may be protected by local designation. Where a local development document in England has policies based on landscape character assessment, these should be given particular consideration. However, local landscape designations should not be used in themselves as reasons to refuse consent, as this may unduly restrict acceptable development.

5.213 In taking decisions, the Secretary of State will consider whether the preferred scheme has been designed carefully, taking account of environmental effects on the landscape and siting, operational and other relevant constraints, to avoid adverse effects on landscape or to minimise harm to the landscape, including by reasonable mitigation.

Visual impact

5.214 The Secretary of State will judge whether the visual effects on sensitive receptors, such as local residents, and other receptors, such as visitors to the local area, outweigh the benefits of the development.

Land instability

Introduction

5.215 The effects of land instability may result in landslides, subsidence or ground heave. Failing to deal with this issue could cause harm to human health, local property and associated infrastructure, and the wider environment. They occur in different circumstances for different reasons and vary in their predictability and in their effect on development.

Applicant's assessment

5.216 Where necessary, land stability should be considered in respect of new development, as set out in the National Planning Policy Framework and supporting planning guidance.¹⁹⁶ Specifically, proposals should be appropriate for the location, including preventing unacceptable risks from land instability. If land stability could be an issue, the applicant should seek appropriate technical and environmental expert advice to assess the likely consequences of proposed developments on sites where subsidence, landslides and ground compression is known or suspected. Applicants should liaise with the Coal Authority if necessary.

5.217 A preliminary assessment of ground instability should be carried out at the earliest possible stage before a detailed application for development consent is prepared. The applicant should ensure that any necessary investigations are undertaken to confirm that their sites are and will remain stable, or can be made so as part of the development. The site needs to be assessed in the context of surrounding areas where subsidence, landslides and land compression could threaten the development during its anticipated life or damage neighbouring land or property. This could be in the form of a land stability or slope stability risk assessment report.

Mitigation

5.218 The applicant has a range of mechanisms available to mitigate and minimise risks of land instability. These include:

- Establishing the principle and layout of new development, for example avoiding mine entries and other hazards;
- Ensuring proper design of structures to cope with any movement expected and other hazards such as mine and / or ground gases; or
- Requiring ground improvement techniques, usually involving the removal of poor material and its replacement with suitable inert and stable material. For development on land previously affected by mining activity, this may mean prior extraction of any remaining mineral resource.

¹⁹⁶ <https://www.gov.uk/guidance/land-stability>

Dust, odour, artificial light, smoke and steam

5.219 The construction and operation of airports infrastructure has the potential to create a range of emissions such as dust, odour, artificial light, smoke and steam. All have the potential to have a detrimental impact on amenity or cause a common law nuisance or statutory nuisance under Part III, Environmental Protection Act 1990.¹⁹⁷ These may also be covered by pollution control or other environmental consenting regimes.

5.220 Because of the potential effects of these emissions and in view of the availability of the defence of statutory authority against nuisance claims described previously, it is important that the potential for these impacts is considered by the applicant in its application, by the Examining Authority in examining applications, and by the Secretary of State in taking decisions on development consent.

5.221 For nationally significant infrastructure projects of the type covered by the Airports NPS, some impact on amenity for local communities is likely to be unavoidable. Impacts should be kept to a minimum and should be at a level that is acceptable.

Applicant's assessment

5.222 Where the development is subject to an Environmental Impact Assessment, the applicant should assess any likely significant effects on amenity from emissions of dust, odour, artificial light, smoke and steam, and describe these in the environmental statement.

5.223 In particular, the assessment provided by the applicant should describe:

- The type and quantity of emissions;
- Aspects of the development which may give rise to emissions during construction, operation and decommissioning;
- Premises or locations that may be affected by the emissions;
- Effects of the emission on identified premises or locations; and
- Measures to be employed in preventing or mitigating the emissions.

5.224 The applicant is advised to consult the relevant local planning authority and, where appropriate, the Environment Agency, about the scope and methodology of the assessment.

Mitigation

5.225 The Secretary of State should ensure the applicant has provided sufficient information to show that any necessary mitigation will be put into place. In particular, the Secretary of State should consider whether to require the applicant to abide by a scheme of management and mitigation concerning emissions of dust, odour, artificial light, smoke and steam from the development to reduce any loss to amenity which might arise during the construction and operation of the development. A construction management plan may help clarify and secure mitigation.

¹⁹⁷ <http://www.legislation.gov.uk/ukpga/1990/43/part/III>

Decision making

- 5.226** The Secretary of State should be satisfied that all reasonable steps have been taken, and will be taken, to minimise any detrimental impact on amenity from emissions of dust, odour, artificial light, smoke and steam. This includes the impact of light pollution from artificial light on local amenity, intrinsically dark landscapes and nature conservation.
- 5.227** If development consent is granted for a project, the Secretary of State should consider whether there is a justification for all of the authorised project (including any associated development) being covered by a defence of statutory authority against nuisance claims. If the Secretary of State cannot conclude that this is justified, then the defence should be disapplied, in whole or in part, through a provision in the development consent order.

