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Date: Friday, 23 January 2026

Dear Member,

HEY Combined Authority

The next meeting of the **HEY Combined Authority** will be held at **11:00** on **Friday, 30 January 2026** in **Ergo, Bridgehead Business Park, Hesse**.

The Agenda for the meeting is attached and reports are enclosed where relevant.

Please Note: It is likely that the public, (including the Press) will be excluded from the meeting during discussions of exempt items since they involve the possible disclosure of exempt information as describe in Schedule 12A of the Local Government Act 1972.

Yours faithfully,



Democratic Services Officer



Town Clerk Services, Hull City Council,
The Guildhall, Alfred Gelder Street, Hull, HU1 2AA

Hull and East Yorkshire Combined Authority

To: **Membership:**

Luke Campbell, Mayor of Hull and East Yorkshire
Councillors Ross (Hull City Council)
Councillor Dad (Hull City Council)
Councillors Handley (East Riding of Yorkshire Council)
Councillor Tucker (East Riding of Yorkshire Council)
Jonathan Evison, Humberside Police and Crime Commissioner
Jason Speedy, Chair of HEY Business Board
Jayne Adamson, Chair of HEY Skills Board

Officers:

HEY Combined Authority

Alan Menzies, Interim Chief Executive
Tony Maione, Interim Monitoring Officer
Julian Neilson, Interim Finance Director
Louise Hawkins, Democratic Services Officer (x3)

For Information:

Reference Library (public set)

HEY Combined Authority

11:00 on Friday, 30 January 2026

Ergo, Bridgehead Business Park, Hessle

A G E N D A

PROCEDURAL ITEMS

1 Apologies

To receive apologies for those Members who are unable to attend the meeting.

2 Declarations of Interest

To remind Members of the need to record the existence and nature of any Personal and Discloseable Pecuniary interest in items on the agenda, in accordance with the Member Code of Conduct.

3 Minutes of the meeting held on 24 November 2026

5 - 20

To approve the minutes as a true and correct record.

4 Public Questions

To receive any public questions.

5 Reports from Committees of the Combined Authority

To receive reports from Committees of the Combined Authority.

NON-EXEMPT ITEMS

6 HEYCA HR Policies

21 - 148

To approve the attached policies.

- | | | |
|-----------|---|----------------------|
| 7 | Assurance Framework | 149 -
220 |
| | To approve the Assurance Framework. | |
| 8 | Adult Skills Fund Delegations | 221 -
230 |
| | To approve the delegations required in relation to the Adult Skills Fund. | |
| 9 | HEYCA Transport and Public Transport Transition | 231 -
244 |
| | This report is to seek Board approval for the approach, principles and timetable for transferring agreed transport and public transport functions from Hull City Council and East Riding of Yorkshire Council to the Hull and East Riding Mayoral Combined Authority during 2026 to 27. | |
| 10 | Gameplan Adoption | 245 -
298 |
| | This report provides an update on the development of the HEYCA Gameplan and includes a final draft version for adoption (at Annex A). | |
| 11 | Update on Recruitment | |
| | To provide an update on the recruitment of Director level positions. | |
| 12 | Update on TUPE | |
| | To provide an update on the current TUPE process. | |

EXEMPT ITEMS

- 13 No Exempt Items**

THERE ARE NO EXEMPT ITEMS ON THIS AGENDA

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Hull and East Yorkshire Combined Authority28th November 2025 11:00amAura, Bridgehead Business Park, HesslePRESENT:-

Mayor Luke Campbell, Councillors Coultish (substituting for Councillor Handley), Dad, Ross, and Tucker, J. Evison (Humberside Police and Crime Commissioner), J. Adamson (Hull and East Yorkshire Skills Board Chair) and J. Speedy (Hull and East Yorkshire Business Board Chair).

IN ATTENDANCE:-

Councillor Meredith (Chair of the HEYCA Overview and Scrutiny Committee), A. Menzies (Interim Chief Executive), J. Neilson (Interim Director of Finance), T. Maione (Interim Monitoring Officer), and L. Hawkins (Democratic Services Officer).

M. Heppell (Strategic Director of Human Resources and Organisational Development) minutes 55, 55, 62, and W. Dunnnett (Strategic Transport Lead) minute 58.

APOLOGIES:-

Councillor Handley.

Minute No.	Description/Decision	Action By/Deadline
PROCEDURAL ITEMS		
50.	DECLARATIONS OF INTEREST No declarations of interest were received in relation to the items that follow below.	
51.	MINUTES OF THE HULL AND EAST YORKSHIRE COMBINED AUTHORITY EXECUTIVE BOARD MEETING HELD ON 22ND OCTOBER 2025 Agreed – that the minutes of the Hull and East Yorkshire Combined Authority Executive Board held on 22 nd October 2025 be approved as a true and correct record.	

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52.	<p>ANNOUNCEMENTS FROM THE MAYOR</p> <p>The Mayor provided the following announcements. After the Government's announcement on police governance reform, the Police and Crime Commissioner wrote to the Leaders and Mayors across the Humber. I welcomed his update. I agree that we should all meet early in the new year once the White Paper is published. We know this is an uncertain time for his office and staff and we will approach this transition in a sensible way and a collaborative way.</p> <p>Secondly, we have secured £30m from the Local Growth Plan Fund. This was great news for our region. This fund will support the priorities in our Local Growth Plan. Our consultation on the plan is also now live. This is a major piece of work for the Combined Authority. It sets out our long-term priorities for transport, skills, and economic development.</p> <p>Thirdly, I am sure everyone is aware that the Mayor's now have the option to introduce an overnight levy. I would like to approach this in a different way. I am speaking to the team and getting some advice on consultations and on seeing if there is an option where actually the levy is optional. It would give people an opportunity if they wanted to contribute into tourism in the region. Then they have the choice to do so or not. I think it would take all the stress away from businesses if people have an option whether they want to contribute or not and if they would like to contribute it would then get recycled back into the system back into tourism and make the region a better place. I am happy to speak to the Leaders and everyone around the table, and put some papers together for next board meeting.</p>	
53.	<p>PUBLIC QUESTIONS</p> <p>The Democratic Services Officer confirmed that the following public question had been received.</p>	

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	<p>Question received from Mr Morris. Has the board actively considered the voices of young people as key stakeholders in its decision-making processes, and would it be open to establishing a Young People's Advisory Board to ensure local young people have a structured opportunity to influence and shape the board's work moving forward.</p> <p>The Mayor provided the following response. Thank you Mr Morris for your question. Young people do matter for this region. A lot of decisions we make on skills, transport, regeneration, digital access affects them directly.</p> <p>Their views already come through in so many of our round table discussions that we have been holding with partners.</p> <p>You have suggested setting up a new people's advisory board. I understand why but I think creating another pane is not the right approach. It would mean extra costs, extra infrastructure, extra meetings and extra effort.</p> <p>We already have two strong youth panel parliaments in Hull and East Riding. They work well. They involve hundreds of young people and they are trusted by both councils. It makes more sense to build on what already exists rather than starting something new. I have asked the officers to look at how we can create a clear route for the youth parliaments to feed into our work including the Local Growth Plan. Young people have a direct voice in the decisions that we take. Thank you again for raising this question. If Mr. Morris could follow up with my office, I will ensure he is kept up to date straight away. Thank you.</p>	
54.	<p>REPORTS FROM ANY OTHER COMMITTEE OF THE COMBINED AUTHORITY</p> <p>Councillor Meredith (Chair of the Overview and Scrutiny Committee) attended the meeting to provide the Board with an overview of the work that the Committee had undertaken.</p>	

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	<p>He began by thanking the Board for inviting him to the meeting. He explained that he was glad to be able to be here to have that link between scrutiny and between the board. Ultimately everybody around the table would feed into all the decisions that get made and all the actions that the authority takes; that scrutiny has spent an inordinate amount of hours discussing many, many things; that there was a century's worth of experience around that table with councillors from across the region including urban and rural areas and so he would like to think that the assessments the committee could undertake and the oversight it could offer would mean that every decision made by the Authority could be better informed and more well-rounded. A really good example of that was the Community Fund discussed a meeting or two ago. The Fund was focused almost entirely on the areas most in need that were described or defined as deprivation. The Scrutiny Committee looked at this and realised that isolation was the other side of that coin and recommended that isolation be a measure both in accessibility but also in any prioritisation and that was something that this Board recognised.</p> <p>The Board thanked Councillor Meredith for attending and for the work that was being carried out by the Overview and Scrutiny Committee.</p>	
55.	<p>HEYCA PAY AND GRADING FRAMEWORK</p> <p>The Interim Strategic Director of Human Resources (HR) and Organisational Development (OD) submitted a report that requested approval to implement the pay and grading framework aligned to the National Joint Council pay spines for the Hull and East Yorkshire Combined Authority (HEYCA).</p> <p>The Board was informed that appointments would be made to the lowest scale of each grade and that the grades had been benchmarked against other local government organisations.</p> <p>A discussion took place and members commented that there were a number of issues which required further work; that the salaries seemed to be higher than other Combined Authorities which were larger</p>	

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	<p>organisations, and that there had been criticism of other Mayor's for the salaries that were being paid in their Authorities.</p> <p>Moved by Councillor Tucker and seconded by Councillor Dad</p> <p>That the approval of the Pay and Grading Framework for implementation in the Combined Authority, with a review period of 12 months to enable amendments to be made should they be needed, be delegated to the Mayor and Councillors Handley and Ross in consultation with the Interim Chief Executive.</p> <p>Motion carried.</p>	
56.	<p>HEYCA HR POLICY FRAMEWORK</p> <p>The Interim Strategic Director of Human Resources and Organisational Development submitted a report requested approval of the policy review schedule and current completed policies by the Executive Board to enable the Authority to implement them immediately.</p> <p>A discussion took place and members commented that the policies were key documents for the Authority and that a review would be required at the appropriate time.</p> <p>Moved by Councillor Dad and seconded by Councillor Tucker</p> <ol style="list-style-type: none"> a. That the Executive Board approves the draft policy review schedule for adoption by the Combined Authority along with the timeframes for adoption of individual policies, and b. That the Executive Board approve the attached draft HR policies for adoption by the Combined Authority, namely: <ul style="list-style-type: none"> • Other Leave (including Maternity leave, Paternity Leave, Adoption leave, Bereavement leave, Jury Service leave and Family leave) 	

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	<ul style="list-style-type: none"> • Absence Management • Recruitment and Selection • Travel, Accommodation and Subsistence. <p>Motion carried.</p>	
57.	<p>COMBINED AUTHORITY INVESTMENT</p> <p>The Strategic Lead – Investment submitted a report which provided the Board with an update on the development of a Strategic Investment Framework and requested that the Board approved the establishment of an Investment Board and an Independent Advisory Panel.</p> <p>The Interim Monitoring Officer explained that there was an error within the Investment Board Terms of Reference in that section 2 should read ‘that investment decisions relating to and/or crossing into other portfolio areas (for example skills, transport, housing and health) will be made in consultation with the relevant portfolio holders and that any portfolio holder has the right to attend the Investment Board when it considers funds in the scope of their portfolio.</p> <p>The Board confirmed that it was content with the amendment as outlined by the Interim Monitoring Officer.</p> <p>Members were informed that the manner in which the Combined Authority dealt with investment was crucial and that the proposals had been subject to extensive consultation.</p> <p>A discussion took place and members raised the following matters –</p> <ol style="list-style-type: none"> i. That there were some concerns in relation to the governance procedures around investment and it was suggested that the Overview and Scrutiny Committee undertook a review at an appropriate time to provide assurance, and ii. That the proposals seemed well grounded in relation to inward investment and whether the ‘single front door’ approach 	

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	<p>would be reviewed. The Interim Chief Executive explained that a single point of contact for inward investment in the region was something that the local authorities and Mayors were working towards and that the setting up of a regional board was being looked at.</p> <p>Members of the Board commented that it was not helpful to have what would appear to be competing boards across the region. The Interim Chief Executive explained that the issue would be picked up however the Combined Authority needed to have a structure for investment in place.</p> <p>Agreed –</p> <ol style="list-style-type: none"> a. That the Board notes the update on work to establish core HEYCA investment capabilities; b. That the Board agrees to establish a HEYCA Investment Board, as envisaged in the adopted Portfolio Arrangements, and an Independent Advisory Panel, in line with the Terms of Reference enclosed at Appendix 1 and Appendix 2; c. That the Board agrees to delegate final decisions on membership to the Portfolio Holder for Investment, in consultation with the Mayor, the Portfolio Holder for Skills, and the Chief Executive, and d. That the Board agrees to instruct the Monitoring Officer to make the minimum amendments necessary, if any, to the Combined Authority's Constitution, the Single Assurance Framework and any other element of the Governance Framework to implement the recommendations in this report. <p><u>Reasons for Recommendations</u> Executive Board members, at their meeting on 25 July 2025, agreed the report, Allocation of Portfolios 2025/26.</p>	
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	<p>That report set out the arrangements for each Portfolio including, at paragraph 16(c) (p.28), that the Investment Portfolio Holder, Cllr Handley, would “Convene and Chair an Investment Board to make recommendations to the HEYCA Board”. Accordingly, this report sets out, at Appendix 1, terms of reference for an Investment Board, including an outline of intended membership.</p>	
58.	<p>NOTIFICATION OF INTENT – PRINCIPLE FOR BUS GRANT FUNDING ALLOCATIONS AND DELEGATED AUTHORITY 2026/27</p> <p>The Interim Chief Executive submitted a report which requested the Board to agree how the Hull and East Yorkshire Combined Authority (HEYCA) would manage and pass on the Department for Transport’s (DfT) Bus Grant and Delegated Authority for 2026/27.</p> <p>The Interim Strategic Transport Advisor explained that the proposed approach would assist in protecting and planning important services, and that the proposed delegations would allow the Combined Authority to move forward once the funding allocations were announced by the Department for Transport.</p> <p>Members commented that health and wellbeing was a priority for the Mayor however it had not been included as one of the transport ambitions set out within the report.</p> <p>Moved by Councillor Coultish and seconded by Councillor Dad</p> <p>a. That the Board agrees that Department for Transport (DfT) Bus Grant funding for 2026/27 will be received by HEYCA as the accountable body, and delegated subject to mutual agreement of spending plans and allocations.</p> <p>To note: It is anticipated that allocations will be received on a proportional basis by the constituent authorities. Should the DfT issue a consolidated block bus grant, the distribution of funds will be undertaken in</p>	

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	<p>accordance with the 2025/26 allocation formula applied by the DfT;</p> <p>b. That the Board approves that this delegation will be governed through a formal agreement under Section 101 of the Local Government Act 1972, setting out roles, responsibilities and assurance requirements;</p> <p>c. That the Board confirms that all Bus Grant expenditure must align with the Mayor's transport ambitions to:</p> <ul style="list-style-type: none"> - Improve access and connectivity; - Ensure inclusive, reliable and affordable transport links; - Increase long-term investment in sustainable public transport; and - Support other Mayoral priorities including housing, jobs, skills, health and wellbeing, and the environment. <p>Motion carried.</p> <p><u>Reasons for Recommendations</u></p> <ul style="list-style-type: none"> • Since 2022/23, DfT has provided Bus Service Improvement Plan (BSIP) funding to support local bus services. From 2025/26, this has been rolled into a single Bus Grant managed through Mayoral Combined Authorities. • HEYCA will receive the funding directly from DfT and passport it to Hull City Council and East Riding of Yorkshire Council. DfT may not confirm the 2026/27 allocation until December 2025, so early approval of this principle is vital to allow both authorities to plan bus contracts for April 2026. • This decision will ensure: <ul style="list-style-type: none"> • Continuity of service through delegation to experienced local teams. • Arrangements are in line with Section 101 agreements, which define responsibilities and assurance. • Shared management of financial and operational risks. 	
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	<ul style="list-style-type: none"> • This approach is intended to focus on partnership and readiness for enhanced partnership options which are currently undergoing a consultation. It also uses learning from other MCA bodies such as York and North Yorkshire who have developed a similar process to ensure continuity of service. 	
59.	<p>BUDGET OUTLOOK 2025-26</p> <p>The Interim Director of Finance submitted a report which informed the Executive Board of the forecast financial position for 2025-26.</p> <p>The Board was informed that –</p> <ol style="list-style-type: none"> The forecast outturn position for 2025-26 was a surplus of £0.7m, based on information available as at 30 September 2025; That it was proposed to transfer any surplus on the Investment Fund budget at outturn to an Investment Fund earmarked ‘reserve’. That there was a surplus of £358,000 relating to employee costs due to the move from interim to more permanent arrangements, and That there was investment income of £287,000. <p>A discussion took place and members queried whether the Community Investment Fund was likely to be fully committed within the financial year. The Interim Finance Director explained that there was an assumption that it would be fully committed however there were no firm agreements of funding as yet.</p> <p>Moved by Councillor Tucker and seconded by Councillor Coultish</p> <p>That the Executive Board approves the transfer of any surplus on the Investment Fund budget at outturn to an Investment Fund earmarked reserve.</p>	

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	Motion carried.	
60.	<p>HULL AND EAST YORKSHIRE COMBINED AUTHORITY AND THE ARMED FORCES COVENANT, THE CARE LEAVERS COVENANT AND THE WHITE RIBBON AGREEMENT</p> <p>The Interim Chief Executive submitted a report which sought approval for the Hull and East Yorkshire Combined Authority (HEYCA) to formally sign three significant national covenants and pledges — the Armed Forces Covenant, the Care Leavers Covenant, and the White Ribbon Pledge — as part of HEYCA's commitment to community wellbeing, equality, and social responsibility.</p> <p>The Board was informed that there was an intention to appoint Champions from within the Combined Authority for each covenant or accreditation and that both local authorities had signed the White Ribbon Pledge.</p> <p>A member of the Board queried whether the Combined Authority would be an endorsed White Ribbon organisation and whether the Mayor would become a White Ribbon Ambassador. The Mayor confirmed that he would be happy to look into both suggestions.</p> <p>Moved by Councillor Tucker and seconded by Councillor Ross</p> <ol style="list-style-type: none"> a. That the Board approves the Mayor's signature, on behalf of HEYCA, (1) the Armed Forces Covenant; (2) Care Leavers Covenant and (3) White Ribbon Pledge; b. That the Board agrees to delegate to the Head of Paid Service the appointment of a Champion for each Covenant or Accreditation; c. That the Authority works in partnership with its constituent authorities and other partners to further the causes covered by each of these covenants and to report progress periodically to Executive Board, and 	

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	<p>d. That the Board agrees to delegate to the Head of Paid Service all actions necessary to implement the foregoing recommendations.</p> <p>Motion carried.</p> <p><u>Reasons for Recommendations</u></p> <ul style="list-style-type: none"> • Signing the Covenants at the Combined Authority level will help reinforce HEYCA's role in regional leadership by demonstrating support, along with enabling more strategic coordination across the constituent authorities and partners. Both Hull City Council and East Riding of Yorkshire Council are already signatories to all three covenants. By joining, HEYCA demonstrates alignment with constituent authorities and provides a collective approach, coordination, and visibility. • In addition, signing reinforces HEYCA's commitment to equal treatment, respect and fairness for everyone. It enhances community trust by showing proactive support for key social causes, which can result in economic benefits. • Although HEYCA is not currently legally obliged under the Armed Forces Act 2021, entering the Armed Forces Covenant as recommended positions HEYCA ahead of potential legislative developments expanding Covenant duties. Government has announced plans to extend the duty (from the current housing, education and healthcare) to include more policy areas (social care, employment and transport) which will mean HEYCA will be required to give due regard to the Covenant's principles in any event. 	
61.	<p>URGENT ITEM</p> <p>Agreed – that the following report be taken as an urgent item for the following reasons –</p> <p>In order to deliver the Mayoral priorities and to maximise benefit to the people, businesses, visitors - all communities - within Hull and East Riding it is</p>	

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	<p>necessary to move forward from an interim structure through a process of making substantive appointments for HEYCA as quickly as possible. A compliant, full and objective recruitment and selection process, to enable this major step forward needs to commence as quickly as possible to enable this desired progress. For these reasons, it is considered appropriate that this report be taken, as an exception, under special urgency provisions.</p>	
62.	<p>SENIOR STAFFING STRUCTURE</p> <p>The Interim Chief Executive and Mayor Luke Campbell submitted a report which provided the structure for Executive and Director level posts for the Hull and East Yorkshire Combined Authority.</p> <p>The Strategic Director of Human Resources and Organisational Development explained –</p> <ul style="list-style-type: none"> i. That significant consultation on the proposed staffing structure; ii. That all job roles would be subject to an independent job evaluation process; iii. That the Mayor wanted to avoid silo thinking and there was a need for connection between the various programmes within the Combined Authority; iv. That currently the Authority was functioning on a structure of agency staff and secondments. It was recognised that it was not a stable workforce and there was a need to move at pace to a permanent structure, and v. That currently the staffing costs were indicative as a job evaluation process had not yet been undertaken. <p>A discussion took place and members raised the following matters –</p> <ul style="list-style-type: none"> i. That there was a support for the approach in keeping a lean staffing structure and members queried when the Authority 	

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	<p>would be in a position to recruit permanent members of staff. The Strategic Director of Human Resources and Organisational Development explained that it was expected that adverts for the top level posts would be placed before Christmas 2025 and appointments would commence in post before the start of the new financial year, and</p> <p>ii. That the way in which staff worked together was important and the development of a positive culture within the organisation was critical.</p> <p>The Interim Chief Executive explained that a Human Resources consultancy had been appointed to assist in the recruitment of senior level posts; that the point made in relation to the culture if the organisation was important and a one team approach would be fostered; that within the structure there was a lead officer for investment which would pick up the issues raised early about a one door approach for potential inward investment, and that the Board would be asked to consider the appointment of individuals in January, February and March 2026.</p> <p>Moved by Councillor Tucker and seconded by Councillor Coulthick</p> <p>a. That the Board notes the content of this paper;</p> <p>b. That the Board approves the structure for Executive and Director level posts</p> <p>c. That the Board agrees to authorise the Interim Chief Executive to convene the Employment Panel, make appointments to the Panel as per the agreed Terms of Reference and proceed with the recruitment of Executive and Director posts, and</p> <p>d. That the Board delegates the authority to approve and recruit posts below the</p>	
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	Executive and Director level to the Interim Chief Executive. Motion carried.	
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Report to the Hull and East Yorkshire Combined Authority Executive Board

30th January 2026

HEYCA HR Policy Framework

Report of the Interim Strategic Director of HR and OD

Report Status:

This report is not exempt

This is not a key decision

1. Purpose of the report

1.1 The purpose of this report is to request approval of the policy review schedule and current completed policies by the Executive Board to enable HEYCA to implement them immediately.

2. Recommendations

2.1 That the Executive Board approve the attached draft policy review schedule for adoption by the Combined Authority along with the timeframes for adoption of individual policies.

2.2 That the Executive Board approve the attached draft HR policies for adoption by the Combined Authority, namely:

- Managing Work Performance
- Work Experience
- Menopause Policy
- Flexible Working Policy
- Change Management (including Redundancy) Policy
- Domestic Abuse Policy
- Learning and Development Policy
- Retirement Policy
- Relocation Policy
- Substance Misuse Policy

3. Background

- 3.1 The establishment of the Hull and East Yorkshire Mayoral Strategic Authority (the MSA) is a legal requirement of the devolution deal agreed by Kingston upon Hull City Council and East Riding of Yorkshire Council with the UK Government in September 2024.
- 3.2 The MSA is a separate legal entity to the two councils, holding its own budget and it will employ its own staff. It is essential that robust and clear employment policies are in place, in line with employment legislation and best practice to provide a safe, legal and well led environment for staff.
- 3.3 The MSA maintains robust and transparent decision-making to support public accountability. It has established a constitution and adopted a Corporate Governance Code and Framework which aligns with best practice guidance and is based on six core principles of good governance - including transparency, accountability and integrity.

4. Policy Framework Priorities

- 4.1 Work has been undertaken to prioritise requirements of the MSA during its start-up phase, considering relevant legislative and MSA Constitutional requirements, as well as general system rules and process expectations.
- 4.2 A number of key areas are already covered by the Constitution and are therefore deprioritised accordingly.
- 4.3 Members will remember that the first tranche of policies were approved at the October Board meeting and the second tranche at the November Board Meeting. This report brings forward the final tranche of the main identified policies that have been completed.

5. Other Considerations

- 5.1 Members will note that references are made in these HR policies to Trade Unions. As HEYCA does not yet have any substantive staff, there is not yet a Trade Union Recognition and Partnership Agreement in place. This is being remedied imminently, and a report will be brought to a future meeting.
- 5.2 Members will similarly note that references are also made in these HR policies to Occupational Health Services. These services are also not yet in place for HEYCA. A procurement process is currently being run to remedy this gap and will be formalised through the normal mechanisms.