Community compensation

Introduction

- 5.228** The Secretary of State recognises that, in addition to providing economic growth and employment opportunities, airport expansion will also have negative impacts upon local communities. This will include impacts through land take requiring the compulsory acquisition of houses that fall within the new boundary of the airport, exposure to air quality impacts, and aircraft noise, that is both an annoyance and can have an adverse impact on health and cognitive development.
- 5.229** The Secretary of State expects the applicant to provide an appropriate community compensation package, relevant to planning. This will include financial compensation to residents who will see their homes compulsorily acquired, as well as ongoing financial compensation to the local community. In addition to controlling and reducing aircraft noise impacts, the applicant will be required to commit appropriate resources to mitigate the impacts of aircraft through noise insulation programmes for both private homes and public buildings such as schools.
- 5.230** A number of statutory protections are provided in these areas, and the applicant must fulfil its statutory duties in a timely and efficient manner.
- 5.231** Under planning law, residential and agricultural owners directly affected by the applicant's plans will have access to statutory blight provisions upon the designation of the Airports NPS.
- 5.232** In addition, compensation can be sought in respect of loss of value of a property arising from the development during construction (under the Compulsory Purchase Act 1965)¹⁹⁸ and for loss of value arising from the operation of an expanded airport (under Part 1 of the Land Compensation Act 1973)¹⁹⁹ after one year of operation.
- 5.233** People are entitled to know what steps will be taken to help protect them against aircraft noise and, where appropriate, to help them to move house.

¹⁹⁸ <http://www.legislation.gov.uk/ukpga/1965/56/contents>

¹⁹⁹ <http://www.legislation.gov.uk/ukpga/1973/26/contents>

5.234 In addition to statutory requirements, Heathrow Airport has publicly committed to a community compensation package comprising a number of more generous offers:

- To pay 125% of market value, plus taxes and reasonable moving costs, for all owner occupied homes within the compulsory acquisition zone;
- To pay 125% of market value, plus taxes and reasonable moving costs, for all owner occupied homes within an additional voluntary purchase / acquisition zone incorporating the area known as the Heathrow Villages;
- Following a third party assessment, to provide full acoustic insulation for residential property within the full 60dB LAeq²⁰⁰ noise contour of an expanded airport;
- Following a third party assessment, to provide a contribution of up to £3,000 for acoustic insulation for residential properties within the full single mode easterly and westerly 57dB LAeq (16hr) or the full 55dB Lden²⁰¹ noise contours of an expanded airport, whichever is the bigger; and
- To deliver a programme of noise insulation and ventilation for schools and community buildings within the 60dB LAeq (16 hour) contour.²⁰²

5.235 In addition to the statutory requirements and the public commitments made by Heathrow Airport, the Government also supports the Airports Commission's recommendation for an additional component of ongoing community compensation proportionate to environmental impacts.

5.236 The Airports Commission suggested this should take the form of a national noise levy paid for by passengers. The Government does not consider a national levy appropriate, but supports the development of a community compensation fund at an expanded Heathrow Airport. The Government expects that the size of the community compensation fund will be proportionate to the environmental harm caused by expansion of the airport. The Government notes that, in its consideration of a noise levy, the Airports Commission considered that a sum of £50 million per annum could be an appropriate amount at an expanded Heathrow Airport, and that, over a 15 year period, a community compensation fund could therefore distribute £750 million to local communities.

5.237 Expansion at Heathrow Airport is likely to increase the amount of locally collected business rates in the area. The Government is currently undertaking reforms which should mean that local government as a whole will retain 100% of locally collected business rates by the end of this Parliament. These reforms will consider how authorities benefit from growth in their areas, including opportunities for authorities to work together to share the benefits. Heathrow Airport is currently the highest single site business rates payer in the UK.²⁰³

²⁰⁰ Leq is the measure used to describe the average sound level experienced over a period of time (usually sixteen hours for day and eight hours for night) resulting in a single decibel value. Leq is expressed as LAeq when it refers to the A-weighted scale

²⁰¹ Lden is the 24 hour LAeq calculated for an annual period, but with a five decibel weighting for evening and a ten decibel weighting for night to reflect people's greater sensitivity to noise within these periods

²⁰² <http://your.heathrow.com/newpropertycompensation/>

²⁰³ <http://www.cvsuk.com/news-resources/news/draft-list-release>

Applicant's assessment

- 5.238** The Government expects to see arrangements being made by Heathrow Airport for the community compensation schemes which it has publicly stated would be provided, and for a community compensation fund.
- 5.239** The applicant should seek to minimise impacts on local people, to consult on the details of its works, and to put them in place quickly. The Government also looks to the applicant to consult on the detail of a community compensation fund.

Decision making

- 5.240** The Secretary of State will consider whether and to what extent the applicant has sought to minimise impacts on local people, has consulted on the details of its works, and has put mitigations in place, at least to the level committed to in its public commitments. This includes whether the applicant has set out appropriate eligibility criteria and timescales for delivery, and how delivery will be ensured.
- 5.241** The Secretary of State will also consider whether the applicant has consulted on the details of a community compensation fund, including source of revenue, size and duration of fund, eligibility, and how delivery will be ensured.
- 5.242** The Secretary of State will expect the applicant to demonstrate how these provisions are secured, and how they will be operated. The applicant will also need to show how these measures will be administered to ensure that they are relevant to planning when in operation. The mechanisms for enforcing these provisions should also be demonstrated, along with the appropriateness of any identified enforcing body, which may include the Secretary of State.

Community engagement

Introduction

- 5.243** The Government recognises that the planning, construction, and subsequent operation of a Northwest Runway will bring both significant impacts and opportunities to communities living around Heathrow Airport. Communities will wish to participate fully in the development and delivery of expansion, and the Government expects them to be able to do so.
- 5.244** There will be many opportunities for communities to engage as expansion is taken forward. The Government is required to consult on and publicise the Airports NPS, and the applicant is subject to pre-application consultation requirements. Additional consultations on issues such as airspace change will take place outside of the planning process. Ongoing engagement will also be required as the applicant takes forward its compensation package.
- 5.245** The Government wishes to maximise local stakeholder engagement with the expansion process, and it wishes to encourage the applicant and local stakeholders to strengthen the way in which they work together to make engagement effective. Local stakeholders, including those representing communities around Heathrow Airport, have the experience and expertise to identify solutions tailored to their specific circumstances. A number of engagement forums already exist at Heathrow Airport. These have developed over time in response to emerging needs and are consistent with the Government's view that, in principle, it encourages collaborative local solutions.

5.246 A community engagement board will be developed at Heathrow Airport to help to ensure that local communities are able to contribute effectively to the delivery of expansion, including to consultations and evidence gathering during the planning process.

Applicant's assessment

5.247 The applicant must engage constructively with the community engagement board throughout the planning process, with its membership (including an independent chair), and with any programme(s) of work the community engagement board agrees to take forward.

Decision making

5.248 The Secretary of State will consider whether the applicant has engaged constructively with this community engagement board throughout the planning process.

Skills

Introduction

5.249 The Government is committed to helping people into jobs and improving the skills of the UK workforce, with a target of three million new apprenticeships being created in the current Parliament.²⁰⁴ Continuing to create jobs and new training opportunities will help to consolidate the national economic recovery, put the UK on the path to full employment and raise the nation's productivity. Apprenticeships have an essential role to play within this work, helping individuals to develop key skills which will benefit both them and employers.

5.250 To help deliver the Government's wider skills agenda, the Department for Transport published *Transport Skills Strategy: building sustainable skills* in January 2016, setting out its skills strategy for transport, including aviation, and an additional 30,000 apprenticeships by 2020 across the road and rail sectors.²⁰⁵ The Strategic Transport Apprenticeship Taskforce has been created to deliver this work.²⁰⁶

5.251 The Government notes that Heathrow Airport already makes a significant contribution to local employment and already has a number of skills and employment initiatives designed to support the business requirements of the airport. The Heathrow Academy, established in 2004, supports recruitment and retention of local residents across the retail, construction, aviation and logistics sectors, and includes apprenticeships as a part of the package.²⁰⁷

5.252 The Government notes that Heathrow Airport has publicly committed to creating 10,000 apprenticeships before 2030, thereby doubling the number offered at the airport.²⁰⁸

5.253 The Heathrow Northwest Runway scheme represents an opportunity to grow the number of jobs and apprenticeships supported by the applicant and its supply chain, particularly in neighbouring communities.

²⁰⁴ <https://www.gov.uk/government/news/government-kick-starts-plans-to-reach-3-million-apprenticeships>

²⁰⁵ <https://www.gov.uk/government/publications/transport-infrastructure-skills-strategy-building-sustainable-skills>

²⁰⁶ <https://www.gov.uk/government/news/strategic-transport-apprenticeship-taskforce-to-boost-apprenticeships>

²⁰⁷ <http://www.heathrow.com/company/heathrow-jobs/heathrow-academy>

²⁰⁸ <http://your.heathrow.com/takingbritainfurther/10000-apprenticeships-with-heathrow-expansion/>

Applicant's assessment

- 5.254** Heathrow Airport should put in place arrangements for the delivery of the 5,000 new apprenticeships which it has publicly stated would be provided. Heathrow Airport should set out its timetable for delivering the apprenticeships, provide information on the areas and skills to be covered by these apprenticeships, the breakdown between opportunities to be created within the core airport and those being offered by companies within its supply chain, and the qualification level and standards which they will need to achieve. Heathrow Airport should also set out how it will publicly report progress against the target.
- 5.255** The Government expects the applicant to maximise the employment and skills opportunities for local residents, including apprenticeships.
- 5.256** Heathrow Airport will also need to show how these measures will be administered to ensure that they are relevant to planning when in operation. The mechanisms for enforcing these provisions should also be demonstrated, along with the appropriateness of any identified enforcing body, which may include the Secretary of State.