Next Steps

- 5.1 This tranche completes the aim of a full complement of relevant Health & Safety and HR policies being brought before the Board.

5.2 It is expected that should any further policies identified will be brought before the Board in 2026.

Miriam Heppell, Interim Strategic Director of HR and OD

Contact Officers:

Miriam.heppell@hullandeastyorkshire.gov.uk

Officer Interests:

None

Appendices:

- Managing Work Performance
- Work Experience
- Menopause Policy
- Flexible Working Policy
- Redundancy Policy
- Domestic Abuse Policy
- Learning and Development Policy
- Retirement Policy
- Relocation Policy
- Substance Misuse Policy

Background Documents:

- Policy Review Schedule

CHANGE MANAGEMENT POLICY

Authorship:	Strategic Director of HR & OD (Interim)
Committee Approved:	Executive Board
Approved date:	30/01/2026
Equality Impact Assessment:	01/2026
Target Audience:	Hull and East Yorkshire Combined Authority Employees
Policy Number:	HEY CM 1
Version Number:	v1.1

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	30/01/2026	N/A

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1 Introduction

- 1.1 Hull and East Riding of Yorkshire Combined Authority (the "Combined Authority") is committed to providing stable and secure employment for staff. However, changing internal and external needs, funding levels or technological, legal or other developments will sometimes necessitate changes to staffing levels, structures, roles and ways of working.
- 1.2 This policy provides a clear process to follow when implementing change which will ensure it is managed in a way that is sensitive, compassionate, consistent, fair and in line with statutory requirements and best practice. The Combined Authority is committed to minimising the impact of change on employees and, wherever possible, avoid redundancy through redeployment and pay protection.

2 Purpose and Scope

- 2.1 The purpose of this Policy is to set out the Combined Authority's approach to the management of organisational change and the procedures that should be followed by Line Managers in order to effectively support staff through such processes. In such circumstances where national change management processes apply, these will supersede local arrangements.
- 2.2 This Policy applies to all substantive employees of the Combined Authority, including those who are seconded out to another organisation and those on long term leave (e.g. maternity leave, adoption leave, shared parental leave, long term sickness absence or career break/ sabbatical).
- 2.3 Staff who are on fixed term contracts may be in scope, in accordance with [The Fixed-term Employees \(Prevention of Less Favourable Treatment\) Regulations 2002](#) and as outlined within individual change management processes, which will be clearly communicated at the time of consultation.
- 2.4 This Policy does not apply to staff employed elsewhere and seconded into the Combined Authority (those staff are the responsibility of their substantive employer) or to agency staff.

3 Definitions

For the purpose of applying the provisions contained in this document, the following definitions shall have the following meanings:

- 3.1 **Affected by Change** means staff who are affected by the change e.g. change of line manager, changes to responsibilities but are not at risk of redundancy.
- 3.2 **At Risk** means staff whose posts may potentially be redundant as a result of organisational change if Suitable Alternative Employment cannot be found.

3.3 **Continuous Service** means the duration of a colleague's part time or full-time employment with the Combined Authority or any employer covered by The Redundancy Payments (Continuity of Employment in Local Government, etc.) (Modification) Order 1999 (SI 1999/2277). It is used to determine how much service is taken into account when calculating sickness absence pay, redundancy pay, contractual maternity/ paternity/ adoption leave and pay and annual leave.

The '*one-week continuous service*' date is of particular relevance to the redundancy pay calculation. It is the date from which a colleague has continuous service with the Combined Authority with either no break or a break of less than a week (Sunday to Saturday) between employments and determines eligibility for redundancy informed by the provisions of the Employment Rights Act 1996.

3.4 **COSOP** means Cabinet Office Statement of Practice. It is a non-statutory policy within the public sector that outlines how staff transfers should be handled, particularly in relation to pension arrangements, to ensure continuity of employment and fair treatment, especially when TUPE (the Transfer of Undertakings (Protection of Employment) Regulations) legislation may not fully apply. National guidance should be referred to if COSOP applies.

3.5 **Displaced** means involuntary loss of current role, due to organisational change. Displacement occurs at stages 1 and 2 of the process for filling posts and prior to the member of staff being formally placed 'at risk', which may take place following stages 1 and 2, (or 2a as applicable) if Suitable Alternative Employment is not found.

3.6 **Downgrading** means where a post to which an employee is appointed, irrespective of its banding, carries an hourly rate lower than that for the previous post held or a salary scale lower than that of the previous post.

3.7 **HR1** means the legal document that UK employers must complete and submit to the Insolvency Service when they are proposing collective redundancies. The purpose of the document is to notify the government and initiate consultation procedures to protect employees' rights during the redundancy process.

3.8 **Mutually Agreed Resignation Scheme (MARS)** means a scheme under which an individual employee, in agreement with their employer, chooses to leave employment in return for a severance payment. MARS is different from redundancy.

3.9 **Organisational Change** means any Combined Authority or management-initiated change in the organisation of the Combined Authority. Organisational changes may include the reorganisation, relocation, merger, significant expansion or reduction of a function, competitive tendering or outsourcing or a major change in working practice. All such changes will be conducted in accordance with this document which incorporates best practice and legal requirements and aims to provide a framework for common understanding for managers, staff and trade unions.

- 3.10 **Pay Protection** means a period of time during which a colleague is paid their previous salary in order to allow them to prepare for a reduction of earnings or secure an alternative role at the previous salary.
- 3.11 **People Impact Assessment** means a tool used to match existing roles to new roles to identify if employees are entitled to a slot in or a ring fence.
- 3.12 **Promotion** means when a colleague moves to a post which carries a higher rate of pay than that which applies to the previous post held.
- 3.13 **Reckonable Service** means previous service with a recognised organisation that can be taken into account when calculating redundancy pay (amongst other entitlements). The amount of Reckonable Service will depend on any breaks in service and how long these breaks were.
- At the Combined Authority's discretion, reckonable service includes service with one or more of the employers covered by the Redundancy Payments (Continuity of Employment in Local Government, etc.) (Modification) Order 1999, as amended, from the point at which the employee's contract of employment is in effect.
- 3.14 **Redeployment** means the appointment of displaced or at-risk staff into a suitable alternative post.
- 3.15 **Redeployment and At-Risk Register** means a register centrally held by the Combined Authority where a list of displaced / at risk staff is collated and matched against potentially suitable alternative roles which become available.
- 3.16 **Redundancy** means when a role is no longer needed (in accordance with the Employment Rights Act 1996 S.139(1)), which can lead to dismissal if Suitable Alternative Employment is not secured.
- 3.17 **Ring Fencing** means the process by which staff who are displaced are identified for consideration for a post in a new staffing or management structure which is similar to their current post and where there is more than one contender for that post.
- 3.18 **Similar** means, for the purposes of this Policy, a post which is at least 70% the same as an existing role.
- 3.19 **Slotting In** means the process by which staff who are displaced are confirmed into a post in a new structure which is similar to their current post and where that individual is the only contender for that post.
- 3.20 **Staff-Side Forum** means a forum that from time to time the Combined Authority may establish which provides a regular and formal means of information, consultation and negotiation between managers and recognised trade union representatives.

3.21 **Suitable Alternative Employment (SAE)** means an equivalent post defined in terms of pay, working hours, status, grade, duties and responsibilities, location and location allowances. It must be suitable to personal circumstances, skills and experience. It may be on any site operated by the Combined Authority, subject to individual travel considerations. The Combined Authority views SAE as posts that can be one pay grade higher, one pay grade lower or the same pay band to the previous post.

3.22 **TUPE** means the Transfer of Undertaking (Protection of Employment) Regulations 2006 Collective Redundancies and Transfer of Undertakings (Protection of Employment) (Amendment) Regulations 2014.

4 Roles and Responsibilities

4.1 Chief Executive (Head of Paid Service)

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

4.2 Executive Directors and Other Directors

Executive Directors and other directors have responsibility for embedding this Policy within their respective areas and providing strategic leadership through complex periods of change.

4.3 Managers Leading Change

Managers leading change, on a case-by-case basis, are responsible for the design and delivery of the change process and must:

- Carry out early engagement with stakeholders, taking into account valuable insight from those with knowledge and experience of the areas likely to be impacted
- Seek specialist HR advice at the start of any change management process
- Produce a clear consultation document, *'The Business Case for Change'* which, should not be revised or changed once finalised following feedback from any staff-side forum established by the Combined Authority, unless through mutual agreement
- Regularly brief staff in accordance with the agreed communication plan and ensuring that those less directly impacted also receive appropriate and meaningful communications about the proposals
- Provide timely information to staff and trade unions so that they are able to make meaningful contributions to the consultation process, including inviting Trade Unions to consultation meetings with the support of specialist HR input

- Ensure that consultation is meaningful, approaching it with an open mind and considering all feedback received for use in changes to proposals as appropriate

4.4 Line Managers

Line Managers are critical to any change management process and are responsible for:

- Keeping up to date with briefings in relation to the change management process, including reading and updated Frequently Asked Questions and supporting the staff they line manage to understand how these relate to them
- Informing and engaging their team regarding proposed changes, including employees who are absent from the organisation (i.e. on maternity, adoption leave, paternity leave, shared parental leave, neonatal care leave, long term sick leave, career breaks, secondments - this list is not exhaustive), in accordance with communication guidance shared by specialist HR advisors and managers of change
- Providing support to colleagues they manage, maintaining confidentiality at all times and recognising the sensitive nature of change for individuals
- Understanding the need for change and how people respond to change. Supporting managers of change to ensure the change process is as positive as it can be
- Liaising with specialist HR advisors at an early stage regarding any concerns they have in relation to the dignity and respect of their staff and the potential for discrimination as a result of a change management process. Full consideration should be given in relation to reviewing existing reasonable adjustments or making new reasonable adjustments at any stage of the change management process, including when considering the suitability of alternative employment for an individual and in the arrangements for filling posts. All managers are required to support the Combined Authority's commitment to creating an inclusive work environment, through ensuring reasonable adjustments are in place for those who require them
- Ensuring that changes, once implemented, are embedded and that benefits are realised at the earliest opportunity

4.5 All Staff

The active engagement of staff is essential to successful change. Staff must:

- Actively participate in all forms of communication to ensure they are fully aware and informed about the proposed changes and their implementation. This includes reading updated Frequently Asked Questions and providing feedback through the available mechanisms and methods shared as part of the specific organisational change process
- Give full consideration to any suitable alternative employment opportunities made available to them and in identifying new career opportunities; particularly if they are at risk of redundancy

- Initiate and complete where appropriate any paperwork in relation to protecting pensions entitlements, particularly where pay protection applies
- Continue to perform their role professionally during times of change

4.6 Trade Unions

Trade Union representatives (where recognised) will contribute to the development of proposals with a view to reaching a mutually acceptable solution to internal and/or external challenges.

They are also responsible for:

- Supporting effective communication regarding organisational change
- Ensuring on behalf of their members that this policy and procedure is adhered to; and that all practices are equitable, transparent and consistently applied
- Fully participating in consultation processes in line with the Combined Authority's principles of partnership working by understanding the need for change and considering the proposals/solutions

The key mechanism for addressing concerns raised by recognised Trade Union representatives regarding the application of this Policy and working towards mutual agreement will be via a staff-side forum that may be established by the Combined Authority from time to time.

5 Change Management Procedure

5.1 Statement and Principles

Organisational change is driven by the business needs of the Combined authority and can be initiated by the external environment or by an internal review of organisational requirements. The list below provides examples of when this policy applies:

- National and local policy implementing on organisational form and structure.
- Departmental restructuring/ reorganisation and developing the organisation to ensure it is performing effectively
- Transfer of a service in or out of the organisation under the appropriate transfer mechanism, for example – TUPE or COSOP
- Changes which affect the terms and conditions of employment, such as job description, hours, pay, location

During any organisational change, a fair and equitable process will be followed. The process will be determined in line with this policy depending on the circumstances of the change and additional information on process design is provided in Appendix 1.

Reasonable minor changes and adjustments to duties and working practices may be implemented without recourse to the formal procedures in this document.

A minor change is defined as follows:

- Job description - change of job title and/or change of line manager

Changes to an employee's contractual terms and conditions of employment include:

- Job Description (where more than a minor change as outlined above)
- Working hours or working pattern
- Pay
- Location or Contractual base

These changes can significantly affect employment contracts, so consultation is required, and mutual agreement is important to avoid subsequent claims of breach of contract or constructive dismissal. Any situation which may lead to redundancy will not be deemed to be a minor change.

The Combined Authority is committed to the following principles for managing organisational change:

- Where Trade Unions are recognised, early engagement conversations will be undertaken.
- Staff will:
 - Receive notice of any organisational change which may affect their futures at the earliest opportunity
 - Be considered against their substantive post and existing contractual arrangements throughout the organisational change process
 - Be treated as individuals with due regard to their personal and employment circumstances and their career aspirations at all stages of the change management procedure
 - Have the right to be accompanied by a Trade Union representative (where recognised) or workplace colleague at formal meetings to discuss the organisational change
- Requests by the employee for additional support at any individual meetings should be considered on an individual basis e.g. where disability is involved and familiarity with the impairment or the individual or specialist input would be beneficial
- The Combined Authority will consider all reasonably practicable steps to avoid compulsory redundancies in change processes where this may be applicable

- It strives to provide appropriate training and development and career support during change

5.2 Consultation

5.2.1 Purpose of Consultation

In accordance with legislation and its partnership working principles, the Combined Authority is committed to meaningful and appropriate consultation with recognised Trade Unions and staff affected by the organisational change.

There will be times when organisational change will need to proceed without a consensus being reached on all issues.

The purpose of a consultation is to:

- Receive and, where possible, address any questions on the consultation document
- Consider any comments or views on the consultation document including any alternative proposals and costings (which the Combined Authority shall as far as practicable make available) before determining any final decision to proceed
- Clarify any change processes and timeframes specific to the proposed organisational change under discussion

5.2.2 Consultation Procedure

With support from specialist HR advice, managers leading change will usually be required to prepare a consultation document (often referred to as the 'Management of Change Business Case') in accordance with good employee relations practice. It will be presented at a staff-side forum meeting prior to any consultation commencing and shared with forum members one week in advance of the meeting

Early engagement with stakeholders is essential in the development of the consultation document and, in the case of a TUPE process, the format of the information required to engage and consult will be determined in partnership with any staff-side forum that is established.

5.2.3 Time Periods for Consultation

The timing of the consultation will be determined in response to the factors which are driving the need for change and the extent of consultation will be proportionate to the degree of proposed change, the number of staff affected and the impact on individuals.

In all cases, the Combined Authority will allow sufficient time for meaningful consultation with staff and their representatives. In exceptional circumstances where changes need to be made very quickly, recognised Trade Unions will be briefed as soon as practicably possible, and the verbal briefing will be followed by a written brief.

Where the consultation is in relation to a changes to an employee's contractual terms and conditions of employment, reasonable consultation with the individual will be required.

In a collective redundancy scenario, consultation will take place for a period of no less than the statutory time scales, as follows:

- **20 - 99 proposed redundancies** - at least 30 calendar days before the first redundancy takes place
- **100 or more proposed redundancies** - at least 45 calendar days before the first redundancy takes place
- Where the change proposal does not include a collective redundancy scenario, the consultation period will typically run for 30 calendar days

The Combined Authority makes the commitment that where multiple business units are affected by change, it will run consultations concurrently where possible. It will count the number of redundancies across the organisation's footprint when determining the period of consultation.

Recognised Trade Unions and staff may request additional information or request consideration for an extension of consultation time should this be judged necessary to enable them to understand and contribute to an informed discussion on the merits of the proposal and to ensure meaningful consultation takes place. A reason will be given in writing where such a request cannot be accommodated.

5.2.4 Consultation with Trade Unions

Trade Unions, where recognised, play a vital role in advising and representing staff undergoing organisational change and in working with managers to ensure that organisational change is managed with the least disruption.

Early informal, or 'pre consultation' with the Trade Unions is encouraged and should occur where possible. Meaningful pre-consultation often leads to an agreed shorter formal consultation time and greater staff satisfaction with the process.

Formal consultation with the Trade Unions, where recognised, will commence within the minimum timescales above, once any informal comments have been considered and the consultation document has been finalised. Ongoing discussions with the local accredited representatives will continue throughout the consultation and implementation stages of change.

In a redundancy scenario, the information provided in writing to the Trade Unions shall include the following:

- Numbers and descriptions of employees whom it is proposed to dismiss as redundant

- Total number of employees of any such description employed by the Combined Authority at the establishment in question
- Proposed method of selecting employees who may be dismissed
- Proposed method of carrying out the dismissals, with due regard to any agreed procedure, including the period over which the dismissals are to take effect
- Proposed method of calculating the amount of any redundancy payments to be made (over and above the statutory redundancy payment) to employees who may be dismissed
- HR1 in advance of it being submitted to the Insolvency Service

5.2.5 Group Consultation

Each member of staff affected by the organisational change proposal will be invited to a consultation launch meeting, with the purpose of announcing the proposed change and explain the consultation process that will follow. Following this meeting, all staff who are affected by the proposed change will be provided with a copy of the consultation document. The meeting will be recorded and a link to the recording shared with all staff affected by the proposed change and their Line Managers. Recognised Trade Unions representing staff affected by the change should be invited to the first meeting with all affected staff and given reasonable notice to attend.

Regular updates and frequently asked questions may be made available to staff through agreed communication mechanisms throughout the formal consultation period. Throughout this period staff should be encouraged to discuss their concerns and queries with their line manager and Trade Union representatives.

5.2.6 Consultation with Individual Staff

Employees affected by the proposals are able to request a formal or informal 1:1 meeting with their Line Manager to discuss the proposals and how they may impact on their personal circumstances. An informal 1:1 meeting will be with the individual's Line Manager whereas a formal 1:1 meeting will be with their Line Manager, with the right to be accompanied by a recognised Trade Union representative or work colleague (not acting in a legal capacity) and is supported by a specialist HR advisor.

A written record of the individual meetings will be kept and provided to the employee and their Trade Union representative, where applicable. The record will be a note of the main points discussed at the meeting, not verbatim notes.

It is recognised that staff may require time to consider and respond to the consultation and will therefore be made aware of their right to submit written feedback in accordance with the mechanisms identified in the consultation paper.

5.2.7 Staff Who Are Absent From Work

Staff who are absent from work for any reason including maternity leave, adoption leave, shared parental leave, paternity leave, neonatal care leave, long term sick leave, career breaks, secondment to another organisation (this list is not exhaustive) have the same right to be consulted with as other employees.

They will be sent a copy of the consultation document and any other documentation and any other associated documentation such as Frequently Asked Questions, to their home address/agreed correspondence address, by their Line Manager so that they can participate in the consultation process and should be offered the opportunity to discuss the documentation further.

5.2.8 Measures To Avoid or Minimise Redundancy

An essential element of consultation is the consideration given to avoiding or minimising redundancies.

Trade unions (where recognised) and those affected by potential change management should be given the opportunity to suggest how the redundancies could be avoided or minimised. As part of this process, the following factors should be considered:

- Natural wastage
- Reduction in the use of temporary staff
- Restricting the recruitment of permanent staff
- Consideration of flexible retirement requests
- Consideration of flexible working requests
- Filling of vacancies from existing employees who meet the job requirements and person specifications
- Reducing overtime by as much as operational requirements will permit
- Reducing the hours of work, and
- Training, re-training or redeploying employees for different work for which there is a requirement either at the same or at a different location/or such other establishment, where applicable

5.2.9 The End of Consultation Process

The manager leading the change will give full consideration to all comments received from staff and the Trade Unions (where recognised) and will make a decision on the way forward as soon as possible following the end of the consultation period. A written report will be provided to Trade Unions covering the change process to be followed and the timeframe, following which this will be shared with staff.

6 Managing Structural Change

It may be necessary from time to time for the Combined Authority to carry out a restructuring process in order to ensure that it is performing effectively or in response to a variety of internal or external factors. Such restructuring may be limited to individual teams or directorates, but it may also potentially include the whole workforce. This section should be read in conjunction with the Change Management Procedure (Section 5).

In the case of a restructure, job descriptions and person specifications will be produced for new posts.

Following the outcome the consultation, the implementation phase will commence. The process for filling posts in the revised or new structure will be carried out as outlined in Section 7 of this Policy.

Individual requests for job re-banding within the relevant team/ department/ whole organisation that is affected by this change will be suspended during a period of restructuring. The timing of this will be agreed in conjunction with any staff-side forum that may be established.

Where working patterns are different in a new post or where there was an agreed arrangement to work flexibly in the former post, the Combined Authority will make all reasonable efforts to support the protected employee to maintain their working pattern, provided this does not impact adversely on the delivery of the service. Individuals are required in this circumstance to reapply for their preferred working pattern through the Flexible Working Policy.

7 The Process for Filling Posts as a result of an Organisational Change Process

7.1 Stages 1 to 3

The Combined Authority has established three stages in the process for filling posts in a new or revised structure, during which staff will be considered against their substantive post and existing contractual arrangements.

- Stage 1** - Posts in the new structure are filled either by slotting in or by ring fencing
- Stage 2** - Any posts that remain vacant following Stage One will be opened up to access by displaced staff for whom the post is considered potentially suitable alternative employment. This could include ring fencing to a specific department in the first instance. If so, this will be referred to as Stage Two (a) and posts that remain vacant after Stage Two (a) will be available at Stage Two (b) to displaced staff from other departments and who are on the *'Redeployment and At Risk Register'*. Where transformational change applies to the whole organisation, Stages Two (a) and Two (b) will not be separate.
- Stage 3** - Any posts that still remain vacant after Stage One and Stage Two (including Stage Two (a) and Stage Two (b) where applicable) will be reviewed against the *'Redeployment and At Risk Register,'* with priority given to Combined Authority employees at risk of redundancy, followed by employees on the register for another reason and then internal employees. The posts may then be advertised to other, non-Combined

Authority staff who are at risk of redundancy if the organisation is participating in any local/regional clearing house schemes. If not, posts may be advertised internally and/or externally, in line with the normal recruitment process

The three stages may run concurrently but priority will still be implemented in this order to ensure that all reasonably practicable steps will be taken to avoid compulsory redundancies.

7.2 Appeals Regarding the Filling of Posts

Employees have the right to appeal against the decision to be chosen to slot or not to slot into a post or for selection or non-selection to a ring-fenced pool. In such circumstances, they have 10 working days from the date of their outcome letter to submit an appeal in writing to the appointing manager. The appeal shall be considered by an impartial manager equal to or above the change manager via an appeal panel and shall be responded to within a timely manner.

Employees should only be turned down for posts as part of the filling of posts process where they fail to meet the essential criteria or where others who are displaced are considered to meet the requirements better (the fact that there may be better candidates in the external labour market is not a reason for non-selection).

Statutory protections should also be taken into account, where applicable. Any member of staff who is not appointed to a post in the new structure will be offered post-interview feedback and further support where appropriate and has the right to appeal via local grievance procedures.

7.3 Staff at Risk

When changes in staffing levels or skill mix are proposed which will lead to a reduction in the numbers of staff employed in particular grades, occupational groups or specialties, the manager leading change will identify the individual staff or pool of staff who are at risk of redundancy as a result of the changes in line with the agreed criteria. This will be following stage 2 (or following 2a, where stage 2 has been split into 2a and 2b). Staff who are acting up or on a secondment will be placed in the pool relating to their substantive post.

Affected staff will be invited to a meeting(s) with their manager and Trade Union representative or work colleague to:

- Explain why they are at risk of redundancy
- Formally place the individual at risk
- Discuss how the proposed changes affect the individual
- Discuss ideas for avoiding redundancy dismissals, reducing the number of staff at risk who are made redundant and mitigating the consequences of any redundancy dismissal

- Explore/ continue to explain and explore the possibility of redeployment, through the identification of suitable alternative employment
- Explain the arrangements for protection of pay and terms and conditions where applicable
- Offer support and assistance including health and wellbeing support which may be available
- Discuss any other relevant issues and processes which may include providing a redundancy payment estimate if requested.

Affected staff will have their status updated to at risk on the '*Redeployment and At Risk Register*,' with priority given for:

- a) Roles that remain unfilled following stage 1 and 2 or stages 1 and 2a (where stage 2 has been split into 2a and 2b)
- b) Those who are within their redundancy notice period over employees who are on the register for other reasons e.g. pay protection
- c) Recruitment to Combined Authority roles that are outside a current restructure, where relevant

Following the meeting, staff at risk will be given a letter within five working days to confirm their at risk status and the key points discussed at the meeting including answers, wherever possible, to questions raised at the meeting for which there were no immediate answers available at the time.

The individual will be served their notice of redundancy in accordance with their contractual notice period once financial approvals of redundancy have been received.