Decision making

- 5.257** The Secretary of State will consider whether Heathrow Airport has set out a credible plan to implement its commitment to deliver 10,000 apprenticeships at an expanded airport.
- 5.258** The Secretary of State will consider how these provisions are secured, and how they will be operated.

Ruling out a fourth runway

Introduction

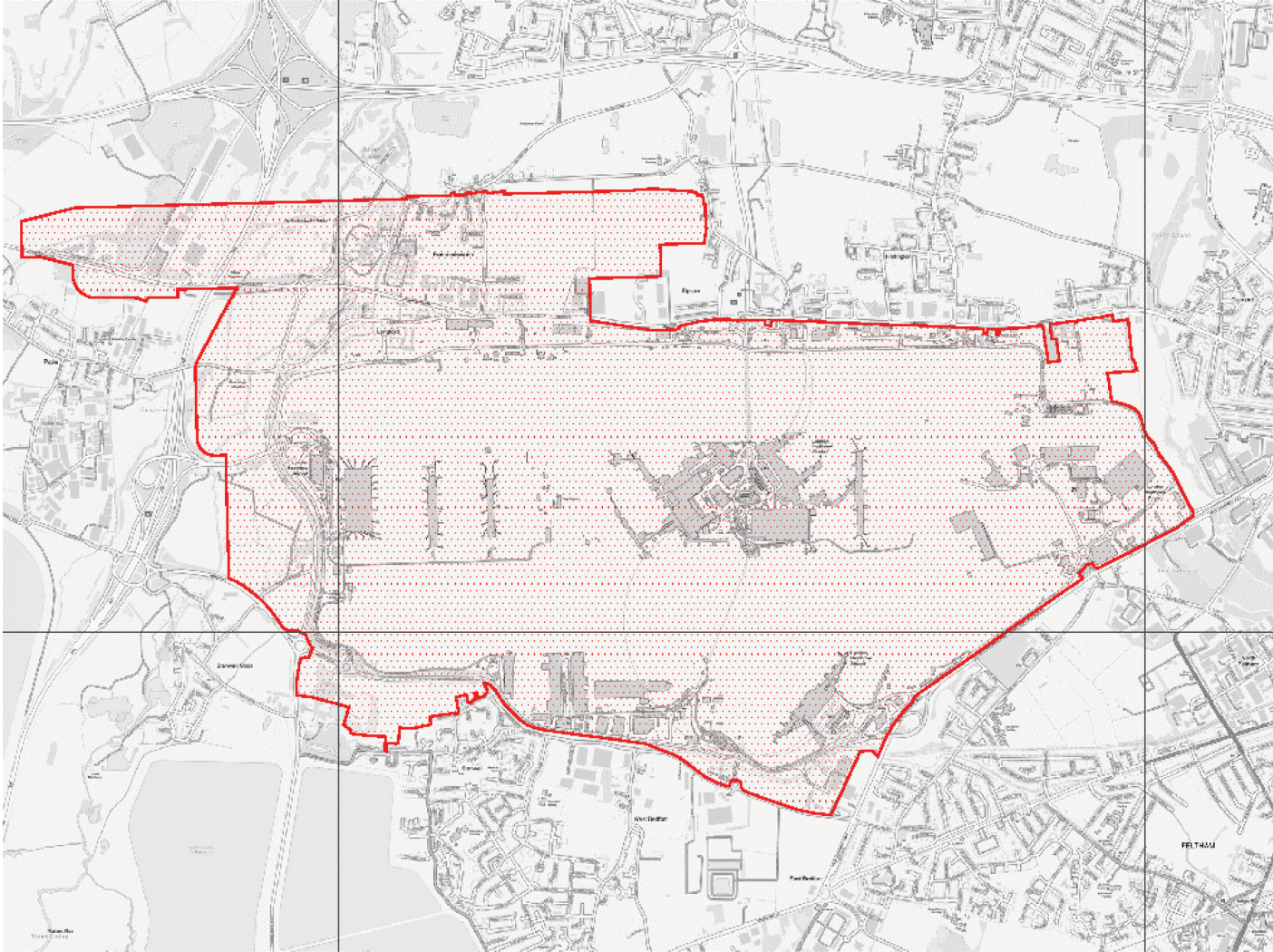
- 5.259** As part of its work, the Airports Commission considered the possibility that, in addition to the increased capacity provided by a Northwest Runway at Heathrow Airport, the airport might wish in the future to develop a fourth runway. The Airports Commission found no sound case for such a development.
- 5.260** First, the Airports Commission concluded that the airspace around the airport would be increasingly difficult to manage if a fourth runway was built. It noted that the airport could safely support 800,000 air transport movements per year at a four runway site, only 60,000 more than under the (three runway) Heathrow Northwest Runway scheme, but that the airspace impacts would lead to reduced numbers of air transport movements at the other airports in the London area.
- 5.261** Second, the Airports Commission concluded that it would be increasingly challenging to physically accommodate a fourth runway at the Heathrow Airport site. Taken together, these conclusions mean that building a fourth runway at Heathrow Airport would result in significant costs while providing less overall additional benefit.
- 5.262** Finally, the Airports Commission noted that there would be no guarantee that the potential demand for a further runway would be backed by a strong economic or environmental case. Any project to deliver a fourth runway at Heathrow Airport would be costly and extremely difficult to deliver given all of these considerations.

5.263 The Airports Commission also noted the importance of a clear signal from Government on limiting expansion to reassure local communities that Heathrow Airport will not expand any further.

Decision making

5.264 The Government agrees with the Airports Commission's recommendation and the analysis that underpins it, and therefore does not see a need for a fourth runway at Heathrow Airport. An application in the vicinity of Heathrow Airport for a fourth runway would not be supported in policy terms, and should be seen as being in conflict with the Airports NPS.

Annex A: Illustrative Heathrow Northwest Runway scheme boundary map



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Equality Impact Assessment - Stage One

We need to ensure that our strategies, policies, functions and services, current and proposed have given due regard to equality and diversity as set out in the Public Sector Equality Duty (Section 149 of the Equality Act), which states:

- “(1) A public authority must, in the exercise of its functions, have due regard to the need to:**
- (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;**
 - (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; This includes the need to:**
 - (i) remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;**
 - (ii) take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;**
 - (c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it, with due regard, in particular, to the need to be aware that compliance with the duties in this section may involve treating some persons more favourably than others.**
- (2) The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.**
- (3) Compliance with the duties in this section may involve treating some persons more favourably than others.”**

The following list of questions may help to establish whether the decision is relevant to equality:

- Does the decision affect service users, employees or the wider community?
- (The relevance of a decision to equality depends not just on the number of those affected but on the significance of the impact on them)
- Is it likely to affect people with particular protected characteristics differently?
- Is it a major policy, or a major change to an existing policy, significantly affecting how functions are delivered?
- Will the decision have a significant impact on how other organisations operate in terms of equality?
- Does the decision relate to functions that engagement has identified as being important to people with particular protected characteristics?
- Does the decision relate to an area with known inequalities?
- Does the decision relate to any equality objectives that have been set by the council?

Please complete the following questions to determine whether a full Stage Two, Equality Impact Assessment is required.

What is the proposed decision that you are asking the Executive to make:	To agree the proposed response to the Government's consultation on the Draft Airports National Policy Statement (NPS) which includes support for the Heathrow Northwest Runway Scheme.
Summary of relevant legislation:	The Airports National Policy Statement is presented to Parliament pursuant to Section 9(2) of the Planning Act 2008
Does the proposed decision conflict with any of the Council's key strategy priorities?	There is no conflict.
Name of assessor:	Jenny Graham
Date of assessment:	20.03.2017

Is this a:		Is this:	
Policy	Yes/No	New or proposed	Yes/No
Strategy	Yes/No	Already exists and is being reviewed	Yes/No
Function	Yes/No	Is changing	Yes/No
Service	Yes/No		

1. What are the main aims, objectives and intended outcomes of the proposed decision and who is likely to benefit from it?	
Aims:	To reinforce the Council's position in relation to additional airport capacity in the south east (established in 2014) and to engage with the Government's consultation on the Draft Airports National Policy Statement.
Objectives:	To support the Draft NPS and the delivery of a new Northwest Runway at Heathrow.
Outcomes:	To see the approval of the Airports NPS which will become the framework against which any development consent application will be assessed.
Benefits:	The selection of Heathrow to provide the necessary additional capacity in air travel will be positive for the economy of West Berkshire. This is due to our location in the Thames Valley Region and proximity to an improved Heathrow which will increase the attractiveness for businesses to locate in the District bringing the associated benefits in terms of

employment.

2. Note which groups may be affected by the proposed decision. Consider how they may be affected, whether it is positively or negatively and what sources of information have been used to determine this.

(Please demonstrate consideration of all strands – Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex and Sexual Orientation.)

Group Affected	What might be the effect?	Information to support this
Age	Please see further comments below.	
Disability		
Gender Reassignment		
Marriage and Civil Partnership		
Pregnancy and Maternity		
Race		
Religion or Belief		
Sex		
Sexual Orientation		

Further Comments relating to the item:

The Airports NPS has been informed by an Interim Equality Impact Assessment, which was published alongside the Airports NPS.

Under the Equality Act 2010, public bodies have a statutory duty to ensure race, disability and equality are considered in the exercise of their functions. The Interim Equality Impact Assessment considered the potential equalities implications of airport expansion, including the effect on persons or groups of persons who share certain characteristics protected by the Equality Act 2010. The Interim Equality Impact Assessment concludes that all of the shortlisted schemes will have effects on these groups, but that such effects can be managed and can ultimately be within appropriate limits. The Airports NPS requires that final impacts on affected groups should be the subject of a detailed review, carefully designed through engagement with the local community, and approved by the Secretary of State. It should be possible to fully or partially mitigate negative equalities impacts through good design, operations and mitigation plans.

3. Result

Are there any aspects of the proposed decision, including how it is delivered or accessed, that could contribute to inequality?