7.4 Suitable Alternative Employment (SAE)

Suitable alternative employment will be a post defined in terms of pay, working hours, status, grade, duties and responsibilities, location and location allowances. It must be suitable to the individual's personal circumstances, skills and experience. It may be on any site operated by the Combined Authority, subject to individual travel considerations.

SAE can be one pay grade higher, one pay grade lower or the same pay grade. Staff at risk will be given prior consideration for suitable posts in line with their skills, experience and capabilities and, where appropriate, will receive protection of pay for a period of 2 years). Identification of suitable alternative employment will be carried out in accordance with any redeployment guidance and documentation.

Where there are insufficient numbers of vacant posts within the Combined Authority, the specialist HR advisors will endeavour to identify suitable redeployment opportunities within

the wider local public sector/clearing house arrangements, where possible, and draw these to the attention of the staff.

Staff who accept another job whilst still employed by the Combined Authority with any of the recognised bodies on the Redundancy Payments (Modification) Order (including this Combined Authority) and you are due to start within four weeks of their termination date will not be entitled to any redundancy payment.

Suitable Alternative Employment priority will be given to staff with a Contract of Employment with the Combined Authority. If the individual is offered the post when they have formally been placed at risk of redundancy, this will be treated as an offer of suitable alternative employment and a trial period will apply.

Staff who unreasonably refuse an offer of suitable alternative employment may lose their right to a redundancy payment.

7.5 Suitable Alternative Employment (SAE) – Redundancy Protection for Pregnancy and New Parents

The Protection from Redundancy (Pregnancy & Family Leave) Act 2023 and subsequent Regulations extends redundancy protections during pregnancy and following maternity, adoption, or shared parental leave. The specific 'redundancy protected period' length varies according to the particular nature of the leave being taken by the employee as well as the date when an employee tells their employer that they are pregnant.

Should redundancy arise during a protected period and suitable alternative roles exist, employers must offer them to protected employees under the above Act before others. This applies even if other employees are also suitable. Failure to comply may render the dismissal automatically unfair.

In circumstances where there are insufficient suitable alternative vacancies for everyone who has this redundancy protection, the Combined Authority will set out in writing to affected parties the criteria to be applied when appointing to the vacancies. These may include consideration of relevant employees:

- Skills
- job knowledge
- experience

Where an employee is not offered a suitable alternative vacancy, a meeting will be held with them to discuss the decision.

Further details, including timescales for which these protections apply, can be found at <https://www.acas.org.uk/redundancy-protection-for-pregnancy-and-new-parents>

7.6 Trial Periods and Training

A trial period will only apply to staff who have been formally placed at risk and where a formal offer of suitable alternative employment has been made. This also includes those staff who have been offered SAE whilst pregnant, taking maternity leave, taking adoption leave, taking shared parental leave or taking neonatal care leave (See Section 7.5 above).

The purpose of a trial period is for both the Line Manager and the individual to assess the suitability of the post as alternative employment.

Where staff have the potential ability but not the immediate experience to undertake full duties of the role, they will be provided with appropriate skills development/training. This will be provided where it is reasonable, practical and cost effective and where the member of staff demonstrates a willingness to learn and can apply the new skills within an agreed timeframe.

The trial period will normally last for four weeks but may be extended by mutual agreement in special circumstances, including where a member of staff requires additional training and development.

If the trial period is unsuccessful, as determined by the individual and/or the Line Manager concerned, redundancy arrangements will apply as from the date when the original contract of employment will terminate. Until the end of their notice period, staff at risk will be considered for other suitable alternative employment if available. This will be subject to the same arrangements including a trial period.

8 Redundancy

8.1 Definition of Redundancy

To assist in the delivery of necessary change and to achieve efficiencies, both voluntary or compulsory redundancy schemes may be considered by the Combined Authority. Staff may be subject to redundancy proceedings where any of the following apply, in accordance with the Employment Rights Act 1996 definitions as described:

- The Combined Authority has ceased or intends to cease to carry on the business for the purposes of which the employee was so employed
- The Combined Authority has ceased, or intends to cease, to carry on the business in the place where the employee was so employed
- The requirements of the Combined Authority for employees to carry out work of a particular kind has ceased or diminished or are expected to cease or diminish
- The requirements of the Combined Authority for the employees to carry out work of a particular kind, in the place where they were so employed, has ceased or diminished or are expected to cease or diminish

In considering any measures to avoid compulsory redundancies, including requests for voluntary redundancy via a formal voluntary redundancy programme where applicable, operational efficiency and service needs must be taken into consideration.

8.2 Voluntary Redundancy

The Combined Authority reserves the right to operate a voluntary redundancy scheme from time to time. Consideration of applications by employees under any such scheme will be subject to the needs of the service, cost implications based on clear and consistent criteria. Due regard will also be given to equality legislation.

8.3 Redundancy Arrangements

Where redundancy applies to an individual, notice of redundancy will be given in accordance with their contract of employment and once all required financial approvals have been received.

They will continue to be listed on the Combined Authority's Redeployment and At Risk Register until their contract ceases or they are successfully redeployed. During this period, the Line Manager will agree with the member of staff what work they are to undertake.

Their employment will be terminated on the grounds of redundancy if no suitable alternative employment can be found or if a trial period is unsuccessful.

In some circumstances tax benefit may be applied to the payments. Individuals should source independent financial advice.

Staff will not be entitled to payment on the grounds of redundancy in the following circumstances - they:

- Have been dismissed for reasons of misconduct or gross misconduct
- Have secured suitable alternative employment with the Combined Authority or another employer set out within The Redundancy Payments (Continuity of Employment in Local Government, etc.) (Modification) Order 1999 (see Sec 8.4 – Clawback - for further details).
- Unreasonably refuse to accept or apply for suitable alternative employment with the Combined Authority or another employer who may be part of a local clearing house arrangement
- Leave their employment prior to expiry of notice, other than in circumstances where the Combined Authority has authorised an early release if they are being released early
- Are offered a renewal of contract with the substitution of a new employer for the Combined Authority

Staff whose employment is subject to a TUPE transfer out of the Combined Authority will not be redundant and therefore will not be entitled to redundancy payment benefits on the grounds of redundancy.

Line Managers will liaise with specialist HR advisors in order to confirm details of redundancy entitlements and other aspects of the redundancy process. The Line Manager will confirm in writing the following details to the individual affected and their trade union representative:

- The number of weeks' notice, in accordance with the contractual notice period
- The effective date of the redundancy, which will also be the last day of service
- The number of days' outstanding annual leave, where applicable, to be paid in lieu
- The amount of redundancy payment/enhanced pension benefits that will be paid, where applicable
- What efforts will be made to assist the individual in seeking suitable alternative employment during the notice period
- The support that will be offered during the notice period e.g. help with job search, CV and interview preparation
- What work the individual will be expected to undertake during their notice period
- Confirmation that reasonable time off with pay will be given to seek and prepare for alternative work
- That early release will not normally be given, unless there are compelling reasons to the contrary and approved on a case-by-case basis. The date of early release will then become the revised date of redundancy for the purpose of calculating any entitlement to a redundancy payment

8.4 Redundancy Eligibility and Calculation

In order to be eligible for a redundancy payment an employee must have at least two years of continuous service, aggregated across employers listed in The Redundancy Payments (Continuity of Employment in Local Government, etc.) (Modification) Order 1999 (SI 1999/2277). Breaks in service may affect eligibility; breaks of more than one week generally break continuity unless covered by statutory exceptions.

Calculation Methodology

Redundancy pay is calculated based on age, length of service (up to 20 years) and weekly pay (subject to a statutory cap), in accordance with the following:

- Service **under age 22**: 0.5 week's pay per full year
- Service **aged 22 to 40**: 1 week's pay per full year
- Service **aged 41 and over**: 1.5 weeks' pay per full year
- Maximum of 20 years' service counted

- Weekly pay is capped at the statutory maximum (e.g., £719 from April 2025).
- Maximum statutory redundancy payment: £21,570 (as of April 2025).

Example Calculation

Employee aged 45 with 18 years of service (all post-22):

- 18 years × 1.5 weeks = 27 weeks' pay
- Weekly pay capped at £719 × 27 = £19,413 statutory redundancy payment

8.5 Redundancy Payment Exclusion Rule (Clawback)

An employee who accepts another job whilst still employed by the Combined Authority with any of the recognised bodies on the Redundancy Payments (Continuity of Employment in Local Government, etc.) (Modification) Order 1999 (including this Combined Authority) <https://www.legislation.gov.uk/uksi/1999/2277/contents> and is due to start within four weeks of their termination date, will not be entitled to any redundancy payment. In this instance your service carries over to the new employer for future redundancy calculations. It is your responsibility to make your Line Manager aware in such circumstances.

Should your start date occur more than four weeks after your termination date, repayment of the redundancy payment will not be required.

Once your employment with us has ended, you may accept an offer of employment without affecting your eligibility for redundancy pay and, where applicable, pension benefits.

9 Transfer of Undertakings (TUPE)

Transfer of Undertakings (Protection of Employment) Regulations (TUPE) protects employees' terms and conditions of employment when the service or business is transferred from one employer to another or when a service provision change takes place. TUPE applies in contracting out scenarios, retendering and where services may be brought into the Combined Authority.

Where a service transfers to a new organisation, or into the organisation, employees assigned to the services which are subject to the transfer may transfer in accordance with TUPE, where this applies, or under The Cabinet Office Statement of Practice (COSOP - which mirrors TUPE) or other appropriate transfer mechanism where there is no statutory entitlement to TUPE.

Where there is a proposal to transfer services and staff from the Combined Authority to an alternative employer, there will be consultation with the recognised trade unions and impacted staff at the earliest opportunity, allowing time to inform and fully consult before the transfer.

10 Support for Staff

All staff affected by organisational change will be encouraged to seek the advice and support of their trade union. Relevant support will be available and, depending upon the nature of the change, may include:

- The provision of appropriate training and development and career support during change
- Support from the health and wellbeing services that may be available
- Time to meet with recognised trade union representatives to discuss the change
- Further assistance to staff who are at risk of redundancy will include reasonable time off to seek other employment in accordance with the Other Leave Policy
- Placement on the Combined Authority's Redeployment and At Risk Register

It is recognised that that affected staff may take some time to adjust to the new environment following the completion of a change management process and Line Managers must remain available to manage and support staff following a transition.

11 Mutually Agreed Resignation Scheme (MARS)

MARS is a mechanism through which an individual employee, in agreement with their employer, chooses to leave employment in return for a severance payment. Mutually agreed resignation is not a compulsory or voluntary redundancy. Severance payments should not be made where the circumstances entitle an employee to a contractual redundancy payment or redundancy benefits under the Combined Authority Pension Scheme Regulations

There may also be a risk of a future redundancy claim if an employee is paid under MARS when their post is in fact redundant.

A mutually agreed resignation is viewed as being a voluntary resignation on the part of the individual employee, in return for a severance payment. As there may be significant financial implications, employees may wish to seek advice from a regulated financial advisor

12 Appeal Process

Complaints against the misapplication of this Policy, including the:

- Manner in which a consultation or redeployment process has been managed
- Selection criteria developed to inform redundancy decisions
- Decision to dismiss an employee by reason of redundancy as opposed to the offer of a suitable alternative post, or

- Absence of mutual agreement with regard to the suitability of an alternative employment post

will be heard in accordance with the Combined Authority's Grievance Policy. The decision of the Appeal Panel will be final and there will be no further opportunity for recourse to the Grievance Procedure.

Complaints about slotting or ring fence pool decisions will be reviewed by an impartial manager equal to or above the change manager, with support from a specialist HR advisor. The decision of the appeal panel will be final and binding.

13 Impact Assessments

13.1 Equality

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

APPENDIX 1

THE PROCESS FOR FILLING POSTS IN NEW / REVISED STRUCTURES AND THE APPEALS PROCESS

Filling of Vacancies During Organisational Change

When the change process involves organisation transformation, the process for filling posts will be managed at organisation level in stages 1, 2 and 3 as outlined below.

<p><u>STAGE 1</u></p> <p>Posts filled by either slotting in or ringfencing (including competitive interviews if required). This occurs where there is a 70% match to an employees substantive role.</p>	<p><u>STAGE 2</u></p> <p>Posts that remain vacant after stage 1 will be opened up to staff who are displaced to express an interest in as suitable alternative employment.</p>	<p><u>At Risk</u></p> <p>Employees that are displaced following stage 1 and 2 placed at risk of redundancy and added to the redeployment and 'at risk' Register</p>	<p><u>STAGE 3</u></p> <p>Posts that remain vacant after stages 1 and 2 may be advertised.</p> <p>Priority order:</p> <ul style="list-style-type: none"> • CA employees at risk of redundancy • CA employees on the redeployment register for an alternative reason • Internal employees • Other Employees at 'risk of redundancy' within any local clearing house arrangements • External candidates.
<p><u>Notice of Redundancy</u></p> <p>Following relevant approvals, the employee is served notice in line with their contractual notice period</p>			

Stage one – Slotting In

- Slotting in may apply at **Stage One**, where the duties and accountabilities of a post are not significantly reorganised and are substantially the same in the new and existing role.

The following criteria will apply:

- The job banding/pay remains the same and;
 - The post holder is the only person identified for the new post and holds a substantive contract of employment and;
 - The member of staff has the minimum qualifications and/ or equivalent knowledge and experience required for the new post and;
 - The new role contains 70% or more of the current role (as determined through the completion of a People Impact Assessment
- In this instance a formal interview is not required, but rather a meeting between individual and Line Manager for the role, to discuss and confirm that the role does offer suitable alternative employment and to confirm key objectives as required.

Stage 1 – Ring Fencing

- Ring fenced competition will apply at **Stage 1** where the 'slotting in' criteria above is met but there is more than one person identified for the post.
- Where they are selected for a new post, an employee will normally be given the offer in writing within seven working days of the interview.

At Stage One, employees returning from agreed employment breaks within the applicable period set out within the Career Break Policy, who cannot be slotted back into their own post or a post at the equivalent grade to that which they took the break from, will be eligible for long term protection from the date of their return.

Stage 2

- Any posts that remain vacant after Stage 1 will be opened up to staff who are displaced.
- In some cases, Stage 2 will be split into Stage 2a and Stage 2b, in which case posts may be ring fenced at Stage 2a to employees within a directorate structure in the first instance.
- Selection for posts will be determined by whether the person has the necessary skills to carry out the role through completion of an 'expression of interest' and also an interview, where there is more than one member of staff who is considered suitable for the post
- The post may only be the same grade, or one grade higher or lower

Filling of Vacancies During Organisational Change

When the change process is at directorate level only, the process for filling posts will be managed at in stages 1, 2a, 2b and 3 as outlined below.

<p>STAGE 1 Posts filled by either slotting in or ringfencing (including competitive interviews if required). This occurs where there is a 70% match to an employees substantive role. Staff who do not secure a role at stage 1 are 'displaced'</p>	<p>STAGE 2a Any posts that remain vacant after stage 1 will be opened up to staff who are displaced as potential suitable alternative employment. In line with the CA Change Management Policy. Roles at stage 2a will be ringfenced to employee's within that directorate in the first instance.</p>	<p>STAGE 2b Posts that remain vacant after stages 1 and 2a will be opened up to staff on the 'redeployment and at risk register' as suitable alternative employment. This will include those displaced as part of the wider CA re- structures, following stages 1 and 2a.</p>	<p>At Risk Register Priority is given to • Roles that remain unfilled following stage 1/2a in restructures across the wider CA at stage 2b. • Recruitment to CA roles outside a current restructure.</p>	<p>STAGE 3 Posts that remain vacant after stages 1 and 2b may be advertised.</p> <p>Priority order:</p> <ul style="list-style-type: none">• CA employees at risk of redundancy• CA employees on the redeployment register for an alternative reason• Internal employees• Other Employees at 'risk of redundancy' within any local clearing house arrangements• External candidates.
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Where there is only one member of staff for one post, whether the same grade or one grade higher or lower, a discussion may take place between the Line Manager and individual with specialist HR support as required, to discuss and agree that the role offers suitable alternative employment and determine key objectives. The individual may then be offered the role as suitable alternative employment.

Where applicable, all members of staff must hold a substantive contract of employment in order to be eligible to compete in the ring-fenced filling of posts process. Eligibility will be based on substantive posts not secondments.

The process of identifying the roles and/or staff who are to be ring-fenced or slotted in is a dual responsibility which is shared between consultation lead managers and specialist HR advisors.

Agreed slotting in and ring-fenced proposals shall be confirmed in writing to the affected employee(s) and suitable notice of the ring-fenced conformation process will be given once the outcome to the consultation has been shared.

Selection criteria for all posts affected by a new or revised structure (whether or not there is competition) must be non-discriminatory, fair, objective, clearly defined and based on the skills and competency requirements of the post. The selection criteria must be made available with the consultation document.

When filling posts, priority must be given to employees for whom Redundancy Protection for Pregnancy and New Parents is applicable (see Section 7. of the Change Management Policy).

Where national frameworks apply for the appointment of specific posts, they will apply

Appeals Process for the Filling of Posts

When the change process is at directorate level only, the process for filling posts will be managed at in stages 1, 2a, 2b and 3 as outlined below.

<p>OUTCOME Affected employees have the right to appeal decisions made as part of a Change Management consultation outcome.</p> <p>Such an appeal must be submitted to the appointing manager within 10 working days following receipt of the outcome letter.</p>	<p>APPEAL Employee's appeal letter should include of their current role, what decision they are appealing and a summary of the grounds for their appeal</p>	<p>APPEAL PANEL The appeal panel will comprise an independent manager not previously involved in the change management case, equal to or above the appointing manager's grade, and a specialist HR advisor not previously involved in the change management process</p>	<p>APPEAL RESPONSE The appeal panel will set out their decision in writing and in a timely manner.</p> <p>An employee reserves the right to appeal against the application of any aspect of this Policy through the Combined Authority's Grievance Policy. Any Grievance Panel decision will be final.</p>
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DOMESTIC ABUSE POLICY

Authorship:	Strategic Director of HR & OD (Interim)
Committee Approved:	Executive Board
Approved date:	30/01/2026
Equality Impact Assessment:	01/2026
Target Audience:	Hull and East Yorkshire Combined Authority Employees
Policy Number:	HEYCA DA 1
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The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	30/01/2026	N/A

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1 Introduction

Hull and East Yorkshire Combined Authority (the Combined Authority) recognises that its employees may be amongst those affected by domestic abuse; for example, as a survivor of domestic abuse, an individual who is currently living with domestic abuse, someone who has been impacted upon by domestic abuse or as an individual who perpetrates domestic abuse.

It is committed to developing a workplace culture in which there is a zero tolerance for abuse, and which recognises that the responsibility for domestic abuse lies with the perpetrator. By developing an effective domestic abuse policy and working to reduce the risks related to domestic abuse, a safer workplace will be created and a strong message sent that domestic abuse is unacceptable.

The Combined Authority recognises that domestic abuse is an equalities issue and undertakes not to discriminate against anyone who has been subjected to domestic abuse in terms of current employment or future development. The Health and Safety at Work Act (1974) and the Management of Health and Safety at Work Regulations (1992) also establish the legal responsibilities to promote the welfare and safety for all staff.

2 Purpose and Scope

The purpose of the Domestic Abuse Policy is to:

- Enable the support at work of members of staff experiencing problems arising from domestic violence and abuse
- Ensure confidentiality and sympathetic handling of situations at work arising from domestic violence and abuse
- Remove fears of stigmatisation at work for members of staff experiencing domestic violence and abuse
- Provide guidance for Line Managers supporting victims of domestic violence and abuse
- Provide guidance for Line Managers on how to deal with perpetrators of domestic violence and abuse
- Raise awareness and understanding amongst all members of staff in the workplace of the effects of domestic violence and abuse
- Support identification of any safeguarding issues for children, and adults (with care and support needs)
- Demonstrate the Combined Authority commitment to challenging the social issue of domestic abuse

This Domestic Abuse Policy is not a definitive document and should be read in conjunction with The Domestic Abuse Act 2021, Domestic Abuse: A Resource for Health Professionals (DHSC 2017), Working Together to Safeguard Children (DfE 2018), The Care Act 2014, Local Safeguarding Children Partnership's (LSCP) Guidelines and Procedures and Local Safeguarding Adult Board (LSAB) Guidelines and Procedures.

This Policy applies to all employees who are employed by the Combined Authority. This includes employees on temporary contracts and fixed term contracts. Staff who are seconded from other employing organisations, agency workers or contractors (workers engaged through 'employment intermediaries') should refer to their own employer policies.

3 Principles

The Combined Authority has a 'zero tolerance' approach to domestic abuse and is committed to ensuring that any employee who is the victim of domestic abuse has the right to raise the issue with their employer in the knowledge that they will receive appropriate understanding, support and assistance.

This Policy also covers the approach where there are concerns that an employee may be the alleged perpetrator of domestic abuse. The Combined Authority is committed to supporting any employee who is experiencing or surviving domestic abuse and recognises that anyone can experience or be a survivor of domestic violence or abuse regardless of their sex, gender identity or sexual orientation.

4 Definitions

4.1 Domestic Abuse is any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence, or abuse between those aged 16 or over who are or have been intimate partners or family members regardless of gender or sexuality. Domestic abuse is best understood as a pattern of behaviour characterised by the misuse of power and control which commonly includes:

- Psychological
- Physical
- Sexual
- Financial
- Emotional, or
- Coercive control

Domestic abuse occurs in all groups and sections of society. The impact may be experienced differently, due to, and compounded by; race, sexuality, disability, age, religion, culture, class, or mental health. It has a very high social and financial impact on society.

4.2 Controlling Behaviour is a range of acts designed to make a person subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.

4.3 Coercive Behaviour is an act or a pattern of acts of assault, threats, humiliation and intimidation or other abuse that is used to harm, punish or frighten their victim. This definition includes so called 'honour' based violence, female genital mutilation (FGM) and forced marriage, and is clear that victims are not confined to one gender or ethnic group.

The Serious Crime Act (2015) created a new offence of controlling or coercive behaviour in intimate or familial relationships. The offence closes a gap in the law around patterns of controlling or coercive behaviour in an on-going relationship between intimate partners or family members.

The Crown Prosecution Service (2019) definition of "honour" based abuse is *“an incident or crime involving violence, threats of violence, intimidation coercion or abuse (including psychological, physical, sexual, financial or emotional abuse) which has or may have been committed to protect or defend the honour of an individual, family and/or community for alleged or perceived breaches of the family and/or community’s code of behaviour.”*

5 Roles and Responsibilities

5.1 Chief Executive (Head of Paid Service)

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy
- Co-operate with any request from the Domestic Abuse Commissioner in accordance with the Domestic Abuse Act 2021

5.2 Executive Directors and Other Directors

Executive Directors and other directors have responsibility for embedding this policy within their respective areas, promoting a fair and equitable working environment and supporting awareness and engagement with all employees in relation to domestic abuse.

They will collectively also ensure that:

- All staff are aware of their responsibility to safeguard domestic abuse victims/survivors and associated children and adults and they also have access to domestic abuse support and advice, where needed
- There is a robust process maintained for escalating concerns confidentially and sensitively where this is not possible through a Line Manager

5.3 Line Managers

Line managers are expected to be familiar with this Policy and follow the steps set out when they are either approached by a member of staff directly or otherwise suspect or have identified that a member of staff is suffering from domestic abuse, including matters escalated to them from other sources.

The role of a Line Manager is not to deal with the abuse itself but to make it clear that employees will be supported and to outline what help is available and from where, and to escalate the concern as appropriate.

Line Managers are strongly advised to seek specialist HR advice and support regarding disclosures, whilst maintaining appropriate confidentiality for their member of staff. They must maintain the confidentiality of any information relayed to them concerning cases of domestic violence and abuse.

5.4 Employees

All employees are expected to:

- Be aware of this policy, and know how to escalate appropriately or seek advice, guidance and specialist support, where appropriate
- Seek advice from their Line Manager should they have concerns of domestic abuse or any other type of abuse in relation to a colleague or someone else
- Maintain compliance with statutory or mandatory training
- Access managerial and occupational health support and/or counselling, as appropriate, should they be the victim of domestic abuse

5.5 Specialist HR Advice

The Combined Authority's specialist HR advisor(s) will act to:

- Advise staff and Line Managers regarding the support available for staff experiencing domestic abuse within the organisation
- Provide advice to Line Managers on formal HR action under organisational policies, for instance disciplinary and flexibilities to support victims under special leave policies, as appropriate

6 Responding to Staff Who May Be Victims of Domestic Abuse

6.1 Identification

Whilst it is for the individual themselves to recognise that they are a victim of domestic abuse, there are signs which could indicate an employee may be a victim. These may include:

- The individual confiding directly with a colleague or their Line Manager that they are the victim of domestic abuse
- A colleague advising that they suspect a colleague is suffering from domestic abuse
- The apparent presence of the physical effects of domestic abuse*
- An otherwise unexplained drop in performance, significant change in behaviour or poor attendance record by a member of staff*

* It is important to recognise that any of these factors may also arise from a range of

other circumstances unrelated to domestic abuse. It is therefore essential that Line Managers investigate promptly and sensitively as soon as they become aware of such concerns. They should create a safe and confidential space to allow for the discussion of sensitive issues, including domestic violence or abuse.