Yes/No

Please provide an explanation for your answer:

The Council's decision to support the proposal for airport expansion at Heathrow is not considered to have a different impact on the residents of West Berkshire in relation to Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex and Sexual Orientation.

Will the proposed decision have an adverse impact upon the lives of people, including employees and service users?

Yes/No

Please provide an explanation for your answer:

Support for Heathrow will have a positive effect on the West Berkshire economy. Due to the distance of our District from Heathrow, any negative impacts arising from the construction works or increased flights are not considered to have a direct impact on West Berkshire. In terms of the communities more directly affected, the Government has carried out an Interim Equality Impact Assessment and there will be a detailed assessment carried out as part of the detailed plans for Heathrow expansion.

If your answers to question 2 have identified potential adverse impacts and you have answered 'yes' to either of the sections at question 3, or you are unsure about the impact, then you should carry out a Stage Two Equality Impact Assessment.

If a Stage Two Equality Impact Assessment is required, before proceeding you should discuss the scope of the Assessment with service managers in your area. You will also need to refer to the [Equality Impact Assessment guidance and Stage Two template](#).

4. Identify next steps as appropriate:

Stage Two required	No
Owner of Stage Two assessment:	n/a
Timescale for Stage Two assessment:	n/a

Name: Jenny Graham

Date: 20.03.2017

Please now forward this completed form to Rachel Craggs, Principal Policy Officer (Equality and Diversity) (rachel.craggs@westberks.gov.uk), for publication on the WBC website.



This form is also available online [here](#).

Alternatively, if you wish to complete this in pdf form, please download the file before filling it in. **Please ensure you save any changes to your personal computer**, using the save icon in the top left hand corner, before sending it. **Do not complete it in your browser** as you may experience problems saving it.

Runway Consultation Response Form

The Government confirmed the Northwest Runway at Heathrow Airport as the preferred scheme for adding new runway capacity in the South East. This supports our vision for an aviation sector that supports economic growth, jobs and business opportunities, now and for future generations.

The initial phase in the delivery of the new runway at Heathrow Airport will be taken forward through an Airports National Policy Statement (NPS). The Airports NPS will set the requirements that applicants must meet to gain consent to develop a Northwest Runway at Heathrow Airport.

Have your say:

We are consulting on the need for additional airport capacity in the south east and the requirements that an applicant needs to meet to be granted consent to develop a Northwest Runway at Heathrow Airport.

We want to hear your views. We are consulting across the UK, particularly with those communities who will be directly impacted by expansion but also with those who could benefit from expansion at Heathrow.

Before answering any of the questions please read the consultation document (Consultation on Draft Airports National Policy Statement: new runway capacity and infrastructure at airports in the South East of England) which can be found at: www.gov.uk/dft/heathrow-airport-expansion

How to respond:

Online: www.gov.uk/dft/heathrow-airport-expansion

Email: RunwayConsultation@dft.gsi.gov.uk

Post: Freepost RUNWAY CONSULTATION
(no stamp or further address required)

Respond by:

25th May 2017

About you

First nameSurname

Postcode.....Email

Are you responding on behalf of an organisation or group? Yes No

If yes, please state the name of your organisation or group*:

.....

***Please note: if you are providing a response on behalf of an organisation or group, the name and details of the organisation or group may be subject to publication or appear in the final report.**

For organisations: What category is your organisation?

Please tick the relevant box

- Statutory body
- Local authority
- Community group
- Environment group
- Airport
- Airline
- Air Navigation Service Provider
- Other Transport Provider (e.g. bus, train)
- Small Business
- Medium Business
- Large Business
- Business umbrella body
- Air freight business
- Other, please state

Information provided in response to this consultation, including personal information, may be subject to publication or disclosure in accordance with the access to information regimes (these are primarily the Freedom of Information Act 2000 (FOIA), the Data Protection Act (DPA) 1998, and the Environmental Information Regulations 2004).

If you want information that you provide to be treated as confidential please tick the box below.

Please be aware that, under the FOIA, there is a statutory Code of Practice with which public authorities must comply and which deals with, amongst other things, obligations of confidence.

In view of this, it would be helpful if you could explain to us why you regard the information you have provided as confidential. If we receive a request for disclosure of the information we will take full account of your explanation, but we cannot give an assurance that confidentiality can be maintained in all circumstances.

The Department for Transport will process your personal data in accordance with the DPA 1998, and in the majority of circumstances, this will mean that your personal data will not be disclosed to third parties.

I wish my response to be treated as confidential

Please write your reasons below. Please attach additional pages as required.

The need for additional airport capacity

(Chapter 3 of the consultation document)

Question 1: The Government believes there is the need for additional airport capacity in the South East of England by 2030. Please tell us your views.

Please provide as much detail as possible in the box below. Please attach additional pages as required, indicating which question you are responding to.

Heathrow Northwest Runway Scheme

(Chapter 4 of the consultation document)

Question 2: Please give us your views on how best to address the issue of airport capacity in the South East of England by 2030. This could be through the Heathrow Northwest Runway scheme (the Government's preferred scheme), the Gatwick Second Runway scheme, the Heathrow Extended Northern Runway scheme, or any other scheme.