6.2 Confidentiality and the Right to Privacy

The Combined Authority respects employees' right to privacy. Whilst it strongly encourages and will support victims of domestic abuse in making such disclosures for the safety of themselves and all those in the workplace, it does not compel them to do so should they not wish to.

It will only involve other agencies or disclose information internally or externally with the consent of the person concerned, unless otherwise required to do so by law or duty. For example, should there be a concern that a child is living in a household where there is domestic abuse, or there is disclosure of violence and abuse towards a child or adult with care and support needs. Specialist HR advice must be sought in advance where any such disclosure is being considered, including where a staff member is the alleged perpetrator of domestic abuse.

Where, having received appropriate specialist advice, the Combined Authority determines that such disclosures are necessary it will do so only after having explained to the employee the legal basis for doing so and having gained their agreement on this basis, wherever possible.

Sensitive or personal information will be shared on a strict need-to-know basis and all records concerning domestic abuse will be kept strictly confidential. No local records will be kept of absences related to domestic abuse and there will be no adverse impact on the employment records of victims of domestic abuse.

Improper or unauthorised disclosures of information, such as breaches of confidentiality by any member of staff, will be taken seriously and may be subject to disciplinary action.

6.3 Support for Individuals

The Combined Authority recognises that developing a life free from domestic abuse is a continuous process, not a one-off event, and will therefore provide ongoing support for employees who disclose abuse.

It will work collaboratively with recognised Trade Unions to support staff experiencing domestic abuse and will respond sympathetically, confidentially and effectively to any member of staff who discloses that they are experiencing domestic abuse.

Line Managers will treat unplanned absences or temporary poor timekeeping related to domestic abuse sympathetically. A broad range of support is available to victims of domestic abuse. This may include, but is not limited to consideration of:

- Special paid leave for relevant appointments, including with support agencies, solicitors, to rearrange housing or childcare or for court appointments
- Temporary or permanent changes to working times and patterns
- Changes to specific duties, for example to avoid potential contact with an abuser in a customer facing role
- Redeployment or relocation
- Measures to ensure a safe working environment, for example changing a telephone number to avoid harassing phone calls
- Use of other Combined Authority policies, such as flexible working.
- Access to counselling/support services in paid time
- Other existing provisions (including occupational health, independent counselling service & others) may also be signposted as a means of support.

Line Managers will respect the right of an employee to make their own decision on the course of action at every stage, acknowledging the importance for the victim to reassert control over their own life.

The Combined Authority will prioritise the safety of employees when it is aware they are victims of domestic abuse. It will encourage them to contact a specialist support agency (or suitably trained specialist member of staff) who can undertake a Domestic Abuse Stalking and Harassment (DASH) risk assessment and make appropriate referrals where necessary.

It will work with the employee and a specialist agency (with the employee's consent) to identify what actions can be taken to increase their personal safety at work and at home as well as address any risks there may be to colleagues.

7 Responding Appropriately to Employees Who Are Alleged to Have Perpetrated Domestic Violence

7.1 General Position

Harassment and intimidation by a Combined Authority employee, whether of a partner or ex-partner, will be viewed seriously and may lead to disciplinary action being taken in accordance with the Combined Authority's Disciplinary Policy.

Conduct outside of work (whether or not it leads to a criminal conviction) may also lead to disciplinary action being taken against an employee due to the impact it may have on the employee's suitability to carry out their role and/or because it undermines public confidence in the Combined Authority.

Factors that will be considered when considering appropriate action include:

- The nature of the conduct and the nature of the employee's work
- The extent to which the employee's role involves contact with other employees or the general public
- Whether the employee is considered to pose a risk to other members of staff or the public

Specialist HR advice must be sought in all such assessments.

Domestic abuse found to have been perpetrated by an employee will not be condoned under any circumstances nor will it be treated as a purely private matter. The Combined Authority recognises its crucial role in promoting zero tolerance to domestic abuse and supporting effectively and sensitively employees who are victims of it. It will treat any allegation, disclosure or subsequent conviction of a domestic abuse related offence on a case-by-case basis, but with the aim of reducing risk and supporting change.

7.2 Risks to Children or Adults with Care or Support Needs

Where the behaviour of a member of staff indicates that they may pose a risk to children or an adult with care or support needs, the Combined Authority will ensure that this will be managed in accordance with the relevant locality Safeguarding Children Partnership or Safeguarding Adult Board procedures, as appropriate.

7.3 Particular Considerations Where the Victim and Alleged Perpetrator Are Both Employees of the Combined Authority

Particular attention should be given to the following in circumstances where the victim and alleged perpetrator both work for the Combined Authority:

- In addition to considering disciplinary action against the employee who is alleged to have perpetrated the abuse, action may need to be taken to ensure that the victim and alleged perpetrator do not come into contact in the workplace. Due regard may also be needed to conditions imposed upon the alleged perpetrator during or following any criminal proceedings
- Action may also be taken to minimise the potential for the alleged perpetrator to use their position or work resources to find out further details of the victim, including their whereabouts. This may include a change of duties for one or both employees or withdrawing the alleged perpetrator's access to electronic systems or offices

8 Other Sources of Advice and Assistance

East Riding Domestic Violence and Abuse Partnership (DVAP)

<https://www.eastriding.gov.uk/living/crime-and-community-safety/domestic-abuse/domestic-abuse-adults/supporting-adults/>

Hull Domestic Abuse Partnership (DAP)

<https://www.hull.gov.uk/domestic-abuse/domestic-abuse-1/4>

REFUGE – the National Domestic Abuse Helpline/Live chat

<https://www.nationaldahelpline.org.uk/>

0808 2000 247

East Riding Safeguarding Adults Board

<https://www.ersab.org.uk/>

9 Impact Assessments

9.1 Equality

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others. It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

APPENDIX 1

ADVICE TO THOSE SUPPORTING SOMEONE WHO IS A VICTIM OF DOMESTIC ABUSE

You should:

- Listen carefully and provide a safe and private space to talk. Assure them of your confidentiality unless there are safeguarding issues or other legal duties which must be followed
- Ask them what they want to do, if anything, and respect their decision
- Ask them whether they want to report it to the police and/or need to see their General Practitioner for medical attention - again this is their choice. If the person is injured, they should be encouraged to see their GP or to access Accident and Emergency to have any injuries assessed and documented with their consent
- Check whether there are any safety concerns at work – this may involve things such as the alleged perpetrator having access to information or them waiting for them outside the workplace in order to do harm. In this instance, discuss with them what will help them be safe and feel safe and take the appropriate action
- Give information (not advice) about local domestic abuse support services or help line. It is also important to recognise that inaccurate or bad information is worse than no information at all.
- Give information to them about Counselling Services or Occupational Health services
- Support can be accessed via Occupational Health Department; this can be either self- referral or referral by their Line Manager
- Be prepared to offer the same standard of support on all occasions, no matter how many times the same member of staff comes forward. Victims often find it very difficult to leave abusive relationships owing to the nature of persistent domestic violence and abuse
- Assist them in making contact with agencies who may be able to help
- Work with them to establish a personal safety plan at work.

Please Remember:

Offering basic information about services is very helpful whether they are used immediately or not. Victims need a link to the larger community and may be unaware that they need or deserve the services because they may be minimising the abuse.

Pressuring victims to leave the abuser is NOT helpful. Violence usually escalates after an attempt to leave. Leaving the situation is a step that should be carefully planned after support and must be taken at the victim's pace.

APPENDIX 2

SAFETY PLANNING CONSIDERATIONS FOR LINE MANAGERS

(Specialist HR advice MUST always be sought in all such assessments)

ACTION CONSIDERATIONS	Please tick when completed
Review security, changing keypad numbers or reminding relevant staff (on a strict need-to-know basis) of any restricted access arrangements which may apply	
Remind members of staff not to divulge any information about any members of staff, especially personal details such as telephone numbers, addresses or shift patterns	
Review duty arrangements, such as reception or answering the phone. Review the layout of the room/office, in order that the individual cannot be seen from reception / entrances or through a window	
Provide colleagues with a photograph and other relevant details of the abuser e.g., car make and registration, where this is judged necessary on a safeguarding basis	
Review adequacy of measures for recording staff's whereabouts and minimising risks when working / travelling out of the office environment	
Consider special arrangements for when a member of staff has to leave work at the end of their working day e.g., being given a parking space close to their work venue or arranging for the member of staff to be accompanied to their car.	
Ensuring that any incidents are recorded using the organisation's risk incident reporting mechanisms. Bear in mind that these reports may be used in court or civil proceedings. Details of all witnesses should be recorded.	
Ensuring that staff are aware of procedures for dealing with violence/threatening incidents.	
Ensure that security arrangements have been considered for members of staff working alone.	
Review work arrangements to accommodate individual circumstances which may include working at a different work base in the area where appropriate, a change in working hours or other temporary measures.	
Arrange safety for the member of staff outside of work; contacting them at home may not be appropriate.	

FLEXIBLE WORKING POLICY

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Committee Approved:	Executive Board
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Equality Impact Assessment:	01/2026
Target Audience:	Hull and East Yorkshire Combined Authority Employees
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The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	30/01/2026	N/A

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1 Introduction

The Combined Authority acknowledges and recognises that all employees will need to balance home life with meeting their work commitments. This policy provides the framework within which the Combined Authority will respond to requests for flexible working and flexible service delivery.

2 Purpose and Scope

The purpose of this policy is to set out how the Combined Authority will comply with its Flexible Working Regulations duty to consider flexible working statutory applications in a reasonable manner. Examples of a reasonable manner include:

- assessing the advantages and disadvantages of the application
- discussing possible alternatives to the request
- offering an appeal process

This policy applies to all Combined Authority employees. It does not apply to the Combined Authority's Mayor, Members, Co-opted Voting Members or others involved in supporting the business of the Combined Authority who are not directly employed by it.

3 Roles and Responsibilities

3.1 Chief Executive (Head of Paid Service)

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

3.2 Executive Directors and Other Directors

Executive Directors and other directors have responsibility for embedding this policy within their respective areas, promoting a fair and equitable working environment.

3.3 Line Managers

Line managers are expected to:

- Advise and support staff through this process
- Answer queries openly and transparently
- Give serious consideration to every request for flexible working and endeavour to consult with employees as a means of exploring the available options to find a solution that suits both the employee and the MSA.
- Wherever possible, managers should adopt flexibility and should consider what flexibility is available.
- Behave equitably, fairly and non-judgmentally in the application of this policy.

3.4 Employees

All employees are expected to:

- Familiarise themselves with this policy to raise understanding and awareness of Flexible Working Requests
- Speak to their Line Manager if they wish to submit a flexible working request
- Follow the prescribed process within this policy when submitting a flexible working request
- Consider the impact of any request on the delivery of the Combined Authority's business and what could be put in place to mitigate any impact
- Treat all colleagues with dignity and respect and create an environment which reflects this

4 Procedure

Managers will give serious consideration to every request for flexible working and endeavour to consult with employees as a means of exploring the available options to find a solution that suits both the employee and the Combined Authority. Requests should be considered consistently and reasonably. In certain areas, however, the needs of the service will make it impossible to accommodate certain requests. In these cases, employees will be given written details of the reasons for refusal and will have the right of appeal.

4.1 Making an Application

Employees may request to:

- a) Change the hours they work
- b) Change the times when they are required to work
- c) Change where they are required to work (including working from home and from alternative locations)

It should be noted that this is a right to request flexible working, not a right to have it agreed. Managers have the right to reject an application for flexible working when the desired working pattern/arrangement cannot be accommodated within the needs of the service.

An application must:

- a) Be made using Section 1 of the Flexible Working Application Form
- b) Specify the change requested and the date the proposed change should become effective
- c) State whether a previous application has been made and, if so, when. Two applications may be made within any rolling 12-month period.

4.2 The Meeting

Once a request for flexible working has been received the manager will hold a meeting to consult with the employee, within 21 days of the date on which the request is received to discuss the application. A meeting is not necessary if the manager agrees to the flexible working request and notifies the employee within the 21 day period. If the manager believes that the employee's original request cannot be accommodated, then the meeting should explore why this is the case and whether any alternative working pattern may be able to accommodate the employee's request.

- The time and place of the meeting will be convenient to both the manager and the employee.
- The employee has the right to be accompanied at this meeting by a trade union representative (where recognised) or a workplace colleague.
- If the employee's chosen companion is not available at the time proposed for the meeting then this will be rearranged to a convenient time within seven days of the date of the initially proposed meeting. If this is not possible the employee must consider an alternative companion who can attend the meeting.
- Both the employee and the chosen companion will be entitled to paid time off for the purpose of attending the meeting.

4.3 The Decision

The manager will give the employee written notice of their decision on the application within 7 days of the date of the meeting. The manager will complete Section 2 of FW1 and return it to the employee a copy should be saved in the employee's electronic personal file. If the new arrangement involves a change that would affect pay, the manager will also ensure that a payroll amendment form is completed and submitted.

Where the decision is to agree to the request, the notice must specify the change agreed and the date from which it will take effect.

Where the decision is to refuse the variation, the notice will:

- a) Set out the grounds for refusal - which must be for a valid reason and comply with the reasons below.
- b) Contain a sufficient explanation as to why those grounds apply.
- c) Set out what other flexible arrangements have been considered, and why those alternative arrangements cannot be accommodated, if applicable.
- d) Set out the appeal procedure.

The only valid grounds for refusing a request are the following business reasons:

- Burden of additional costs
- Detrimental effect on ability to meet customer demand
- Inability to reorganise work amongst existing staff
- Inability to recruit additional staff
- Detrimental impact on quality
- Detrimental impact on performance
- Insufficiency of work during the periods the employee proposes to work
- Planned structural changes.

4.4 The Appeal Process

An employee is entitled to appeal against the decision by giving notice within 7 days of the date on which the decision was given. The notice of appeal must be made in writing to the next level of line management, using Section 1 of the Flexible Working Appeal Form.

The appeal hearing must be held within 14 days of the date on which the notice of appeal is given by the employee.

The time and date of the appeal hearing must be mutually convenient, and the employee has the right to be accompanied.

The appeal will be heard by the next level of line management.

The employee will be given notice of the appeal decision within 7 days of the appeal hearing. This notice must be in writing and be signed and dated by the person who heard the appeal.

This decision will be final. A copy of the completed form must be saved on the employee's electronic personal file. If the request is agreed to as a result of the appeal and it involves a reduction in hours the manager is responsible for completing and sending this to Payroll for processing.

4.5 Review Period

There is no automatic right to continue with the flexible working arrangement. The exceptions to this are where an employee requests a reduction to their working hours for more than a six-month period and where an employee's request for full homeworking is agreed. Both of these circumstances are deemed to be permanent contract variations. Where a flexible working arrangement has to be withdrawn, the employee will be given three months' notice to enable them to make suitable alternative arrangements.

Where a request has been granted on a temporary basis a review period of less than 12 months should be agreed and recorded on form FW1 and a meeting held on an agreed date to review the new working pattern.

All other flexible working arrangements will be reviewed every 12 months. The review will consider how well the arrangement is working, what the impact is on the service and colleagues and whether it should continue.

4.6 Extension of Time Limits

The time limits in this procedure must be strictly applied except in exceptional circumstances. Extensions of time limits can only take place if they are agreed in writing by both the manager and the employee.

Where an application is sent to the manager (who would normally deal with the application) and the manager is absent from work due to leave or illness, an automatic extension applies. The 21-day period that the manager has to arrange the meeting will commence on

the day of the manager's return. There are no other circumstances where an automatic extension to any period applies.

4.7 Circumstances when an application can be treated as withdrawn

An application will be treated as withdrawn where:

- a) The employee decides to withdraw the application.
- b) The employee fails to attend two pre-arranged meetings without reasonable cause.
- c) The employee unreasonably refuses to provide the employer with the required information.

In all circumstances a written record must be made.

Documentary evidence relating to these circumstances must be retained and provided to the relevant manager in the event of an appeal.

5 Impact Assessments

5.1 Equality

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

MANAGING WORK PERFORMANCE

Authorship:	Strategic Director of HR & OD (Interim)
Committee Approved:	Executive Board
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1.0	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	30/01/2026	N/A

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1 Introduction

Employees of Hull and East Yorkshire Combined Authority (the Combined Authority) are expected to maintain high standards of performance in support of achievement of the Combined Authority principles.

It has established and maintains a Managing Work Performance Policy to provide prompt, fair, consistent and effective arrangements in taking action where individual performance falls below the standards expected. Wherever appropriate, informal intervention and support will be given in the first instance.

2 Purpose and Scope

The Managing Work Performance Policy sets out the process through which cases of poor performance will be considered.

This policy applies to all Combined Authority employees. It does not apply to the Combined Authority's Mayor, Members, Co-opted Voting Members or others involved in supporting the business of the Combined Authority who are not directly employed by it.

Matters concerning the performance of the Chief Executive (Head of Paid Service) will be considered by the Independent Person (Standards) in accordance with the principles set out in this policy. Their findings and / or recommendations would be received by the Executive Board and a final decision on what action to take, if any, will be approved by them.

3 Definitions

For the purpose of this policy, the employee facing the allegations will be known as the Respondent(s). Any reference to the respondent should be taken to include his or her representative. The term "Representative" is used throughout this procedure and shall be taken to include either a Trade Union/Professional Association Representative (where recognised) or another employee who is supporting the respondent (not in a legal capacity).

4 Roles and Responsibilities

Good working relations are vital for the Combined Authority to operate successfully. There is a joint responsibility for management, trade unions (where recognised) and employees to accept the responsibility of working together on issues in good faith and with the shared intention of facilitating good working relations.

All matters of a potential performance concerns will be treated in the strictest of confidence.

4.1 Chief Executive (Head of Paid Service)

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

4.2 Executive Directors and Other Directors

Executive Directors and other directors have responsibility for embedding this policy and procedure within their respective areas, ensuring its implementation and enactment as soon as

practicably possible when alleged performance matters are raised. This includes identifying or facilitating suitable capacity to support investigations within their service area in a timely manner.

4.3 Line Managers

All line managers have a responsibility to implement this policy and to bring it to the attention of staff in their work area.

They must:

- Explain the rules, regulations and standards of performance which employees are expected to observe / achieve
- Set a positive example by maintaining the highest standards of their own performance.
- Take appropriate and prompt action with a member of their staff where performance falls short of that required by the organisation
- Treat all employees fairly by applying the policy consistently and ensuring that any personal information is kept in confidence
- Use the informal stage of this process wherever possible and prior to any formal action being taken
- Signpost employees who need it to the relevant support.
- Consult with an HR representative at any time for advice and support

4.4 Employees

All staff have a personal responsibility for their own behaviour and for ensuring that their performance is in line with the high standards expected by the Combined Authority. It is also the responsibility of every member of staff to:

- Read, understand and comply with this policy
- Engage in informal conversations or attend any investigation meetings relating to their performance, as required
- Commit to achieving any remedial actions plans agreed to improve their performance to an acceptable standard.

4.5 Specialist Human Resources Support

The specialist HR function is responsible for supporting employees and managers in the application and interpretation of this policy to ensure that it is followed, fairly and consistently.

4.6 Trade Union Representation

Trade Union representatives, where recognised, may provide advice and support for individuals who are subject to a disciplinary investigation or who raise concerns that give rise to the disciplinary investigation of another.

They also have a responsibility to ensure that the Performance Policy and procedure are used properly, fairly and consistently.

5 Implementation

This policy will be available electronically and communicated to staff via team meetings.

Support is available to all Line Managers in the implementation and application of this policy.

6 Monitoring and Effectiveness

The implementation of this policy will be monitored on an annual basis by a report to the executive team. Data will be analysed and, together with review of feedback from any staff engagement and insight work, used to identify trends and interventions needed to address any issues. The policy and procedure will be reviewed and audited periodically by the HR Team in conjunction with Trade Union representatives, as appropriate, and otherwise immediately in the case of legislative or every two years, whichever is the sooner.

7 Associated Documentation

- Employment Rights Act 1996
- Employment Rights Act 2025
- Employment Act 2008
- Discipline and Grievance – ACAS Code of Practice
- Discipline and grievances at work: The ACAS guide
- Hull and East Yorkshire Combined Authority Bullying and Harassment Policy
- Hull and East Yorkshire Combined Authority Grievance Policy

8 Procedure – Part 1 Informal Process and Formal Investigation

8.1 Informal Interviews and Counselling

Every consideration should be given to achieving an informal resolution. Informal methods are often the quickest and most effective in dealing with unacceptable performance.

Where an employee's performance is not acceptable, their line manager should discuss the matter with them. This should take the form of a counselling interview and should attempt to determine whether there are mitigating reasons for the employee's performance or whether there are any problems facing the employee which can be overcome.

The line manager should ensure that the employee understands the concerns being raised and that these are being termed in an appropriate way. Counselling represents the first attempt to help an employee and may reveal the need for specific action for this purpose, e.g. training. The aim of counselling should always be to prevent the need for the use of the formal procedure.

Minor dips in performance, unless persistent, are usually most effectively dealt with on an informal basis by an employee's line manager. Such informal discussions represent a first attempt to help an employee address the improvements necessary. The Combined Authority recognises that everyone has bad days and may not always perform consistently.

Consideration should always be given to issues and / or events in an employee's private life which may be temporarily impacting on their ability to perform reliably and effectively. Issues relating to performance should always be approached supportively and with the intent to improve the performance, rather than to "catch out" the employee.

Wherever a performance issue is identified, this should always be approached in an empathetic and supportive manner. Consideration should always be given to the reasons why the performance is not at the required level, this could include, but is not limited to:

- Health issues including known or emerging disabilities
- Personal family issues
- Menopause
- Bullying and Harassment
- A lack of required resources in role
- Training and Development issues

These issues must always be considered and a reasonable and supportive course of action taken which is relevant to the individual circumstances and with an improvement in performance being the primary objective rather than a wish to “manage out” the staff member.

Referral to Occupational Health should always be considered where there are performance issues to ensure that all relevant information is considered and reasonable adjustments can be made where necessary and appropriate.

A Performance Improvement Plan should be developed in conjunction with specialist HR advice. This should identify clear expectations of what improvements are required, any support offered to facilitate improvement, how any improvements will be measured and reasonable timeframes. Objectives set should be SMART; that is

- SPECIFIC
- MEASURABLE
- ACHEIVABLE
- RELEVANT
- TIME-BOUND

8.2 Potential Performance issues

Should an employee's the line manager judge that an incident is more than minor decrease in performance or that the informal resolution is not appropriate, they must seek specialist HR advice immediately to enable them to make a decision about what initial action is appropriate.

In reaching a decision on the appropriate action, line managers and HR should have due regard for the following considerations:

- Whether the matter is a conduct or capability issue
- Following a two-way discussion with the employee, is there sufficient understanding of the issues or concerns, and the circumstances relating to them, to provide reasonable grounds for the initiation of formal action or does further information or advice need to be sought
- With due regard to the matters at hand, would the application of a formal procedure represent a proportionate and justifiable response

The following must also be considered where it is concluded that a formal investigation is the most appropriate course of action:

- The potential impact on the health and wellbeing of the individual(s) concerned and on their teams and services, and immediate and ongoing direct support to be provided
- The allocation and maintenance of appropriate resources to a formal process to ensure that it is conducted fairly and efficiently
- The necessary steps to ensure that independence and objectivity is maintained at every stage of a formal process

8.3 Formal Investigation – Prerequisites

8.3.1 Representation

Employees must be made aware of their right to representation at the commencement of a formal investigation, either by a representative of a trade union (where recognised) or professional association, where appropriate, or by a Combined Authority colleague not acting in a legal capacity.

This does not apply to suspension as suspension in itself is not disciplinary action.

Should an employee's chosen companion not be available at the time proposed for a formal meeting by the employer, the Combined Authority should postpone the meeting to a date and time proposed by the employee, provided that the alternative date and time is both reasonable and not more than five working days after the date originally proposed.

Where the person accompanying the employee under investigation is an employee of the Combined Authority, they shall be entitled to paid time off to undertake this role.

8.3.2 Local Representatives of Recognised Staff Organisations

No performance investigation should be commenced against a local representative of a recognised staff organisation until the circumstances have been discussed with a full-time officer of the organisation concerned. The full-time officer must also be invited to attend any investigative interview conducted.

This does not apply to suspension as suspension is not in itself disciplinary action. However, once a recognised representative of a staff organisation has been suspended; the appropriate full-time officer should be informed of the suspension.