Please provide as much detail as possible in the box below. Please attach additional pages as required, indicating which question you are responding to.

Assessment principles

(Chapter 5 of the consultation document)

Question 3: The Secretary of State will use a range of assessment principles when considering any application for a Northwest Runway at Heathrow Airport. Please tell us your views.

Please provide as much detail as possible in the box below. Please attach additional pages as required, indicating which question you are responding to.

Impacts and requirements

(Chapter 6 of the consultation document)

Question 4: The Government has set out its approach to surface access for a Heathrow Northwest Runway scheme. Please tell us your views.

Please provide as much detail as possible in the box below. Please attach additional pages as required, indicating which question you are responding to.

(Chapter 6 of the consultation document)

Question 5: The draft Airports National Policy Statement sets out a package of supporting measures to mitigate negative impacts of a Heathrow Northwest Runway scheme. Please tell us your views. Are there any other supporting measures that should be set out? In particular, please tell us your views on:

Please provide as much detail as possible in the boxes below. Please attach additional pages as required, indicating which question you are responding to.

5.1. Air quality supporting measures

5.2. Noise supporting measures

5.3. Carbon emissions supporting measures

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5.4. Compensation for local communities

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(Chapter 6 of the consultation document)

Question 6: The Government has set out a number of planning requirements that a Heathrow Northwest Runway scheme must meet in order to operate. Please tell us your views. Are there any other requirements the Government should set out?

Please provide as much detail as possible in the box below. Please attach additional pages as required, indicating which question you are responding to.

Draft Airports NPS Appraisal Of Sustainability

(Chapter 8 of the consultation document)

Question 7: The Appraisal of Sustainability sets out the Government's assessment of the Heathrow Northwest Runway scheme, and considers alternatives. Please tell us your views.

Please provide as much detail as possible in the box below. Please attach additional pages as required, indicating which question you are responding to.

General questions

Question 8: Do you have any additional comments on the draft Airports National Policy Statement or other supporting documents?

Please provide as much detail as possible in the box below. Please attach additional pages as required, indicating which question you are responding to.

Question 9: The Government has a public sector equality duty to ensure protected groups have the opportunity to respond to consultations. Please tell us your views on how this consultation has achieved this.

Please provide as much detail as possible in the box below. Please attach additional pages as required, indicating which question you are responding to.

Merchant House, Newbury

Committee considering report:	Executive on 4 May 2017
Portfolio Member:	Councillor Dominic Boeck
Date Portfolio Member agreed report:	21 March 2017
Report Author:	Richard Turner
Forward Plan Ref:	EX3299

1. Purpose of the Report

- 1.1 To promote the purchase of the freehold of Merchant House, Oxford Road, Newbury, RG14 1PA.
- 1.2 The Scheme of Delegation within the Constitution (s. 3.13.13) allows delegated authority for the Head of Legal Services to authorise the purchase of property up to £300,000. This report recommends the acquisition of the freehold of a property at an amount which is beyond this threshold.

2. Recommendation

- 2.1 That West Berkshire Council negotiate to purchase the freehold interest in the property occupied currently under a lease by the Youth Offending Team, subject to the approval of confidential financial matters reserved within the Part II report.

3. Implications

- 3.1 **Financial:** There will be a capital expenditure.
- 3.2 **Policy:** N/A
- 3.3 **Personnel:** None
- 3.4 **Legal:** Legal input to transfer property
- 3.5 **Risk Management:** None
- 3.6 **Property:** Property to negotiate terms of purchase
- 3.7 **Other:**

4. Other options considered

- 4.1 West Berkshire Council negotiates to renew the lease when it expires on 12 May 2017 for a term of years to be decided and agreed with the freeholder.
- 4.2 Given the operational requirements of Youth offending Team there is currently no suitable other West Berkshire Council property to which they could locate.

5. Executive Summary

- 5.1 Merchant House is located at 20 Oxford Road Newbury close to the Waitrose supermarket and comprises a former residential property built around 1867/8 on a site of about 500 sq m (0.12 acres) but has been converted to be used as B1 offices, the site being shown edged red on the attached plan.
- 5.2 The property comprises about 2386 sq ft of office accommodation on ground and first floor with two small courtyards and parking for around 9 vehicles, but a right of way is reserved through the parking area serving an adjoining property.
- 5.3 Currently WBC occupies the building under a lease dated 12 May 2015 for a period of 2 years so the lease will expire shortly in May 2017.
- 5.4 The building is occupied by the Youth Offending Team who has adapted the building for their use which involves multi agency working and generally it would be difficult for this service to share space with other occupiers due to the nature of the service provided and the vulnerable nature of their users.
- 5.5 Initial discussions with the owner have taken place and he has indicated that he would be willing to sell the freehold.
- 5.6 A valuation report has been commissioned by the Council from Quintons Commercial.
- 5.7 There is the possibility that the property could be converted back to a residential premises which will require a change of use planning application and physical adaptation internally.
- 5.8 The final value of the property will be subject to the outcome of negotiations with the sellers agent and WBC will be represented by a property agent.
- 5.9 Over the occupancy period by WBC of the premises, considerable expenditure exceeding £100,000 has been committed to works involving fire regulation works and other repair and maintenance issues to make the property compliant for its current use and if the council vacates the premises it potentially faces a claim for any dilapidations, plus the cost of relocating to alternative premises and any adaptation that may be required but relocating by May 2017 is not physically practical.
- 5.10 The proposal for the purchase of Merchant House was recommended to Asset Management Group on 23 February 2017 and received approval.
- 5.11 The proposal for the allocation of capital funding for the purchase of Merchant House was recommended to the Capital Strategy Group on 17 March 2017 and received approval.

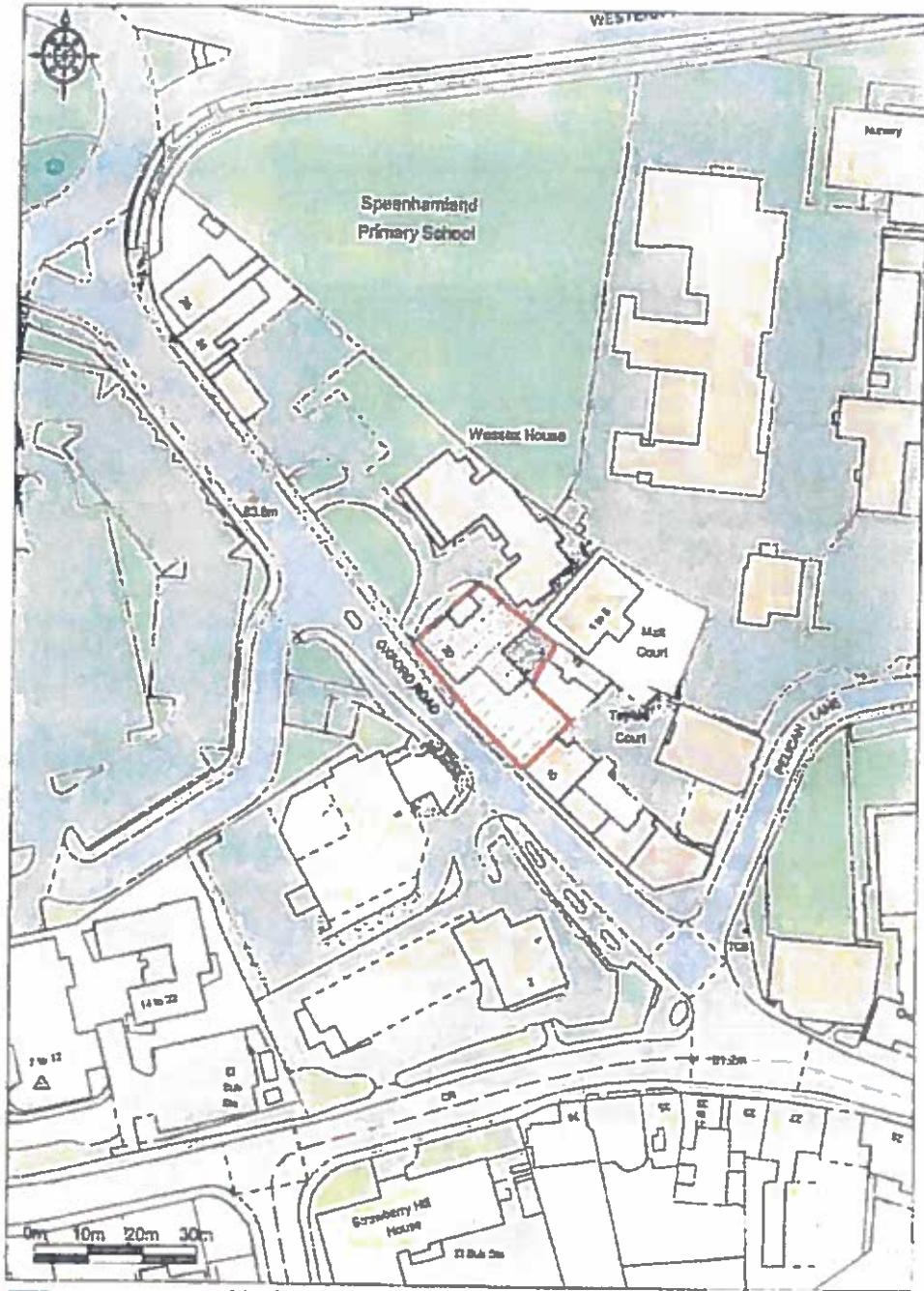
6. Conclusion

- 6.1 Acquiring Merchant House, as an operational property, is a sensible option in that it reduces the outgoings to the council compared to renting, but also should the property become surplus to requirements at any point there is the option to either let the property for income or sell.

7. Appendices

7.1 Appendix A – Location plan.

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Agenda Item 12.

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