8.3.3 Suspension

Suspension is not a disciplinary sanction but may be appropriate in potentially serious circumstances where it is considered that allowing the employee to continue working could place the safety/well-being of other staff or the employee themselves at risk or where it is felt that the continued presence of the employee may impair the investigation or that their performance is sufficiently impaired that there is risk to the Authority or other staff. It is envisaged that suspension would only be used for performance issues in very exceptional instances.

In determining whether suspension is an appropriate course of action, it may be necessary to involve the respondent in a preliminary discussion to establish particular facts before a decision can be made.

With the exception of where immediate safety or security issues are identified, the decision to suspend should be proportionate and timebound, and only applied when all alternatives have been considered. Such options include alternative duties or working from another location/home.

The decision to suspend can only be made by an Executive Director of the Combined Authority.

The following provisions apply during a period of suspension:

- The continued suspension/exclusion of any individual should be subject to appropriate senior-level oversight and sanction.
- Suspension will be on full pay and will be confirmed in writing within 24 hours. Full pay shall equate to the rate applicable as if the employee were working.
- The employee should be seen in person and have the allegations put to them when the decision to suspend is taken. Requests for a representative to be present will not be refused however such action will not be delayed in the event of non-availability.
- In normal circumstances, an employee will only be suspended by a Manager with the authority to dismiss (see Part II, section 4.1), or a manager with delegated authority.
- Suspension will initially be for a maximum of 28 days, after which time the decision will be reviewed by the investigating officer. If investigations are continuing the suspension will be extended and reviewed monthly thereafter. The employee should be written to after each review to confirm the ongoing suspension.
- The continued suspension/exclusion of any individual should be subject to appropriate senior-level oversight and sanction.
- A condition of continued payment during suspension will be that the employee must be available during their normal hours to attend any meeting that may be convened as part of any investigation.
- In cases where a member of staff self-certifies or submits a doctors' sick note whilst suspended from duty, the suspension will over-ride the sick leave.
- The employee will not be allowed to enter the Combined Authority's premises other than with the prior permission of their line manager or suspending manager.
- Other than in exceptional circumstances the employee will be granted permission to enter the premises on request to consult with their representative.

Advice on the potential suspension of a member of staff should be sought from Human Resources prior to the decision being made.

8.4 Formal Investigation

Investigations into alleged serious performance issues should be carried out without delay to ensure careful collection and assessment of facts.

Allegations should be clearly communicated to the respondent, poor framing of these can impact on the investigation process and the health and wellbeing of the individuals involved. All investigations should be guided by the 'Code of Good Practice for Investigations', as attached in Appendix 3.

8.4.1 Communications Plan

A communication plan should be established by the investigating officer with people who are the subject of an investigation or performance procedure. The underlying principle should be that all communication, in whatever form it takes, is timely, comprehensive, unambiguous, sensitive and compassionate. The communication plan ensures that staff are contacted on a regular basis to keep them updated on the progress of any investigation and to check on their health and wellbeing. This plan should form part of the terms of reference for the investigation.

8.4.2 Support During a Formal Investigation

Being notified of an investigation and allegations of poor performance can be an upsetting and stressful time for the employee and other colleagues involved. Concern for the health and wellbeing of those involved in investigations and performance procedures should be paramount and continually assessed.

A series of options have been put into place to enable staff to be supported. This support should also be extended to any witnesses involved in the process:

- **Occupational health service** - Any member of staff who is involved in a disciplinary investigation or process may find it helpful to talk to the occupational health service. All employees have a right to self-refer to occupational health.
- **Counselling** - Counselling services are confidential and can be accessed through the Occupational Health Service. All employees can access the counselling service.
- **Trade Unions** - The Combined Authority recognises the important role trade unions and staff organisations play in supporting investigations and staff are encouraged to seek advice from these representatives regarding their concerns. The Combined Authority will work in conjunction with the trade unions (where recognised) and staff organisations in addressing unacceptable and inappropriate behaviours.

8.4.3 Formal Investigation Provisions

Where allegations of serious poor performance arise, another manager will normally act as the investigating officer, with support from a Human Resources representative.. It is imperative that the investigating officer is clear about the allegation(s) they are investigating.

All measures should be taken to ensure that complete independence and objectivity is maintained at every stage of an investigation and disciplinary procedure, and that identified or perceived conflicts of interest are acknowledged and appropriately mitigated. It is the responsibility of the Investigating Officer to ensure that the investigation does not become unnecessarily protracted and is conducted in a timely manner.

The role of the investigating officer is to establish the relevant facts of any particular case and to make recommendations to the manager on whether the case should progress to a formal meeting or whether there appears to be no case to answer. In the event of a formal meeting ,

the investigating officer will present the facts objectively at a meeting using such evidence or witnesses as they deem necessary in the interests of natural justice.

The investigating officer will, with due notice; interview any relevant staff to determine what further evidence might be required and to estimate the likely timetable for the completion of the investigation.

The respondent is entitled to be represented by a Trade Union (where recognised) /Professional Organisation representative or work colleague (not acting in a legal capacity) in the course of any investigatory interview or subsequent meeting. There is no right to legal representation under this procedure.

Investigations will be conducted as openly as possible, balancing the dignity and confidentiality of the individuals concerned with the wider interests of the Combined Authority and its staff.

8.4.4 Formal Investigation Outcome

The investigating officer is responsible for determining the appropriate course of action at the conclusion of the investigation and report this to the relevant senior manager.

Options will normally be limited to:

- i) Take no action, in which case any reference to the matter will be removed from the personal file
- ii) Deal with the matter informally, in accordance with Section 9.1 above.
- iii) If appropriate, offer the parties counselling or conciliation, which would need to be agreed with the parties involved and with a clear understanding of the timescales for, and objectives of, such action. The other options remain available to the line manager in the event that counselling or conciliation does not resolve the issue.
- iv) Proceed to a formal meeting in accordance with Section 10 below.

Any alternative options must be discussed with Human Resources in advance of a decision. The outcome will be confirmed to the relevant parties in writing.

9 Procedure Part 2 – Formal Meeting

A formal performance meeting will be conducted by a panel comprising a manager with HR support, neither of whom should have any previous involvement in the investigation. It will be conducted in up to three main stages, as follows:

- Formal Performance meeting Letter
- Formal Performance meeting, and, if required
- Appeal.

9.1 Formal Performance Meeting Letter

Unless otherwise mutually agreed, the respondent must be notified of the following in writing at least seven working days in advance of the formal performance meeting:

- The purpose of the meeting
- The specific nature of any performance allegation(s), and
- The right to representation.

Where dismissal is a possible outcome, the letter should also inform the respondent that this is a possible sanction available to the panel if the case is proven.

All documentary information, including witness statements that will be presented to the hearing panel, will be provided to the respondent at this stage. The respondent(s) will have an opportunity to challenge or question any evidence presented to the formal performance meeting.

A specimen formal performance meeting invitation letter is set out at Appendix 5.

9.2 Formal performance meeting

Formal performance meetings will follow the procedure as detailed in Appendix 3.

9.2.1 Formal Performance Meeting Particulars

The respondent should be given the opportunity to state their case fully at the formal performance meeting. If it transpires that more time is needed for further investigation, the formal performance meeting should be adjourned and resumed later.

Any concerns or questions concerning the arrangements for the formal performance meeting should be notified to the line manager at the earliest opportunity, who will attempt to resolve such issues in a fair and reasonable manner.

Where, having agreed the arrangements for the meeting in good time, either party fails to appear without good cause the panel may choose to adjourn the meeting or to proceed with the case in their absence.

The decision of the meeting will, wherever possible, be given to the respondent at the meeting and will, in any event, be confirmed in writing within seven days of the meeting. The letter of confirmation will include, if applicable, details of the right of appeal.

A specimen letter is attached as Appendix 6.

9.2.2 Sanctions Available

In cases where the allegations are proven on the balance of probabilities, decisions relating to the level of action to be taken will be a matter of judgement for the panel. The panel must however have due regard to the following:

- i) the seriousness of the performance issues in question
- ii) the relevance and context of the facts/information presented
- iii) the employee's previous employment record and the existence of any current and relevant disciplinary warnings or performance issues

- iv) matters relating to fairness, consistency and the substantial merits of the information presented
- v) any mitigating factors

Within the terms of this Policy and Procedure, there are six possible outcomes following, as set out in the Table 1 below.

Table 1

Sanction	Length of Time on Personal File	Authorising Manager	Appeal to
No Action	n/a	n/a	n/a
Verbal Warning with performance improvement plan	6 months	Line Manager	Service Director
First Written Warning with performance improvement plan	12 months	Line Manager	Service Director
Final Written Warning with performance improvement plan	12 months	Service Director	Executive Director
Downgrading, Redeployment or Transfer	12 months	Service Director	Executive Director
Dismissal (with notice)	n/a	Executive Director	Chief Executive (Head of Paid Service) or Strategic Director of HR & OD

9.2.3 Sanctions Guidance

The following provides a guide to the applications of sanctions available; however, formal performance meeting panels must have full regard to the factors set out in Section 9.2.2. when reaching a decision on sanction.

- A **First Written Warning** will most commonly be the sanction where a case is upheld and there are no other warnings on file. Any warnings should be supported by a detailed and supportive performance improvement plan.
- A **Final Written Warning** will normally be the sanction should the matter upheld be sufficiently serious or in circumstances where there remains an active First Written Warning on file when further performance issues are proven on the balance of probabilities or insufficient evidence is available to demonstrate adequate improvement has been made. For performance matters, this will include a review of the employee's engagement with and performance against the performance improvement plan, where all relevant training has been given and where all appropriate agreed adjustments and support mechanisms have been instigated. A Final Written Warning can be extended to 24 months in particularly serious circumstances.

In the case of a Final Written Warning, it must be made clear to the respondent that a lack of improvement could lead to dismissal and this must be recorded as part of the written confirmation.

- **Downgrading, Redeployment or Transfer** may be considered as an alternative to dismissal where it is felt that this will enable an employee to perform in their role reliably and effectively in the future
- **Dismissal** (with notice) would normally be the outcome where a previous final written warning remains active, performance remains unsatisfactory and a second formal performance meeting finds that the employee still fails to reach the required standard. This will only occur where all possible attempts have been made to support the employee to reach the required standard.

The employee must be informed, in writing, of the reasons for dismissal, the date on which employment will be terminated, of the right to appeal and the time limit for such an appeal.

- **Dismissal** (without notice or pay in lieu of notice) would normally apply in cases of gross misconduct. Where an allegation of gross misconduct is proven on the balance of probabilities, the employee will normally be dismissed even where they have no active warnings on file.

10 Appeal

An employee has the right to appeal against any sanction applied. The appeal will be considered by the authorised person as set out in Table 1 of Section 10.2.1.

11 Record Keeping

It is the responsibility of the Line Manager to keep a confidential record of the disciplinary action taken, together with any supporting material. A copy of the final outcome correspondence will be retained on the employee's personal file. Human Resources will retain all other papers relating to the investigation/disciplinary hearings.

Warnings are active from the date and time of issue for the periods detailed in Section 10.2.1. In accordance with the principles outlined in Section 98 of the Employment Rights Act 1996, a record of all inactive warnings will be retained on the employee's file (for the duration of the whole employment period) and will normally be disregarded in determining a disciplinary penalty.

The Combined Authority is committed to ensuring that all personal information is managed in accordance with current data protection legislation, professional codes of practice and records management and confidentiality guidance. Further detail can be found in the Combined Authority Data Protection and Confidentiality policies and procedures.

Data is held and destroyed in accordance with the provisions of Data Protection legislation and relevant Combined Authority policy.

12 Impact Analysis

12.1 Equality

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

APPENDIX 1

STANDARDS OF PERFORMANCE AND CONDUCT

This guide aims to give an indication of the standards of performance and conduct expected of all staff employed by the Combined Authority. It should be read in conjunction with the Code of Conduct for Officers (Sect 5.2 of the Combined Authority Constitution).

The Combined Authority recognises that this guide cannot cover every situation that arises and that the guidelines or rules may vary according to type of work, working conditions and size of department.

Department Rules - In addition to these standards and to Combined Authority policies, some Departments may have specific rules which will relate to the activities of the Department (e.g. safe handling of dangerous substances, safe use of machinery and equipment etc.)

Standards of Conduct

All staff should be aware that they will be seen as representatives of the Combined Authority. It is therefore important that they present a professional and caring image to the public, visitors and colleagues. There are several sources of guidance on the expected standards of conduct within the Combined Authority, with which all staff should be familiar, including:

- Staff induction process
- Performance management documents
- Contract of Employment
- Code of Conduct for Officers

As a general guide, all employees of the Combined Authority will be expected to:

- Respect and protect the dignity of local residents and colleagues
- Observe health and safety policies and safe working practices at all times
- Work effectively and constructively, individually and as part of a team
- Demonstrate the highest standards of honesty and integrity
- Attend work punctually and regularly
- Obtain the appropriate approval for any absence or flexible working
- Carry out reasonable requests or instructions from managers
- Be aware of, and adhere to, Combined Authority policies and procedures.

APPENDIX 2 – CODE OF PRACTICE FOR GOOD INVESTIGATIONS

Before holding a disciplinary hearing, it is crucial an employer has sound evidence on which to base their decisions. Failing to conduct a full investigation, in all but the most exceptional of circumstances, may render a dismissal unfair and result in costly consequences in terms of tribunal awards, and staff morale.

Investigations will be required within the Combined Authority in response to a wide range of situations, including but not limited to:

- Disciplinary allegations
- Serious Performance issues
- Grievances
- Complaints about discrimination, harassment or bullying
- Complaints from members of the public
- Personal injury claims
- Allegations of fraud

The Combined Authority also has a Whistleblowing Policy and harassing or victimising a whistleblower (including informal pressures) will be considered a serious disciplinary offence and will be dealt with under this procedure.

It is essential to ensure that investigations are conducted promptly, thoroughly and fairly. The following guidelines should therefore be applied in all cases:

1. The purpose of any investigation is not to build a case or a defence, but to establish the facts
2. In cases of alleged fraud, the Combined Authority's Section 73 officer should be notified and involved immediately
3. The investigating officer should, without delay, obtain statements from any witnesses, together with other relevant documentary information
4. Adequate time and notice of meetings should be given to employees who need to be interviewed or produce statements. Where the employee to be interviewed is the subject of a

complaint or allegation, they must be provided with details of such complaint or allegation in advance of the interview

5. All staff being interviewed should be given a reasonable opportunity to obtain support and/or guidance from a trade union or staff organisation, or from a work colleague
6. The initial evidence gathered should be used to prepare an estimate of the time and resources needed to complete the investigation
7. The evidence collected should be tested for accuracy against other witness accounts and/or documentary evidence
8. Witnesses should be aware that statements prepared during the investigations will be used as evidence for any subsequent disciplinary hearing
9. Little reliance should be placed on 'hearsay' evidence unless this points to, or can be tested against, more reliable evidence
10. Every reasonable effort should be made to respect the confidence of all staff involved in the investigation. However, staff should be advised that unless there are exceptional circumstances, the respondent will be entitled to see all statements and interview records in the event of formal proceedings
11. The investigating officer should determine what evidence is relevant to the issue at hand, i.e. what helps to prove the facts rather than what strengthens or weakens the case with advice from Human Resources
12. The evidence collected should be used as the basis for a decision as to any further action that may be required
13. Once the investigation has sufficient evidence on which to base a decision, finish the investigation. The standard of proof for most internal investigations and any subsequent disciplinary hearing will need to be "on the balance of probabilities". The case does not have to be proved "beyond reasonable doubt" for it to stand up in a tribunal
14. Investigating officers should have due regard for the Acas Code of Practice on disciplinary and grievance procedures for relevant investigations. Further advice and guidance on conducting investigations is available from Human Resources.

APPENDIX 3 – PROCEDURE TO BE FOLLOWED AT A FORMAL PERFORMANCE MEETING

The following is a guide as to the recommended procedure to follow at a Formal Performance Meeting however it should be noted that the Chair of a panel may vary this process as appropriate to ensure exploration of all the facts and circumstances.

If the respondent, or their representative, is unable to attend the respondent will need to provide reasonable notice and reasons for being unable to attend and the meeting will be rescheduled within five working days of the original date, where possible. If the respondent fails to attend the meeting without a reasonable explanation or is persistently unable to do so (for example for health reasons), the panel may choose to proceed and make a decision based on the available evidence without the respondent being present at the meeting.

1. The Chair of the panel hearing the case (“The Chair”) will introduce the parties and ensure that any specific arrangements, such as an induction loop facilities, interpreter(s) or signer(s) have been made and are satisfactory.
2. The Chair will ensure that the respondent has been given an opportunity to be represented if they so wish. Representation may be from a trade union (where recognised) or staff organisation, or from a work colleague. There is no right to legal representation in this process. Witnesses are not entitled to representation but may, under certain circumstances, have a recognised trade union or staff organisation representative or work colleague acting in a supportive role who will not be entitled to take any part in the proceedings.
3. Observers may be allowed at the discretion of the Chair and following discussion with the parties. Observers will not be allowed to take any part in the proceedings.
4. The Chair will ensure that all parties understand the purpose of the meeting and the procedure to be followed. The Chair will request that all attendees turn off any electronic devices to avoid unnecessary interruptions during the hearing and advise that the Combined Authority expressly prohibits the recording of meetings.
5. The Chair will ensure that any evidence to be considered at the hearing has been produced and exchanged in advance of the meeting. Any request to submit additional evidence in the course of the meeting will be determined by the Chair after due consideration of the interests of natural

justice and the potential disadvantage to any party. Where additional evidence is allowed, the parties should be given a reasonable time to consider it before proceeding.

6. The investigating officer will be asked to present the facts from the investigation process, using written statements and witnesses as appropriate. The key facts should normally be summarised in writing and circulated to the parties in advance of the meeting.
7. Where witnesses are called to give evidence the investigating officer will question each witness first, followed by the respondent or his/her representative and the Chair or panel members. The investigating officer may re-examine each witness to clarify any point raised in the questioning.
8. The respondent is generally entitled to be present throughout the meeting. However, in exceptional circumstances, e.g. harassment, it may be deemed more appropriate to keep the parties separated and for the right to question to be exercised by the respondent's representative. In such cases, all reasonable care must be taken to ensure that the process does not unduly disadvantage the respondent.
9. When the investigating officer has finished presenting the facts, they may be questioned by the respondent, or his/her representative, and the Chair or panel members.
10. The Chair will then invite the respondent or his/her representative to respond to the findings of the investigating officer, with particular regard to any findings of fact that might be in dispute. Witnesses may be called in support of the respondent and may be questioned by the investigating officer, Chair or the panel members. The respondent or his/her representative may re-examine witnesses to clarify any issues raised in the course of questioning.
11. When the respondent has completed his or her response, the Chair or panel members may ask any final questions.
12. The investigating officer may finish by summing up their case followed by the respondent having the opportunity to sum up. No further questions will be taken at this stage.
13. No presentation may be interrupted by the other parties except to raise a procedural point or when called upon to question witnesses. The Chair or panel members may, however, question any of the parties at any time if they believe that to be in the interests of natural justice.
14. The parties, including the investigating officer, will then be asked to leave the room whilst the Chair/panel considers the evidence and reaches a decision.
15. The Chair/panel must first determine whether, on the basis of the evidence put to the meeting, the allegations are proven. The Chair/panel may require access to additional information in order to clarify points or need time to reach a decision. In such circumstances a further meeting would be set up as soon as possible when additional information could be presented and/or a

decision reached and communicated. If the case is not proven, the matter will be closed and any reference to the allegations will be removed from the personal file.

16. If the case is proven, details of the respondent's employment record should be taken into account, including any current and relevant warnings, when deciding on the sanction to be applied. In circumstances where there is a current warning(s) a panel considering further action would have the following options:
 - a. take no further action
 - b. issue a warning
 - c. issue a more serious warning/dismissal decision if the current breach is shown to be related to a previous warning
 - d. issue a further disciplinary warning if the current breach is unrelated to previous matters
 - e. consider all previous matters and issue a more serious warning/dismissal decision on the basis of serious performance issues.

17. Once a decision is made, the investigating officer and the respondent should then be recalled to the meeting and informed of the outcome.

18. The Chair/panel must confirm any decision in writing within 7 days to the employee. The letter will cover the following points:
 - a. summarise the allegation(s) made
 - b. identify the panel's conclusion(s) from the information presented
 - c. state any disciplinary action taken along with any relevant timescale
 - d. identify the consequences of any repetition of the performance breach
 - e. where an improvement in conduct is required identify the level of improvement along with any timescales which are to apply. (Any review process should stipulate whether it will be continuous or conducted at the end of a specified period)
 - f. establish the right of appeal and the timescale and process for making this request.

APPENDIX 4 – SPECIMEN LETTER – CONFIRMATION OF SUSPENSION

Date
Name
Address

Dear.....

SUSPENSION FROM DUTY

I am writing to confirm the details of your meeting with me on [*date*]. In the presence of [*name & job title*], you were suspended from duty with immediate effect and until further notice. Your suspension is NOT a disciplinary sanction and will be reviewed on a monthly basis. Your suspension is pending the outcome of a full and thorough investigation of the alleged incident that: on [*date*] you (*provide summary of allegations here*)

I recognise this may be an upsetting and stressful time for you. Concern for your health and wellbeing is paramount throughout this process and I would like to remind you of the support available. Section **XX** of the Disciplinary Policy and Procedure details the support which is available to you via the Combined Authority.

You will be contacted separately regarding details of an investigation meeting where you will be asked to respond to the allegations being made against you. Once the investigation is complete a decision will then be made as to whether to refer this matter to a formal hearing in accordance with the Combined Authority's Disciplinary Policy and Procedure, a copy of which is enclosed, and you will be advised accordingly.

During your suspension you will receive normal pay. You must not contact any of the parties involved in the allegations, discuss the allegations with Combined Authority staff, other than your representative, or enter Combined Authority premises without my prior approval during the period of your suspension.

You must remain contactable during normal working hours and should continue to follow the normal procedures in the event of absence or any application for annual leave. You may consider it advisable in the meantime to consult a recognised Trade Union Representative for advice. I enclose a second copy of this letter for your representative (*if you wish*).

If you have any queries with regard to your suspension or the subsequent process, please do not hesitate to contact [*name of HR rep*] on [*telephone number*].

I appreciate that this may cause you some anxiety and stress and would like to remind you again of the support available through the Combined Authority such as confidential staff counselling via occupational health, if you feel this would be beneficial please do let me know and I can refer you otherwise occupational health can be contacted on *XXX*.

Yours sincerely,

Title

c.c.

Encs. Copy of letter

Managing Work Performance Policy and Procedure

APPENDIX 5 – SPECIMEN LETTER – REQUEST ATTENDANCE AT PERFORMANCE MEETING

(This letter should be sent from the manager who will present the management case at the hearing)

Date
Name
Address

Dear

FORMAL PERFORMANCE MEETING

Further to the investigation process, I am writing to request that you attend a formal performance meeting in [*venue*] on [*date and time*].

At this meeting you will be asked to respond to the following allegation[s]:

List incidents or other cause which has given rise to the need for formal performance meeting.

The meeting will be held in the presence of [*name & job title of panel members*]. I will present the management case and will be assisted by (*Human Resources rep if appropriate*).

Copies of all statements/documents that will be considered at the hearing are enclosed for your information. [***** will be available to be called as a witness*]. If you wish to call any witnesses, please confirm their names and details to me by (*date*).

The formal performance meeting will be held in accordance with the Combined Authority's Managing Work Performance Policy and Procedure and, as such, you are entitled to bring with you a representative of your Trade Union (where recognised) or Professional Association, or a work colleague. I enclose a second copy of this letter should you wish to give it to a representative.

At the meeting you will be given every opportunity to state your case but I have to advise you that, following discussions and careful consideration of the evidence presented, action may be taken against you [including the possibility of your dismissal (*if appropriate*)].

Please confirm your attendance and contact me if you have any questions regarding the procedures to be followed.

If the member of staff has previously failed to turn up to a hearing you can add the following:

Should you fail to attend without a good cause, the meeting will be held in your absence and a decision will be made using the evidence provided. You will be notified in writing of the outcome.

Yours sincerely

Title

c.c.

Encs. Copy of letter for representative
Copies of statements/documents

APPENDIX 6 – SPECIMEN LETTER – OUTCOME OF FORMAL PERFORMANCE MEETING

(This letter should be sent from the Chair of the Formal Performance Meeting)

Date
Name
Address

Dear

OUTCOME OF FORMAL PERFORMANCE MEETING

I am writing to confirm the outcome of the formal performance meeting held on [*date, venue*], which I conducted in accordance with the Combined Authority's Managing Work Performance Policy and Procedure. Also present were [*names and job titles*] and [*you chose to be accompanied by [name, role of representative]*] or [*you chose not to be accompanied by a representative at this hearing*].

The purpose of the meeting was to consider the following allegation(s):

[List purpose or allegation(s)]

The members of the disciplinary panel considered carefully all of the evidence presented at the meeting together with the written investigatory information before them.

[Outcome, summarising main considerations, mitigating circumstances, acknowledgements etc.]

The decision of the panel was that you be issued with [*sanction*], which will remain on file for *X* months [*Please refer to Table 1 of Section 10.2.1. of the Managing Work Performance Policy and Procedure for guidance*], subject to no further performance issues.

[Detail any recommended corrective or remedial action and/or objectives for improvement] (If appropriate)

If at any time during the period this final written warning is in place any further performance issues are proven, it is highly likely that your employment will be terminated. You were advised of your right of appeal against this warning/dismissal and made aware that any such appeal should be made in writing to the Human Resources Representative [*name/address*] within *X* calendar days of the date of this letter.

If no case to answer The decision of the formal performance meeting panel was that there is no/insufficient evidence to/of *XXX* and therefore there is no case to answer.

Should you have any queries regarding the content of this letter please contact either myself on *telephone no.* or *XXX* Human Resources representative on *telephone no.*

Yours sincerely,

Name

Job Title

c.c. Trade Union representative

MENOPAUSE POLICY

Authorship:	Strategic Director of HR & OD (Interim)
Committee Approved:	Executive Board
Approved date:	30/01/2026
Equality Impact Assessment:	01/2026
Target Audience:	Hull and East Yorkshire Combined Authority Employees
Policy Number:	HEYCA Men 1
Version Number:	v1.1

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	30/01/2026	N/A

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1 Introduction

Hull and East Yorkshire Combined Authority (the Combined Authority) is committed to providing a high quality and productive work environment that supports the delivery of its principles and promotes the wellbeing of its staff. This includes adopting and maintaining a comprehensive suite of staff and human resource policies.

Menopause is a natural stage in women's lives and women will experience it in different ways – not all have severe symptoms. The Combined Authority recognises that perimenopause and menopause (hereinafter referred to as menopause) has the potential to affect individuals in the workplace which may present issues or challenges. It is committed to ensuring that all employees are treated fairly and with dignity and respect at work and proactively promotes a wider understanding of menopause to prevent any discriminatory or exclusionary behaviour. This policy provides guidance to both employees who may be experiencing symptoms as well as guidance for managers to manage any issues relating to this.

2 Purpose and Scope

The Combined Authority promotes a culture of menopause awareness so that employees experiencing symptoms can openly raise them and line managers have the confidence to support the member of staff in accessing appropriate support, as required.

The Menopause Policy sets out how the Combined Authority will comply with its Equality Act 2010 duty to manage age and sex related issues effectively and without discrimination. This includes setting out common reasonable adjustments that should be considered to help keep employees experiencing menopause symptoms comfortable at work as well as detailing where extra support can be found.

This Policy applies to all employees who are employed by the Combined Authority. This includes employees on temporary contracts and fixed term contracts. Staff who are seconded from other employing organisations, agency workers or contractors (workers engaged through 'employment intermediaries') should refer to their own employer policies.

3 Roles and Responsibilities

3.1 Chief Executive (Head of Paid Service)

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

3.2 Executive Directors and Other Directors

Executive Directors and other directors have responsibility for embedding this policy within their respective areas, promoting a fair and equitable working environment and supporting awareness and engagement with all employees in relation to menopause.

3.3 Line Managers

Line managers are expected to:

- Familiarise themselves with menopausal symptoms and best practice guides for managers. (Line Managers should be able to recognise basic symptoms and their impact)
- Approach conversations supportively and positively
- Hold regular one-to-one meetings to ensure there is a constant dialogue regarding their employee's wellbeing and to provide a convenient means to raise any issues
- Encourage employees to discuss their feelings, as emotions can be heightened during this time
- Undertake a risk assessment where necessary
- Consider and implement any reasonable adjustments which would help support the employee at work
- Listen and act on any feedback they receive from a delegated manager following discussions with the employee (in such circumstances where an employee has requested they discuss their symptoms with an alternative manager).

3.4 Employees

All employees are expected to:

- Familiarise themselves with this policy to raise understanding and awareness of menopause
- Speak to their Line Manager if they are experiencing symptoms being in an open manner in order to receive appropriate support
- Engage with their Line Manager to consider and discuss solutions to help alleviate the effects that symptoms may have in the workplace, particularly if they feel their performance is suffering as a result
- Treat all colleagues with dignity and respect and create an environment which reflects this

4 Definitions

4.1 Menopause: The menopause is when a woman stops having periods and is no longer able to get pregnant naturally. The menopause is a natural part of ageing that usually occurs between 45 and 55 years of age, as a woman's oestrogen levels decline. In the UK, the average age for a woman to reach the menopause is 51 however some women experience this early.

4.2 Peri-Menopause: Peri-menopause is the transition stage from the onset of symptoms until one year after the menopause. Many people experience symptoms of menopause during this stage as symptoms generally start a few months or years before the periods stops.

5 Symptoms

Menopause affects all women differently however below are some common symptoms. The duration and severity of these symptoms varies from woman to woman however some of these can have a significant impact on someone's everyday life:

- Tiredness and lacking energy
- Hot flushes

- Anxiety/panic attacks/low moods
- Difficulties concentrating/forgetfulness
- Headaches/migraines
- Abdominal pain
- Difficulty sleeping
- Palpitations
- Heavy periods
- Reduced confidence

These symptoms can start years before periods stop and last on average 4 years after the last period however this can go on for much longer. This can have a significant impact on physical and mental health and wellbeing which may affect work. It is important these symptoms are recognised and appropriate steps are taken to help people experiencing them feel more comfortable so they are better able to function both at work and home.

6 Reasonable Adjustments

Particular aspects of a job or the workplace can present a barrier for someone experiencing menopausal symptoms. If this is the case, then line managers have a responsibility to implement any reasonable adjustments that may help staff manage their symptoms at work. Reasonable adjustments should be agreed with the employee following discussions on how their symptoms are affecting their work. It is important to note that in some circumstances conditions arising from the menopause may also meet the definition of 'impairment' under the Equality Act 2010. Should there be any doubt about whether absences will qualify as an impairment under the Act, further advice and guidance should be sought from Occupational Health at the earliest opportunity.

Some examples are given below of reasonable adjustments which may assist and be considered by Line Managers and employees, according to individual circumstances:

- Encouraging the member of staff to work in a quiet area, alone from time to time to assist with concentration
- Ensuring that they take short screen breaks and rest throughout the day should they be experiencing tiredness
- Allow for more breaks to use the washroom or toilet facilities
- Agree for them to sit near a window or in a ventilated area or provide a desk-based fan should they become hot
- Be as flexible as possible with start and finish times, for instance a menopausal employee may feel tired in the morning or lack energy later in the day
- Allow the employee to discuss menopause with a different delegated manager instead of their Line Manager should they not be comfortable discussing this with theirs. Where possible, an employee should seek to discuss their concerns with their Line Manager in the first instance
- Provide flexibility for a menopausal employee to attend appointments (please see Other Leave policy)
- Provide extra support and guidance if they're struggling to concentrate or have reduced confidence

- Should the symptoms displayed form part of a cycle, be mindful of this and have due regard to this as part of workload scheduling
- Explore temporary reasonable adjustments to tasks and duties that are proving a challenge.
- Consider protected time to catch up with work should this be necessary

Should an employee reach a sickness trigger threshold point as a result of menopausal related absences, in accordance with the Combined Authority Managing Attendance Policy, an occupational health referral should be made. Discretion can be applied in agreeing what action to take, however this should be made in conjunction with occupational health advice and only following specialist HR advice to ensure a fair and consistent approach is maintained.

7 Advice for Line Managers

Line Managers should be both supportive and aware of menopausal symptoms so that employees do not feel embarrassed to approach them and discuss this. Having some understanding how menopause affects people will help this, the menopause can be extremely daunting to raise with someone who has no awareness about the issue.

Hold regular one-to-one meetings as part of a normal working routine, to give employees an open forum to discuss any concerns they may have. It is important you appreciate that it may be hard for them to discuss these concerns with you, try to prompt them to explain by regularly asking how they are.

Line Managers may seek Occupational Health advice regarding menopause should further specialist advice be required, and employees should also be informed that they may also self-refer to Occupational Health.

Should an employee feel uncomfortable discussing their symptoms with their Line Manager they may request an alternative delegated manager to speak to instead. This request should only come from the employee and not the Line Manager and the delegated manager should feedback to the Line Manager so they are aware how the symptoms may be affecting the employee at work.

Line or delegated managers are not expected to be an expert, however it is essential that they listen, respond sympathetically and show empathy in supporting their employee. Following the above principles will make it much easier to have conversations regarding menopause, however, the following provide additional advice regarding holding sensitive conversations:

- Avoid interruptions
- Listen actively
- Encourage the employee to talk
- Avoid judgmental responses
- Be sympathetic
- Be calm
- Ask open ended questions

8 Advice for Staff Experiencing Symptoms of Menopause

Staff experiencing symptoms of menopause that are affecting them at work should try to discuss this with their Line Manager, in an open and candid manner. Staff are able to self-refer to Occupational Health for support and advice, as necessary. They are also encouraged to consider contacting their GP practice should they need to and discuss treatment options with them.

Further information on menopause can be found on the NHS website;

<https://www.nhs.uk/conditions/menopause/>

Some employees may not feel they need assistance during menopause and go through it without medical or alternative interventions. However, others may choose to access support from a wide variety of clinical and other sources. These include:

- Hormone replacement therapy (HRT)
- Anti-depressants or antianxiety medications
- Natural treatments and remedies, and
- Lifestyle support such as diet and exercise.

Staff are encouraged to discuss such options with their GP. Employees can also access other NHS services such as Talking Therapy and Emotional Wellbeing services which can enable access to Cognitive Behavioral Therapy (CBT) to assist people develop techniques to tackle stress and anxiety. Further details on local services are available via the following links:

Hull - Improving Access to Psychological Therapies (IAPT) <https://www.letstalkhull.co.uk/>

East Riding – East Riding Talking Therapies
<https://eastridingtalkingtherapies.humber.nhs.uk/>

9 Impact Assessments

9.1 Equality

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

RELOCATION POLICY

Authorship:	Strategic Director of HR & OD (Interim)
Committee Approved:	Executive Board
Approved date:	30/01/2026
Equality Impact Assessment:	01/2026
Target Audience:	Hull and East Yorkshire Combined Authority Employees
Policy Number:	HEYCA REL 1
Version Number:	v1.1

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AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	30/01/2026	N/A

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1 Introduction

Hull and East Yorkshire Combined Authority (the Combined Authority) is committed to providing a high quality and productive work environment that supports the delivery of its principles and promotes the wellbeing of its staff. This includes adopting and maintaining a comprehensive suite of staff and human resource policies.

The Combined Authority recognises the value of employees having first hand insight and lived experience of the local areas it serves and has established a Relocation Policy as part of its encouragement for new employees to reside within its boundaries (subject to explicit conditions being met, as set out below).

2 Purpose and Scope

The purpose of the Policy is to establish the eligibility criteria and rates of reimbursement the Combined Authority may consider for relocation costs or expenses incurred by newly appointed employees who move into the Hull or East Riding areas.

Specifically, to offer suitable and proportionate incentives to prospective employees by providing financial assistance, in the most tax efficient manner, who incur legitimate expenses when relocating to within the Combined Authority's boundaries (upon appointment to the organisation)

The Policy applies to all new employees of the Combined Authority who relocate to within the boundaries of the Combined Authority within 12 months of the date of their appointment. It does not apply to existing employees or new appointees who currently reside within of the Combined Authority's boundaries.

3 Eligibility Criteria

The following criteria must be met in order for a new employee to be eligible for consideration under the terms of the Policy. They must:

- Have changed their main residence within 12 months of the first day of employment with the Combined Authority
- Not exceed the maximum sums defined within this Policy
- Agree to securely retain all invoices/ receipts/proof of payment for six years, should they be required for audit purposes.
- Provide written consent for the recovery of any monies received under this Policy should they subsequently trigger any of the recovery conditions set out in this Policy (see Section 7 – Recovery Criteria)

4 Exceptions

New employees are not eligible to apply for reimbursement in the following circumstances:

- Their current main residence is already within the Combined Authority's boundaries, or within 50 miles of them
- Their spouse or partner, with whom they cohabit, has already secured employment or works within the Combined Authority's boundaries, or within 50 miles of them, and would therefore be moving anyway
- It was already the employee's intention (or that of their spouse or partner) to move to the area prior to gaining employment at the Combined Authority.
- Any costs or expenses incurred outside of the 12 months following the date of their appointment to the Combined Authority
- Any cost or expense under this Policy not approved for reimbursement in advance by the authorising Line Manager

5 Allowances

Relevant cost or expenses under this Policy will be reimbursable to a maximum of £8,000 (or £5,000 in the event of not having a property to sell), payable on a staged basis.

6 Qualifying Costs and Expenses

Certain relocation costs or expenses are exempt from tax and National Insurance. These are known as Qualifying Expenses and can be summarised as follows:

- Disposal or intended disposal of old residence, including:
 - Legal fees
 - Estate agent's or auctioneer's fees
 - Advertising
 - Disconnection fees (gas, water, electricity or phone services)
- Acquisition or intended acquisition of new residence, including:
 - Legal fees
 - Arrangement fees
 - Land Registry fees
 - Rent
 - Stamp Duty
 - Connection fees (gas, water, electricity or phone services)

- Transporting belongings, including:
 - Packing and unpacking
 - Temporary storage, where required
 - Taking down domestic fittings in the old residence and reattaching them on arrival

- Travelling and subsistence, including:
 - Preliminary visits to new location
 - Travelling between old home and new work location
 - Travelling between new home and old work location (where the house move takes place before the job transfer)

- Domestic goods for the new residence, intended to replace items used at the old home which are not suitable for use in the new home

- Bridging loans, relief is available where bridging loan interest is reimbursed to the employee

- Temporary lodging allowance may be reimbursable for up to three months where the new member of staff is actively looking for a new residence within the Combined Authority's boundaries and they are either:
 - Maintaining a home outside the Combined Authority's boundaries which is in the process of being sold and they are living in temporary rented accommodation/lodgings.
 - Not a home owner but living in temporary rented accommodation/lodging within the Combined Authority's boundaries prior to obtaining permanent accommodation, which may be rental or home ownership.

The above list is not exhaustive and employees may request consideration of other relevant expenses for reimbursement, having regard for HMRC guidance, as set out at:

<http://www.hmrc.gov.uk/guidance/relocation.htm>

Expenses claimed that are not exempt from tax and National Insurance will be paid and taxed in the normal manner but will still count towards the maximum total of £8,000 or £5,000, as appropriate.

7 Recovery Criteria

Any reimbursements made under the terms of this Policy will be subject to recovery should the new employee resign, or be dismissed on grounds of misconduct or performance, within two years of the date of their appointment – in accordance with the following scales:

Within 12 months of the date of appointment	Full recovery of all payments received
Between 12 months and two years of appointment	The amount recovered will be reduced by 1/12th for each complete calendar month of service in excess of one year.

8 Impact Assessments

8.1 Equality

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

RETIREMENT POLICY

Authorship:	Strategic Director of HR & OD (Interim)
Committee Approved:	Executive Board
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Target Audience:	Hull and East Yorkshire Combined Authority Employees
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1 Introduction and Purpose

Hull and East Yorkshire Combined Authority (the Combined Authority) is committed to providing a high quality and productive work environment that supports the delivery of its principles and promotes the wellbeing of its staff. This includes adopting and maintaining a comprehensive suite of staff and human resource policies, including with regards to optional membership of the Combined Authority's Pension Scheme.

2 Purpose and Scope

The Combined Authority participates in the Local Government Pension Scheme (LGPS) and this Policy supports and supplements the particulars of that Scheme.

The Combined Authority does not operate a compulsory retirement age and the purpose of this Policy is therefore to:

- Signpost staff who are considering retirement in the short or medium term
- Support Line Managers to help them assist employees considering retirement
- Set out options for flexible retirement for employees to consider
- Facilitate the change from working to not working over a period of time to suit individual needs, whilst helping the Combined Authority retain valuable skills and experience
- Encourage staff to consider their work-life balance when nearing the time they may wish to retire

This Policy applies to all staff who are employed by the Combined Authority and who are members of the LGPS. This includes employees on temporary contracts and fixed term contracts who may opt into the Scheme. Staff who do not participate in the Scheme should refer to the State Pension Scheme particulars, as follows:

<https://www.gov.uk/government/publications/your-new-state-pension-explained/your-state-pension-explained>

Staff who are seconded from other employing organisations, agency workers or contractors (workers engaged through 'employment intermediaries') should refer to their own employer policies.

This Policy does not currently apply to Members of the Combined Authority but may do so in the future, subject to change in legislation.

3 Principles

The principal elements of the Local Government Pension Scheme are as follows:

- A statutory, funded, defined benefit (DB) pension scheme for local government and other participating employers
- Pension benefits calculated (since 2014) on the basis of Care Averaged Revalued Earnings (CARE)
- Guaranteed pension for life

- Tax relief on employee contributions

Further details of the LGPS can be found at <https://www.lgpsmember.org/your-pension/the-essentials/>

4 Roles and Responsibilities

- **Chief Executive (Head of Paid Service)**

The Chief Executive (Head of Paid Service) is responsible for establishing and maintaining this Policy and ensuring its fair and equitable application.

- **Executive Directors and Other Directors**

Executive Directors and other directors have responsibility for embedding this policy and procedure within their respective areas, ensuring its implementation and enactment.

- **Line Managers**

Line Managers are responsible for ensuring this policy is applied fairly to all, and to have discussions with staff concerning retirement, in line with the guidance in the policy.

- **Employees**

All employees of the Combined Authority are responsible for ensuring they are aware of the Policy and engage in discussion with their Line Manager regarding retirement intentions at the earliest opportunity and, in any case, no less than 6 months before a retirement date.

5 Retirement and Early Retirement

When considering retirement options, the Combined Authority advises all employees to fully consider the potential impact on their pension.

The Normal Pension Age is the age an individual can retire from Combined Authority employment and have their pension paid without reduction for early payment. Under the LGPS, for benefits built up from 2014 the Normal Pension Age is linked to the State Pension Age. Further information regarding benefits built up prior to 2014 is available at <https://www.lgpsmember.org/your-pension/the-essentials>

An employee may choose to retire from work early and before their Normal Pension Age but on or after the minimum pension age. Should an employee choose to retire early and access their pension, their benefits in most cases will be reduced on the basis that their pension will be paid earlier and for a longer period than expected. All employees considering this option are strongly encouraged to seek specialist pension advice

A Combined Authority employee with at least 2 years membership of the Local Government Pension Scheme can opt to retire voluntarily from the age of 55. Employees considering retirement, particularly flexible retirement, should engage with their Line Manager, in the first instance, at the earliest opportunity, and in any case not less than 6 months from the proposed date of retirement. Flexible retirement requests will be considered in line with the procedure set out in any Flexible Working Policy that may be established by the Combined Authority. Retirees

will be required to serve their contractual notice, save for in cases of retirement on grounds of ill-health, where notice periods will be considered on a case-by-case basis.

An employee may be eligible to receive their pension benefits immediately if they have at least 2 years total membership in the scheme and an independent doctor (qualified in occupational health) declares them unable to do their job, or any other comparable job, efficiently due to ill-health. This medical assessment is made in accordance with the LGPS tiered system.

To reflect the fact that the employee has to retire early they may receive additional membership, and this will be calculated based on the length of your total membership of the pension scheme.

6 Impact Assessments

6.1 Equality

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

SUBSTANCE MISUSE POLICY

Authorship:	Strategic Director of HR & OD (Interim)
Committee Approved:	Executive Board
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1 Introduction

Hull and East Yorkshire Combined Authority (the Combined Authority) is committed to providing a high quality and productive work environment that supports the delivery of its principles and promotes the wellbeing of its staff. This includes adopting and maintaining a comprehensive suite of staff and human resource policies.

The Substance Misuse Policy aims to promote a safe, healthy and productive working environment by setting out clear rules for staff regarding the consumption of alcohol, other intoxicating substances, medications or drugs while working or otherwise present in the work environment (including remote working), as well as when representing the Combined Authority in any other official capacity. It also describes the support available where substance misuse is identified or suspected.

2 Purpose and Scope

The purpose of the Substance Misuse Policy is to:

- Set clear expectations for being fit for work, free from the impairment effects of alcohol, illegal drugs, psychoactive substances or misused prescription/over-the-counter medication
- Provide a supportive framework for early help, rehabilitation and reasonable adjustments, where appropriate
- Confirm Line Manager responsibilities and procedural steps where there are concerns about substance misuse affecting performance, conduct, safety or reputation
- Ensure compliance with relevant legislation and guidance, including Health and Safety, Equality and Data Protection requirements

This Policy applies to all employees who are employed by the Combined Authority. This includes employees on temporary contracts and fixed term contracts. Staff who are seconded from other employing organisations, agency workers or contractors (workers engaged through 'employment intermediaries') should refer to their own employer policies.

3 Principles

The Combined Authority is guided by the following principles with respect to substance misuse:

- Employees must report for and be capable of work, whether onsite or elsewhere, fit for duty and not impaired by alcohol, drugs or other substances
- Prevention and early intervention is supported, encouraging self-disclosure without stigma and with access to confidential help, as appropriate
- Risk to safety will be assessed promptly and fairly, having due regard to all circumstances, including temporary removal from duties where this is judged necessary
- Disciplinary procedures may be considered where conduct breaches policy or law, while balancing support and rehabilitation options.
- Any personal data will be processed in adherence to Data Protection principles and legislation, ensuring confidentiality

4 Definitions

4.1 Substance Misuse

For the purposes of this Policy, substance misuse is defined as:

Misuse of alcohol, drugs of any form (both legal or illegal) or other substances which harm, or have the potential to harm, the individual or other people (both physically or mentally) or in a way that impairs health, safety or performance at work.

Misuse can be divided into three broad aspects:

- *Inappropriate use* - where use may aggravate an existing condition or situation, or is done in potentially dangerous or inappropriate circumstances
- *Habitual use* - where an individual becomes dependent on the effects of the substance to the extent that the desire for these effects becomes a dominant concern, to the detriment of other aspects of their lives
- *Excessive use* - which can lead to short or long-term physical and mental impairment, illness or anti-social behaviour

It includes the misuse of alcohol, legal or illegal drugs, prescription medicines (such as anti-depressants), solvents or psychoactive substances or any other form of "legal highs").

4.2 Fit for Work

Able to safely and effectively perform duties without impairment

4.3 Impairment

Reduced capacity to perform tasks safely, including, but not limited to:

- slowed reaction
- poor coordination or judgment
- drowsiness
- aggressiveness, because of suspected substance misuse

4.4 Safety-Critical Role

A role where impairment could foreseeably cause significant harm (for instance, using Combined Authority vehicles or equipment or lone working in high-risk environments).

5 Roles and Responsibilities

5.1 Chief Executive (Head of Paid Service)

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

5.2 Executive Directors and Other Directors

Executive Directors and other directors have responsibility for embedding this policy within their respective areas, promoting a fair and equitable working environment and supporting awareness and engagement with all employees in relation to substance misuse.

5.3 Line Managers

Line managers are expected to:

- Familiarise themselves with the signs and symptoms of substance misuse and best practice guides for managers
- Approach conversations promptly, proactively, sensitively and confidentially
- Foster a supportive environment, encouraging early help and intervention and referral to specialist support – such as Occupational Health – as appropriate
- Act promptly on concerns about impairment or risk, undertaking a risk assessment which may result in temporary removal from duties, where necessary
- Consider and implement any reasonable adjustments which would help support the employee at work

5.4 Employees

All employees are expected to:

- Report for duty fit for work and undertake their work without impairment, taking responsibility for their own health and safety, as well as for their consumption of alcohol or other substances set out in this Policy
- Seek prompt and confidential help should they have, or suspect they have, an alcohol or other dependency of any substance which is causing impairment or affecting their fitness to work. Help and advice could include that from:
 - Their Line Manager
 - Occupational Health (either directly or via their Line Manager)
 - Their GP
 - A local alcohol or substance misuse agency, or
 - A national helpline
- Follow medical advice on prescribed medication and inform their Line Manager where medication may impair fitness or safety (confidentially and proportionately)
- Comply with any support plan, reasonable adjustments or safety actions that are agreed

6 Support in Cases of Substance Misuse or Suspected Substance Misuse

The Combined Authority encourages and supports employees who may have an alcohol and / or substance misuse dependency or problem by assisting them in seeking help and supporting them in overcoming their dependency related problems. Where these are suspected, the Line Manager will arrange a confidential, informal meeting to discuss their concerns. Guidance on conducting this meeting can be found in Appendix 2.

Specialist HR support should be sought in all such cases and further advice may also be sought from Occupational Health, the employee's GP or elsewhere, where appropriate. The consent of the member of staff should normally be obtained, however, should serious

concern exist and they refuse to give their consent a Line Manager may determine it necessary to still seek specialist advice in the absence of employee consent having due regard to the health, safety and wellbeing of the employee or others.

All such cases will be treated in the strictest of confidence.

7 Rehabilitation

Should an employee be required to complete a rehabilitation period in line with the Attendance Management Policy, then normal arrangements (as outlined in that Policy) will apply. Where a rehabilitation period is attached as a sanction to a formal warning (for example reduced hours) the employee will be responsible for complying with this condition.

Every effort will be made to ensure the employee returns to their job on completion of the rehabilitation programme. In cases where the employee is not considered fit to return to the same job, or where doing so may undermine recovery, redeployment may be considered in line with the Attendance Management and Redeployment Policies. Should a programme of rehabilitation be agreed, the employee is able to take sick leave whilst seeking support and will therefore be entitled to the benefits that accrue.

8 Involvement of the Police or other external / regulatory bodies

The possession of illegal drugs or other illegal substances with the intent to distribute, use or supply is a criminal offence, and the Combined Authority has a duty to report this to the police immediately. Where an internal or police investigation shows that illegal drugs or other illegal substances have been on Combined Authority premises, or in the possession of Combined Authority staff, this will be dealt with as potential gross misconduct in accordance with the Combined Authority's Disciplinary Policy and may lead to termination of employment. This includes any external premises at which the individual is working, based or visiting.

An employee who is charged with, or convicted of, a criminal offence (including but not limited to receipt of a summons or a drink/drug driving offence) must inform their Line Manager immediately. In such circumstances, the manager should seek specialist HR advice as to what course of action may be appropriate. Notification of criminal proceedings or a conviction will not necessarily lead to disciplinary action being taken and the Combined Authority will determine what, if any, action will be taken after considering the facts of the case and the relevance of the charge or conviction to the job undertaken.

9 Corporate Hospitality and Work-Related Social Functions

Work related social functions help build personal connections beyond work tasks and they can support a positive, inclusive and valued culture where staff feel motivated and engaged.

Staff are expected to demonstrate responsible behaviour at such events and to act in a manner that does not have a detrimental effect or impact negatively on the Combined Authority's reputation. Employees must be mindful of their behaviour when attending all work-related social events, even if they occur outside of normal working hours; ensuring they are respectful to colleagues and avoid offense and abuse.

The provision of a moderate amount of alcohol may be considered for a Combined Authority sponsored social function, subject to the advanced approval of the Chief Executive (Head of Paid Service) or another Executive Director.

10 Performance and Conduct

Alcohol and/or other forms of substance misuse can affect the performance of staff in a number of ways, and the Combined Authority response will be judged on a case-by-case basis and having due regard to all relevant circumstances. There may be an immediate situation requiring resolution or an ongoing performance issue to be managed.

Ongoing or repeated performance or absence capability issues should be managed under the Managing Work Performance and/or Absence Management Policies respectively. The Combined Authority will always seek to follow the informal stages of these Policies, where appropriate. A member of staff who has a substance misuse issue will be supported; however, it is also the responsibility of the employee to accept this help and assistance to improve their condition.

Episodes of alleged misconduct will be managed in accordance with the Combined Authority's Disciplinary Procedure. Some acts of misconduct while under the influence of any substance may be so serious that they must be considered as acts of gross misconduct, rendering the employee liable to dismissal. This will include endangering the health and safety of themselves, colleagues or anyone else.

In circumstances where the employee denies having an alcohol or other substance misuse problem, the matter should be addressed sensitively while making clear the performance, behaviour or absence improvements that are needed within a stated timescale, and in accordance with relevant Combined Authority policies. The member of staff should also be signposted to sources of support and/or offered an alternative contact for confidential help and advice. Specialist HR advice should be sought in all such instances.

11 Impact Assessments

11.1 Equality

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the

diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others. It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

APPENDIX 1

SIGNS AND EFFECTS OF ALCOHOL OR OTHER SUBSTANCE MISUSE

The following symptoms and indicators may be evident if an individual has an alcohol or other substance misuse problem:

- Frequent, short-term absence
- Poor timekeeping
- Unexplained absences from work area
- Impaired job performance
- Deterioration in relationships with colleagues or management
- Sudden mood changes
- Unusual irritability or aggression
- Unusually or suddenly carefree
- Repeated accidents or mishaps
- Difficulty in recalling instructions or details
- Appearing withdrawn or preoccupied
- Poor judgement
- Loud talking
- Deterioration of hygiene or physical health
- Clumsiness
- Difficulty walking
- Slurred speech
- Sleepiness
- Dilated pupils
- Glassy, red or watery eyes
- Runny nose

* Please note - this list is not exhaustive and it is important to remember that the above symptoms may also signify other problems.

APPENDIX 2

PROCEDURE FOR LINE MANAGERS IN CASES OF, OR SUSPECTED CASES OF, ALCOHOL OR OTHER SUBSTANCE MISUSE

The following steps should be taken by the employee's Line Manger in the above circumstances: -

DO

- Arrange to meet the employee in private
- Confirm that the meeting is informal
- Consider offering the employee the opportunity to be accompanied by a Trade Union representative (where recognised) or Combined Authority colleague at the meeting*
- Discuss this policy and the help available
- Focus on work performance, attendance at work, relationships with colleagues and the help available
- Be objective, factual, consistent and specific
- Show concern for the employee
- Listen to what is said about personal problems
- Offer the opportunity of specialist help and advice if you feel there is a need
- Keep clear records of discussions and agreed future action
- Arrange regular meetings to monitor progress
- Refer the employee to Occupational Health or other specialist support, as appropriate, giving time off for appointments

If at any point during the discussion clarity is required seek further specialist HR advice.

DON'T

- Comment on the employee's private life
- Rely on impressions or rumours for which documented evidence is lacking
- Be judgemental or make vague accusations
- Argue about the employee's problems
- Leave any ambiguity about the employee's situation and what needs to be done to rectify it.

* *Right to representation from a trade union or Combined Authority work colleague should be discussed with an employee prior to all formal meetings. This right does not apply to informal meetings; however, consideration should be given in matters related to this policy as to whether this may be helpful both to the employee and to support the purpose of the meeting.*

APPENDIX 3

CONFIDENTIAL SOURCES OF EXTERNAL HELP AND ADVICE

Occupational Health

TBC

Addiction Helpline

Tel: 0808 163 9632

Better Health – Let's Do This

Online Tool - Tips and Advice for cutting down on alcohol.

<https://www.nhs.uk/better-health/drink-less/>

Alcoholics Anonymous

Self-help fellowship, offering support and advice to people with alcohol problems or concerns.

Tel: 0800 9177 650 (free helpline)

Email: help@aamail.org

Website: <http://www.alcoholics-anonymous.org.uk/>

AdFam (Families, drugs and alcohol)

Improving support for families affected by Drugs and Alcohol Website:

<https://www.adfam.org.uk/>

FRANK (National Drugs Helpline)

Helps you find out everything you might want to know about drugs (and some stuff you don't). For friendly, confidential advice, Talk To FRANK.

Tel: 0300 123 6600

Email: frank@talktofrank.com

Website: <http://www.talktofrank.com/>

Drink Aware

An independent charity working to reduce alcohol misuse and harm in the UK. Their aim is to reduce alcohol-related harm by helping people make better choices about drinking. Information, advice and self-help materials including drink tracker and tools.

www.drinkaware.co.uk

Drinkline

A free and confidential helpline for people who are concerned about their drinking, or someone else's.

Tel: 0300 123 1110

Narcotics Anonymous

N.A. is a non-profit fellowship or society of men and women for whom drugs had become a major problem. We are recovering addicts who meet regularly to help each other stay clean.

Tel: 0300 999 1212 13

Email: meetings@ukna.org

Website: <http://ukna.org/>

East Riding Partnership

The ERP provides a range of substance misuse services to adults across the East Riding of Yorkshire that delivered through the Open Access Service, the Shared Care service and the Community Drug and Alcohol teams (CDAT).

Tel: 01482 344690 (Open Access Service)

Website: <http://www.humber.nhs.uk/services/east-riding-partnership.htm>

Change Grow Live (CGL) ReNew - Hull

CGL ReNew is a free and confidential drug and alcohol service for adults (including offenders), families, carers and affected others in Hull.

Tel: 01482 620013

Email: Earlyhelp.hull@cgl.org.uk

Website: <https://www.changegrowlive.org/content/cgl-renew-hull>

WORK EXPERIENCE POLICY

Authorship:	Strategic Director of HR & OD (Interim)
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1 Introduction

- 1.1 Hull and East Riding of Yorkshire Combined Authority (the "Combined Authority") is committed to increasing productivity by equipping the local workforce with the skills and job opportunities needed for the future and ensuring that everyone, regardless of background or circumstances, has the opportunity to fulfil their potential in the workplace.
- 1.2 In support of this, the Combined Authority supports and encourages requests for unpaid and short-term work experience placements within the organisation.

2 Purpose and Scope

- 2.1 The purpose of this Policy is to set out a clear, consistent and transparent process to consider requests for unpaid short-term work experience. It aims to:
 - Ensure that work experience processes support the Combined Authority's vision of creating opportunity and enabling a skilled future local workforce
 - Promote fairness, equality and diversity in all recruitment activities
 - Provide guidance to Line Managers and other staff on their responsibilities when securing a work experience placement
 - Ensure compliance with all relevant legislation, health and safety requirements and best practice standards, in accordance with the UK Commission for Employment and Skills (UKCES).
- 2.2 This Policy applies to all employees of the Combined Authority and anyone who is engaged on a work experience placement with the organisation.

3 Principles

- 3.1 The following principles underpin the Combined Authority's approach to work experience placement within the organisation:
 - Work experience placements are provided as key learning and development experiences, not a source of free labour, meaning tasks undertaken should always support development rather than replace substantive employees' work
 - Placements will be unpaid, given that the purpose of a placement is learning rather than productive labour. Individuals will not be entitled to any form of remuneration or out of pocket expenses
 - They will be available for a limited period of up to 148 hours for those individuals wishing to take up such an opportunity
 - Work experience opportunities may be considered in any department or team and must be reviewed on a case-by-case basis
 - The number of placements available at any given time will be kept under review and at the discretion of individual Executive Director or Programme Director

- All work experience placements must have a structured programme of work agreed in advance and be assigned a named person as their main contact. The planned activities should focus on enhancing core employability skills, such as teamwork, communication and problem-solving.
- Applications are encouraged from anyone who believes they may benefit from the experience, including school pupils (aged 14 and over), college/university students seeking work experience to complement their existing studies, members of the public, looked after children or existing employees pursuing a career change
- Existing employees can only be accommodated providing there is no effect on their substantive post, for example, if they are part-time and can undertake the work experience in their own time
- All work experience placements should not be placed in confidentiality sensitive areas, but individuals should be reminded that on all placements, they will be bound by the requirements of the Data Protection Act as paid employees are.
- All work experience placements are covered by the Combined Authority's insurance and indemnity whilst they are on the premises or engaged in duties on the organisation's behalf.
- The Combined Authority's Disciplinary, Grievance and Capability Policies do not apply to work experience placements. Should a capability or conduct issue arise then the Line Manager should seek specialist HR advice, in the first instance.
- The organisation reserves the right to terminate a placement immediately, should the work placement individual be judged as guilty of serious misconduct.
- Work experience placements are classed as external candidates should they apply for a substantive vacancy at the Combined Authority

4 Roles and Responsibilities

4.1 Chief Executive (Head of Paid Service)

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

4.2 Executive Directors and Other Directors

Executive Directors and other directors have responsibility for embedding this Policy within their respective areas, ensuring its requirements are adhered to. Approval to secure a work experience placement must also be given by the Executive Director or other director under whose department the opportunity arises and subject to the confirmation of the internal capacity to support the placement(s).

4.3 Line Managers / Work Placement Supervisors

Line Managers / Work Placement Supervisors are responsible for:

- Gaining authorisation from the relevant Executive Director or other Director to facilitate a work placement
- Preparing full details of the duties to be undertaken during a work experience placement.
- Leading the process to confirm the candidate who will undertake the work experience placement (in circumstances where there are more expressions of interest than placements available)
- Completing a full induction for the work experience candidate prior to commencement of duties and providing structured supervision and feedback for the duration of the placement

5 Work Placement Procedures

5.1 Pre-Recruitment Checklist

The following checklist must be confirmed with the relevant Executive Director (or other Director, as appropriate), prior to commencement of a work experience placement:

- Clear goals and outcomes to be achieved during the placement and the duties and workload to be carried out in support of these. These should be shared in advance with candidates wherever possible.
- Reporting and supervision arrangements, including the capacity of the designated supervisor to provide appropriate support
- Placement duration and location
- Health and safety and other relevant risk assessments
- Confirmation whether there is an age restriction for the placement (for instance, aged 16+) and whether a DBS check is required
- Induction completion

5.2 Conclusion of Work Placement

The following should be offered at the completion of a work experience placement:

- An end-of-placement debrief / review, including the reflections of the work experience candidate, and completion of a written evaluation
- Offering a written reference or certificate
- Signposting career pathways or future opportunities
- Gathering internal feedback for programme improvement

- Completing final administrative tasks (such as return of any Combined Authority equipment)

6 Impact Assessments

6.1 Equality

○

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.



Report to the Combined Authority Board

30 January 2026

Hull and East Yorkshire Single Assurance Framework Review

Report of the Strategic Director of Legal & Governance and Monitoring Officer (Interim)

Report Status:

This item is not exempt

Therefore exempt reasons are not applicable

1. Purpose of the Report and Summary

- 1.1 The purpose of this report is to seek approval from the Combined Authority for the revised Assurance Framework. The revised framework has been updated to ensure it remains robust, compliant, and responsive to changes in national policy and funding requirements.
- 1.2 The Assurance Framework sets out the governance, decision-making, and accountability arrangements that underpin the Combined Authority's management of public funds. It is a key document that provides assurance to Government, stakeholders, and the public that funding is managed effectively, transparently, and in accordance with agreed standards.

2. Recommendations

- 2.1 The Combined Authority is asked to approve the revised Assurance Framework. Approval will confirm that the Authority's assurance arrangements remain fit for purpose and capable of responding to the ongoing release of new Government funding and frameworks throughout the year.
- 2.2 That authority is delegated to the Chief Executive, in consultation with the Monitoring Officer and Section 73 Officer to make any

necessary, non-material changes to the Assurance Framework to ensure it remains fully aligned to the English Devolution Accountability Framework.

3. **Reasons for Recommendations**

- 3.1 The Assurance Framework sets out how the Combined Authority will use public money responsibly, openly and transparently, with best value principles at the centre of decision making. The Ministry of Housing, Communities and Local Government requires Combined Authorities to develop their Assurance Frameworks aligned with the English Devolution Accountability Framework (March 2023), and as such the final draft Framework will be submitted for approval by the Department prior to publishing.
- 3.2 Approval of the revised Assurance Framework will ensure that the Combined Authority continues to meet Government requirements and is well positioned to respond efficiently to new funding opportunities as they arise. Failure to maintain an up-to-date Assurance Framework could increase the risk of non-compliance and may impact the Authority's ability to access future funding.

4. **Background**

- 4.1 The revised Assurance Framework reflects recent updates to Government funding arrangements and assurance expectations. It has been reviewed to ensure that it:
- Aligns with the latest Government guidance and frameworks
 - Remains flexible to accommodate new funding and policy changes issued during the year
 - Continues to provide clear governance, accountability, and risk management arrangements
- 4.2 As part of the review process, The Governance and Audit Committee were asked to consider the Framework within their remit at their meeting of 10 December 2025. The Committee's comments were included in the document attached at Appendix A.

5. **Issues for Consideration**

- 5.1 The Combined Authority is required to maintain an Assurance Framework to demonstrate that it has appropriate systems, controls, and governance arrangements in place to manage public funding responsibly. The framework provides confidence to Government that decisions are taken transparently, risks are appropriately managed, and value for money is secured.
- 5.2 It is essential that the Combined Authority's Assurance Framework aligns with the Government's assurance processes and expectations. Alignment ensures consistency with national

requirements, supports effective engagement with Government departments, and enables the Combined Authority to access and manage funding in accordance with the conditions attached to each funding stream.

5.3 The Assurance Framework will remain under continuous review and will be updated to reflect any changes or new decision-making processes, including the development of the Investment Board once it has been formally established and its Terms of Reference and Membership finalised and agreed.

5.4 The Investment Board will be supported by an Investment Framework that will also be appended once agreed. The Investment Framework will set out a transparent process and clear pathway for investment decision-making and will provide supporting guidance to assist decision-makers and project sponsors alike.

6. **Equalities Impact Information**

6.1 There are no equalities impacts arising from this report. The Single Assurance Framework outlines fair, consistent and transparent decision making.

7. **Options and Risk Assessment**

7.1 The Combined Authority is asked to approve the Assurance Framework to ensure alignment with government guidance.

7.2 Failure to approve and maintain an up-to-date Assurance Framework presents a risk of non-compliance with Government assurance processes, which could undermine confidence in the Combined Authority's governance arrangements and adversely affect its ability to access and manage Government funding.

8. **Legal Implications and Statutory Officer Comments**

8.1 The legal implications are dealt with in the body of the report.

9. **Financial Implications and Statutory Officer comments**

9.1 Financial governance matters are addressed within the Assurance Framework. There are no budget implications arising from the recommendations within this report.

Contact Officers:

Deborah Gray, Interim Programme Director
Tony Maione, Interim Monitoring Officer
Julian Neilson, Interim S73 Officer

Officer Interests:

None

Appendices: Appendix A – Updated Single Assurance Framework

Background Documents: None

Hull and East Yorkshire Combined Authority Single Assurance Framework

January 2026



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1. Introduction

1.1 Version Control

Version	Date	Amendments	Updated by
Draft	January 2025		
Draft review	November 2025	Programme and strategic updates.	DG/TM/JN
Draft review	December 2025	Post review by Governance & Audit Committee at its 10 th December 2025 meeting	Governance & Audit Committee/TM
MHCLG review	January 2026		

1.2 Purpose of the Single Assurance Framework

This Single Assurance Framework (referred to as Assurance Framework) sets out how the Hull and East Yorkshire Combined Authority (HEYCA) will use public money responsibly, openly and transparently, with best value principles at the centre of decision making.

This edition of the Assurance Framework updates the version published in January 2025. The Framework will continue to be reviewed and updated on an annual basis.

Good governance and accountability are the fundamental principles of HEYCA in every aspect of its work.

HM Treasury define an Assurance Framework as: *‘An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organisation’.*

This document has been developed in accordance with the [English Devolution Accountability Framework \(March 2023\)](#) and the [HM Treasury Green Book \(November 2022\)](#), including conclusions and recommendations from recent reform ([Green Book Review 2025: Findings and actions](#)). It is designed to demonstrate responsible decision making and accountability to Government, local stakeholders, businesses and communities. Specifically, this framework aims to demonstrate that appropriate and robust systems and processes are in place to effectively manage the investment programme with regularity and propriety.

This document outlines:

- How the ‘Seven Principles of Public Life’ are embedded within the culture, processes, practices and procedures of the Combined Authority in undertaking its roles and responsibilities in relation to the use and administration of HEYCA funding. This applies to existing and new

funding, and projects that place a financial liability on the Combined Authority.

- The respective roles and responsibilities of HEYCA and the elected Mayor and other parts of the decision making and delivery structure.
- The key processes for ensuring accountability, probity, transparency, legal compliance and value for money.
- How potential investments will be prioritised, appraised, approved and delivered.
- How the progress and impacts of these investments will be monitored and evaluated to ensure that they achieve value for money and projected outcomes in accordance with the Mayor and Executive's priorities and that risk is effectively managed.

This Assurance Framework sits alongside other key documents including:

- The HEY Devolution Deal agreement which sets out the terms and commitments between HM Government and HEYCA
 - The Hull and East Yorkshire Mayoral Combined Authority Order
 - The HEYCA Constitution
 - The HEY Gameplan 2025-2035
 - The HEYCA Strategic Transport Framework*
 - The HEY Work and Skills Framework
 - The HEYCA Investment Plan*
 - The Monitoring and Evaluation Framework*
 - The Performance Management Framework*
 - The HEY Risk Management Framework*
 - The HEYCA Medium Term Financial Plan*
- * When these are adopted

The Assurance Framework and supporting HEYCA business processes have also been developed in accordance with:

- Local Government Financial Framework, as set out in the Local Government System Statement
- [HM Treasury Guide to developing the project business case](#)
- [HM Treasury Guide to Assuring and Appraising Project: Green Book](#)
- [Orange Book \(Strategic Risk\)](#)
- [Magenta Book \(Evaluation\)](#)

The Devolution Deal agreed between HEYCA and HM Government provides the area with greater local control, flexibility and responsibility over funding streams and their outcomes.

The Assurance Framework provides a robust framework to enable HEYCA to maximise the impact of the Devolution Deal, it is applicable to all funds set out within the Hull and East Yorkshire Devolution Deal. It will be reviewed and updated to incorporate any subsequent funding as and when agreed within HM Government.

The Assurance Framework provides assurance to the Departmental Accounting Officer by explaining how funding granted or devolved to HEYCA

is allocated, and that there are robust systems in place to ensure resources are spent with regularity, propriety and value for money.

Within HEYCA, the Assurance Framework is a valuable tool enabling the development and delivery of successful programmes and projects. It provides comfort to decision makers that proposals for funding are evidence based, have a clear and tested rationale for intervention, and meet our strategic objectives.

1.3 Updating the Assurance Framework

This Assurance Framework will remain under review. It will be subject to an annual review, demonstrating the Combined Authority's ongoing commitment to governance, transparency and accountability across all of its activities. It will be updated alongside any updates to the English Devolution Accountability Framework, HEYCA's constitutional arrangements or any relevant changes to internal processes.

All updates will be approved by the HEYCA Executive Board, in cooperation with the Ministry of Housing Communities & Local Government ("MHCLG"), Department for Transport ("DfT"), Department for Business and Trade ("DBT"), Department for Education ("DfE") and any other government department relevant to this Framework, to ensure the Framework is appropriate to deal with appropriate funds devolved from government.

1.4 English Devolution Accountability Framework

The Assurance Framework has been developed in alignment with the first edition of the English Devolution Accountability Framework (EDAF) (2023). The EDAF sets out how Mayoral Combined Authorities will be scrutinised and held to account by government, local politicians and business leaders, and by residents and voters within the Hull and East Yorkshire region.

The Combined Authority meets all requirements set out in the EDAF and will seek to adopt the principles set out in the EDAF Scrutiny Protocol (November 2023) and any further EDAF content.

It is recognised by HEYCA that the provision of more powers and funding flexibilities through devolution brings to the fore the importance of continuing to strengthen governance and accountability arrangements, to ensure they are used appropriately to support regional and national priorities.

1.5 Scope of the Assurance Framework (devolved powers and funding)

The Hull and East Yorkshire Devolution Deal provides for HEYCA to have greater local control, flexibility and responsibility over funding streams and their outcomes. HEYCA's ambition is to establish a single pot investment fund, made up of various devolved funds.

The funds in the scope of this assurance framework are as follows:

- HEY Investment Fund. HEYCA has established a £400m investment fund over 30 years. This fund comprises 65% revenue and 35% capital. It is subject to five yearly gateway review assessments to confirm investments are contributing to economic growth. The HEY Gameplan and Investment Plan will set the priorities and operating principles for the fund. The HEY Investment Board is responsible for providing advice to the Executive Board on investments.
- Transport allocations as agreed with Government.
- Local Growth Fund – designed to boost regional productivity by focusing on infrastructure investment, business support and skills development.
- Connect to Work
- Youth Guarantee*
- Brownfield Land Housing Fund*
- Adult Skills Fund (ASF) – HEYCA will assume responsibility for the ASF in the area. The Skills Board will report directly to the Combined Authority on this work.

*When confirmed.

The Combined Authority may also have other sources of income not detailed above that this Assurance Framework applies to.

1.6 Strategic Framework

HEYCA has developed evidence led strategic objectives that reflect the Mayor’s ambitions for the area and align with the priorities identified in the constituent councils’ local economic and growth strategies, as well as that of government through the requirements of devolution (see HEY Gameplan below).

The devolution deal agreed with Government in November 2023 provided for a transfer of a broad range of powers for employment and skills, transport, housing and investment, along with an investment fund worth £400m over 30 years. This funding will be directed towards an ambitious investment plan focussed on inclusive and sustainable growth.

Section 5 of this Framework provides details of how investment projects are selected and the decision-making process.

1.7 Hull and East Yorkshire Combined Authority Gameplan

[The link to the document on the website will be added once the document is approved and published]

The HEY Gameplan is a ten-year plan that sets out the vision and guiding principles that will support HEYCA investments. It sets out the ‘golden thread’ from the strategic objectives and Mayoral priorities, through its overarching strategies, organisational objectives to programme and project activity directed through annual delivery plan activity for each portfolio area. The Gameplan sets out how the Combined Authority will turn the devolution deal and strategic priorities into reality. It also sets out the Combined Authority’s

governance structure, resources and ambitions for delivery against Member led portfolios of activity.

The strategic priorities of HEYCA are to:

- **Create conditions for good jobs** that offer fair pay and real prospects, ensuring people have the skills to succeed and the chance to build a career close to home.
- **Improve our region's connectivity** so that everyone can access work, education and essential services – wherever they live.
- **Support better health**, not just through health and care services, but by creating an environment that makes staying well and active easier.
- **Build more affordable homes** in the right places, helping families put down roots and live well.

The HEYCA Investment Plan sets out HEYCA's approach to investment and available funding sources, including requirement for specific funds and how they will contribute to the achievement of the above strategic ambitions.

2 About the area

Hull and East Yorkshire has a diverse and dynamic economy. It comprises the administrative geographies of Hull City and East Riding of Yorkshire Councils.

More than 600,000 people and around 20,000 businesses share one functional economy that ties Hull to Beverley, Bridlington, the Wolds and to ports and communities on both sides of the estuary.

There are strong links north to Leeds and York, along the M62 to Manchester and Liverpool, and south to Sheffield, the East Midlands and the wider national economy. These links shape the labour market, supply chains and visitor flows. The A63 and M62 carry freight from port to market and connect people to higher-skilled work. Spatial priorities focus employment land and investment along this corridor and around key centres.

The area is highly self-contained and tightly connected through employment, trade, and culture, 87.9% of people in employment live and work in the area. However, it is an area of significant contrasts. Hull has a high population density and tight urban grain, and East Riding has a more rural and coastal geography.

Positive opportunities exist within the area's economy to contribute to a national increase in productivity and drive good quality employment. The sector mix is distinctive. Production industries account for a large share of output. Manufacturing contributes strongly, as do engineering, process industries, agri-food, logistics and the port estates that power our gateway role.

Hull and Goole handle significant volumes within a wider Humber complex that is the UK's busiest trading estuary by tonnage, and host designated Humber Freeport tax sites that support investment in energy generation, chemicals, logistics and advanced manufacturing.

The area has infrastructure strengths and sector specialisms that have high-value growth potential and a great ability to enhance the region's world-leading reputation as a cluster for clean growth activity, and a rapidly growing research and innovation capability in areas such as, for example, renewable energy, medi-tech, rail and rail manufacturing and agri-tech.

The rural and coastal economy adds range and resilience, from high-performing agriculture and food processing to fisheries and a visitor economy centred on Bridlington and seaside towns.

However, structural challenges of a persistent low skill, low wage economy in some areas, limits the economic prosperity of our communities, with high patterns of deprivation and benefits dependency in Hull, Goole and some of our coastal towns. Nearly a third (28%) of Lower layer Super Output Areas (LSOA) in Hull and East Yorkshire are within the 20% most deprived nationally under the Index of Multiple Deprivation 2019.

Production industries (included in the agriculture, energy, mining and manufacturing sectors) that are critical to the UK economy account for almost 30% of our gross value added (GVA). This is the largest share of total output from these industries of any Combined Authority economy and is 1.6 times the UK average. In short, the Hull and East Yorkshire area is key to the UK's energy and food supply, and there are opportunities to develop these industries further. We need to grow higher-productivity roles in energy, chemicals and health technologies linked to clinical and care innovation, and to improve labour market connectivity.

HEYCA will provide the governance, relationship and investment mechanisms to unlock the multitude of opportunities:

- The area continues to be a key trade gateway for the UK and through opportunities such as the Freeport programme HEYCA will seek to enhance this role, developing the area's transport infrastructure in the process.
- Developing prospects for rapid manufacturing by utilising the ultrafast fibre network within the digital and automated sectors provides a great opportunity to Hull and East Yorkshire and the surrounding regions.
- Taking advantage of the sectoral specialisms in medi-tech and social care also provides exciting opportunities to develop new health and care technologies to meet the needs of the UK's future population.
- We also need to support and develop our foundational sectors in-hospitality, tourism, retail and social care; create better pathways for pay and progression; and make sustained progress on a range of economic, social and place outcomes at the same time.

3 Strategic Decision Making

3.1 Governance structure

Hull and East Yorkshire Combined Authority (HEYCA) is a Mayoral Combined Authority covering the administrative areas of both Hull City Council and East Riding of Yorkshire Council (the Councils). It is an accountable public body established under Section 103 of the Local Democracy, Economic Development and Construction Act 2009 (the Act).

HEYCA was created in 2025 through the [Hull and East Yorkshire Combined Authority Order 2025](#). It is its own Accountable Body for funding received from Government through the 2023 Devolution Deal. HEYCA will be the Accountable Body for the Humber Freeport (during 2026/2027).

As and when Government officially devolves further powers to the Combined Authority, in order to deliver against its policy agenda, this will be reflected in revisions to the Assurance Framework at the appropriate review period.

The first Mayoral election was in May 2025 and the initial Mayoral term will last four years, with subsequent terms lasting four years. On 1st May 2025, Luke Campbell MBE became the first elected Mayor of HEYCA.

3.2 Local Leadership – who makes decisions

The Authority's Executive (referred to in this Assurance Framework as the Executive) is the principal decision maker and provides leadership of the Combined Authority. The Executive comprises:

- The Mayor
- Two (2) elected members from each constituent council, one of whom will act as the lead member for their constituent council.
- Up to four non-constituent members, who will be nominated by the following bodies:
 - Humberside Police and Crime Panel
 - Skills Board
 - Business Board
 - Another nominated body to ensure the representative nature of the authority (as identified by the Combined Authority)

Constituent Members of the Combined Authority and the Mayor will have full voting rights. Non-Constituent members will be non-voting unless the Combined Authority resolves to give them a vote on any issue, within the restrictions set out in the Act. (Non-constituent members are individual members of the Combined County Authorities who are nominated as members by a body designated by the Combined County Authorities. Non-constituent members are non-voting unless the voting members resolve otherwise)

Decisions will be made by the Mayor (in relation to mayoral functions) or the Mayor and Executive (in relation to non-mayoral functions) in accordance with the 2024 Order and the HEYCA constitution.

The Combined Authority Executive provides the overall strategic direction for economic growth across Hull and East Yorkshire. The Executive will approve the HEYCA Investment Plan, HEYCA Gameplan and Financial Plan which sets out investment priorities.

3.2.1 The Mayor

The mayor, Luke Campbell MBE, was elected after the region’s first Combined Authority Mayoral election on Thursday 1 May 2025. The Combined Authority Mayoral election will take place every four years. There is no limit on how many terms a mayor can serve.

Directly elected mayors provide visible leadership and act as a champion for regional priorities, attracting investment that creates new opportunities for the area and the people who live there. By being directly elected, the mayors are given authority to make decisions that benefit the area.

The mayor will provide overall leadership for HEYCA and will chair meetings of the Executive Board. The mayor will be able to make certain decisions themselves, whilst other decisions will need to be made by the Board, of which the mayor is a member.

Areas where the mayor will be personally accountable will include housing and land acquisition powers to support housing regeneration, drawing up a local transport plan, and bus franchising powers. The elected mayor, chosen by residents, works closely with both councils, serving as a link to the government.

The mayor of Hull and East Yorkshire will be chosen by the people living here, so will be directly accountable to them. The Overview and Scrutiny Committee will help the mayor and the Combined Authority, holding them to account by reviewing their decisions and activities. The government has also set out an ‘accountability framework’ for all devolved authorities in England, to make sure that they are open and accountable to the communities that they serve.

3.2.2 Portfolio areas

Portfolio areas are included within the HEYCA Gameplan, with a member of the Executive appointed as a Lead Portfolio holder. Portfolio lead roles are reviewed annually and confirmed at the Combined Authority Annual Meeting. Some portfolios have working Task and Finish engagement groups made up of members from the constituent councils and HEYCA officers.

Portfolio	Portfolio holder
Investment	Cllr Anne Handley, Leader of East Riding Council
Skills	Cllr Mike Ross, Leader of Hull City Council
Transport	Cllr David Tucker, Deputy Leader of East Riding Council
Housing	Cllr Jackie Dad, Deputy Leader of Hull City Council

3.2.3 Combined Authority Forward Plan of Decisions

The Combined Authority will publish a forward plan of key decisions that will be taken by the Combined Authority at least 28 days before the decision is made to enable members of the public to view and comment on them. Details of all project approvals and minutes of meetings will also be published.

3.3 The Strategic Framework

HEYCA has a robust process in place to develop strategic objectives that align with its long-term vision and aspirations for devolution, reflect priorities identified by government through devolution requirements, as well as considering constituent council and Mayoral agendas and the local evidence base.

The Devolution Deal agreed with Government in 2023, provided for the transfer of a broad range of significant powers including those associated with employment and skills, transport, housing and investment.

The creation of HEYCA in 2025 has provided an Investment Fund worth £400m over 30 years which will enable the delivery of an ambitious investment programme focussed on inclusive and sustainable economic growth.

The Assurance Framework stages set out in Section 5 ensure that investment decisions align with the Combined Authority strategic objectives set out in the Gameplan.

The strategic planning process will be evidence based, supported by a regularly updated local economic assessment and consideration of the existing and future investment pipeline to ensure policy priorities reflect identified needs within Hull and East Yorkshire.

3.4 Hull and East Yorkshire Combined Authority Gameplan

[The link to document on the website will be added once the document is approved and published]

The Gameplan sets out the vision and guiding principles to underpin HEYCA's investments over the next ten years. It provides a rich evidence base which was developed in partnership with local stakeholders, building on the constituent authorities' economic plans and strategies. The Gameplan has been consulted upon with business and other stakeholders and will be approved by the Combined Authority Executive Board.

It sets out the 'golden thread' from the strategic objectives and mayoral priorities, through its overarching strategies, organisational objectives to programme and project activity directed through annual delivery plan activity for each portfolio area. The Gameplan sets out how the Combined Authority will turn the devolution deal and strategic priorities into reality. It also sets out

the Combined Authority's governance structure, resources and ambitions for delivery against Member led portfolios of activity.

The plan is based on HEY's economic assets and opportunities and long-term vision for the area's economic prosperity. The Gameplan outlines the work of the combined authority, focusing on four strategic priorities. These are grounded in aspirations to promote good economic growth; enhanced economic performance; integration with wider economic systems; and a sensitivity to the natural assets upon which much of our economy is based. These priorities are not separate. They work together to create a region where people can thrive.

The strategic priorities of HEYCA are to:

- **Create conditions for good jobs** that offer fair pay and real prospects, ensuring people have the skills to succeed and the chance to build a career close to home.
- **Improve our region's connectivity** so that everyone can access work, education and essential services – wherever they live.
- **Support better health**, not just through health and care services, but by creating an environment that makes staying well and active easier.
- **Build more affordable homes** in the right places, helping families put down roots and live well.

Delivery of the Gameplan will be supported by a series of delivery plans for each area of activity.

3.5 The Hull and East Yorkshire Investment Plan 2025-2035 (to be developed)

The HEYCA Investment Plan sets out HEYCA's approach to investment and available funding sources, including requirement for specific funds and how they will contribute to the achievement of the above strategic ambitions.

The HEYCA Investment Plan will be published in accordance with the Combined Authority's decision-making processes.

Investments will be made based on robust evidence led decision making, within a Green Book compliant business case framework. There are several stages to investment decisions laid out in this Assurance Framework, designed specifically to support sound investments.

The Investment Plan sets out how HEYCA intends to invest the funds devolved from government it comes available.

The Combined Authority also has responsibility for the delivery of existing funds from organisations whose functions have been transferred into HEYCA such as the former HEY Local Enterprise Partnership legacy fund, The Growing Places Loan Fund.

When it is appropriate to do so (eg if the government provides new funding for targeted projects and programmes), the Combined Authority will generally aim

to use government allocation formula in the first instance, subject to local prioritisation.

The devolution deal also allows the Combined Authority to borrow against future funds which is an opportunity the Combined Authority may seek to utilise to support strategic impactful investments.

The Investment Plan includes several principles designed to guide Investments:

- Strategic – be intricately linked and contribute towards at least one of the four strategic themes for actions set out in the Hull and East Yorkshire Economic Framework and demonstrate a clear evidence-based need.
- Value for money – maximise cumulative impact by bringing together projects into an integrated programme where suitable.
- Targeted – focused on strengthening and accelerating growth in priority sectors, creating opportunities and unlocking further funding and inward investment.
- Scale – deliver additionality and step-change benefits that is going to have a regional impact on people and business across the geography and go beyond intervention happening at a local authority level.
- Collaborative – where possible, bring together a wide range of partners across Hull and East Yorkshire to work towards a shared goal.

The above Investment Principles have been approved by the Combined Authority Executive Board.

HEYCA is particularly focused on driving investment into opportunities that create economic benefit across the area, particularly those that unlock further private sector funding and inward investment and that directly benefit local communities. The purpose of the Hull and East Yorkshire Local Growth Plan is to drive sustainable economic development through an integrated approach, combining broad support for the business environment with targeted focus on key sectors and workforce skills, supported by a regional approach to investment.

HEYCA works with its neighbouring Authorities, especially the Greater Lincolnshire Combined County Authority through formal pan-Humber working arrangements. The HEYCA Investment Plan will align with the corresponding plan for Greater Lincolnshire, so both are speaking as one to the same priorities for the Humber.

3.6 The Hull and East Yorkshire Transport Framework

Aligned to the Gameplan, HEYCA will develop a Transport Framework. The Framework will aim to define the strategic transport priorities for Hull and East Yorkshire and to shape, influence and accelerate the development and delivery of the strategic transport interventions that the region needs.

HEYCA will work in partnership with Government and its agencies such as Network Rail (and Great British Railways) and National Highways, to promote the necessary strategic transport investment. The framework will be underpinned by four strategic principles:

- A Distinctive network, that recognises the area's key features, including the coast, the Freeport, leisure opportunities and the new industries.
- An Opportunistic network that uses technology to alter the way in which we plan, deliver and maintain the network to meet our social, environmental and economic objectives.
- An Engaged network that overcomes current barriers to using sustainable transport modes, to provide everyone with more choice.
- A Maximised network that using available space and ensures a more resilient network whilst considering nature-positive and no-build solutions.

3.7 The Hull and East Yorkshire Work and Skills Framework

The Hull and East Yorkshire Work and Skills Framework sets out the key strategic actions required to ensure that local people have the skills and support required to provide a workforce which will drive the economy of the region and in turn, allow local people to fully benefit from the opportunities that economic growth provides. It is aligned to the priorities outlined in the Gameplan and has been developed from a strong strategic and evidence base, aligned with existing successful delivery. including

3.8 The Hull and East Yorkshire Local Growth Plan

The Local Growth Plan (LGP) for Hull & East Yorkshire is a ten-year strategy that aligns with both the National Industrial Strategy and local ambitions and approaches.

Its purpose is to drive sustainable economic development through an integrated approach, combining broad support for the business environment with targeted focus on key sectors and workforce skills, supported by a regional approach to investment.

The LGP will help cultivate a thriving, innovative, and resilient business environment across Hull & East Yorkshire. It will also support delivery of the HEYCA Gameplan and community benefits.

3.9 Get Britain Working Local Plan

As part of the Government's commitment to increase national prosperity and deliver inclusive growth, all areas of England are required to produce a Local Get Britain Working Plan. These local plans form a core element of the Get Britain Working White Paper, which sets out the Government's ambition to achieve an 80 per cent employment rate across the United Kingdom.

HEYCA's current employment rate is 74.4% (+/- 2.9% pts) Oct 2024 – Sept 2024.

The purpose of each Local Plan is to develop a comprehensive, whole-system approach to addressing both the supply and demand side challenges within local labour markets. This includes identifying the key barriers that prevent people from accessing, remaining in, or progressing within work, and setting out clear, evidence-based actions to overcome them. Over time, the scope of each plan will broaden to reflect evolving labour market needs and emerging local priorities.

Connect to Work is the first funding pillar received through the national Get Britain Working Strategy. In Hull and East Yorkshire Connect to Work aims to support 3,500 people with a health condition, disability or significant barrier to gaining and retaining employment. The region will be in receipt of a c£13m investment over 4 years to achieve this.

4 Governance, Transparent Decision Making and Accountability

4.1 Introduction

HEYCA, as a Combined Authority is subject to the requirements of the Local Government Accountability Framework. It adheres to this framework and is supported by its governance framework, internal and external audit arrangements, existing assurance framework and annual reporting of its accounts and the Annual Governance Statement.

The Combined Authority recognises and supports the English Devolution Accountability Framework and commits to building a culture of effective scrutiny and accountability through adherence to the framework. Hull and East Yorkshire Combined Authority has adopted the Government's Scrutiny Protocol (November 2023) to ensure that the Combined Authority's overview and scrutiny arrangements are of the highest standards and that there is appropriate accountability for decisions taken by the organisation.

In compliance with the English Devolution Accountability Framework the Combined Authority has put in place this Assurance Framework to ensure appropriate safeguards and standards are in place in the development and delivery of projects and ensure appropriate stewardship of devolved funds.

The Combined Authority meets all the standards set out in Chapter 7 of the Localism Act 2011 and has a robust Member-Officer Protocol in support of its Code of Conduct arrangements. All Members are expected to demonstrate the Nolan Principles of behaviour as outlined in paragraph 4.2 below.

Members of the Combined Authority are expected to act in the interests of the Hull and East Yorkshire area as a whole when making investment decisions. A variety of controls are in place to ensure that decisions are appropriate and free from bias and/or the perception of bias.

4.2 The Nolan Principles

All HEYCA Members, including voting, non-voting, constituent, non-constituent, associate and the business and skills boards' members will adopt The Seven Principles of Public Life (also known as the Nolan Principles). These seven principles apply to anyone who works as a public office-holder, whether elected or otherwise to ensure the utmost probity as public servants with stewardship of public funds. All public office-holders are both servants of the public and stewards of public resources. The principles also apply to all those in other sectors delivering public services.

The seven principles are:

- Selflessness - Holders of public office should act solely in terms of the public interest.
- Integrity - Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to

influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

- Objectivity - Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.
- Accountability - Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.
- Openness - Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.
- Honesty - Holders of public office should be truthful.
- Leadership - Holders of public office should exhibit these principles in their own behaviour and treat others with respect. They should actively promote and robustly support the principles and challenge poor behaviour wherever it occurs.

4.3 The Mayor and Executive

The Combined Authority is accountable for all funding and income it receives. It is responsible for a range of functions including transport, skills and economic development.

The Combined Authority Executive exercises all its powers and functions in accordance with the law and its Constitution. It sets the overall strategic direction for economic growth across the Hull and East Yorkshire combined area, agreeing all strategies and frameworks and agrees all delegated responsibilities to conduct business.

Decisions will be made by the Mayor (in relation to mayoral functions) or the Mayor and Executive (in relation to non-mayoral functions) in accordance with the HEYCA constitution. The Mayor will provide overall leadership for HEYCA and will chair meetings of the Executive Board. The Mayor will be able to make certain decisions themselves, whilst other decisions will need to be made by the Board, of which the mayor is a member. Areas where the mayor will be personally accountable will include housing and land acquisition powers to support housing regeneration, drawing up a local transport plan, and bus franchising powers. The elected mayor, chosen by residents, works closely with both councils, serving as a link to the government.

The Constituent Council Members represent the views of their local authorities at the Combined Authority Executive whilst also ensuring that they put the needs and opportunities of the Hull and East Yorkshire combined area at the forefront of all decisions.

Elections for the position of Mayor of the Combined Authority are held every 4 years.

The Combined Authority, through its Executive, has clear roles and responsibilities within its governance framework when it comes to decision-making in regard to strategy and budgets. This power sits within the Executive and is supported through the following roles and responsibilities across its governance framework:

Strategic Role	Responsibility of:
Provides leadership in terms of proposing the mayor's budget and takes decisions in relation to mayoral functions (see HEYCA Constitution)	The Mayor
Sets strategic vision, objectives and priorities.	Executive
Approves strategic and key policy frameworks	Executive
Set the budgetary framework and Medium Term Financial Plan	Executive
Develops strategy and policy proposals	HEYCA Strategic Leadership Team in consultation with the relevant portfolio holder
Implements approved strategy	Senior Responsible Officers in consultation with the relevant portfolio holder
Maintenance of Assurance Framework	Head of Paid Service
Operational and delivery oversight and provision of operational decision making	HEYCA Strategic Leadership Team
Undertakes strategic level scrutiny	Overview and Scrutiny Committee
Undertakes Mayor and Executive accountability	Overview and Scrutiny Committee
Provides oversight and assurance of standards and the Constitution	Governance and Audit Committee
Provides oversight and assurance of governance, assurance and supporting frameworks	Governance and Audit Committee

4.4 Induction

New members of the Combined Authority Executive will be supported through induction training that will cover the senior management structure and their roles including conduct, the governance structures including this Single Assurance Framework, how the Combined Authority is funded, its risks, the role of the Mayor, and the aims and objectives of the Combined Authority.

4.5 Code of Conduct

The Code of Conduct is set out in the HEYCA Constitution. The Nolan principles of Public Life provide apply to all officers and public office holders. (see paragraph 4.2)

4.6 Diversity

The HEYCA Executive and committee membership is comprised of elected representatives appointed by the constituent authorities and this membership is outside of the control of the Combined Authority. The Chair the Business Board and Humberside Police and Crime Commissioner (PCC) is appointed by the Executive, as is the membership of any advisory boards. HEYCA is committed to taking steps to appoint a diverse membership to its boards which reflect the community it serves.

4.7 Remuneration

No remuneration is paid by HEYCA to its Executive members other than a Mayoral Allowance which can be paid after a report by an Independent Remuneration Panel (IPR) which recommends an allowance which has been agreed; the allowance cannot exceed the amount on the IRPs recommendation. Consideration of remuneration may be given to the role of a Deputy Mayor once appointed.

4.8 Governance & Audit Committee Arrangements

HEYCA has established a Governance & Audit Committee, in accordance with the requirements of the Local Democracy, Economic Development and Construction Act 2009, the Combined Authorities (Overview and Scrutiny, Access to Information and Audit) Regulations 2017 and in alignment with the English Devolution Accountability Framework and with reference to CIPFA's guidance on Audit Committees.

The remit and operations of the Governance & Audit Committee are set out in the HEYCA constitution.

This committee is a key component of the Combined Authority's corporate governance arrangements and an important source of assurance regarding the organisation's arrangements for managing risk, maintaining an effective control environment, reporting on financial and annual governance processes and for the promotion and maintenance of high standards of conduct by its Members.

The audit functions of the Governance & Audit Committee are:

- Reviewing and scrutinising the authority's financial affairs.

- Reviewing and assessing the authority’s risk management, internal control and corporate governance arrangements.
- Reviewing and assessing the economy, efficiency and effectiveness with which resources have been used in discharging the authority’s functions.
- Making reports and recommendations to the HEYCA Executive Board in relation to the above points.

The Chair of the Governance & Audit Committee is selected by the Members of the Committee. The Committee includes an independent “co-opted” member (i.e. not an elected member) appointed by the Executive Board following a recruitment process. The other members of the Governance & Audit Committee are appointed by the Constituent Authorities. The appointment of members to the committee reflects the requirements of the Combined Authority’s (Overview and Scrutiny Committees, Access to Information and Governance and Audit Committee) Order 2017, being that the members of the committee taken as a whole reflect so far as reasonably practicable the balance of political parties for the time being prevailing among members of the constituent councils when taken together.

4.9 Internal Audit

Internal audit services have been established to provide a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes. SWAP Internal Audit work is completed to comply with Global Internal Audit Standards and all other guidance recognised by the UK Public Sector’s Relevant Internal Audit Standard Setters. SWAP Internal Audit work therefore conforms to all best practice and is intended to promote further improvement in the professionalism, quality, consistency and effectiveness of internal audit in HEYCA and, more broadly, across the public sector.

4.10 External Audit

An annual external audit of HEYCA’s statement of accounts is undertaken by a registered external local auditor under the Local Audit and Accountability Act ([Local public audit in England | Audit and Assurance | ICAEW](#)).

External auditors will undertake the audit of HEYCA’s statement of accounts and test value for money arrangements in line with the Code of Audit Practice issued by the National Audit Office ([Code of Audit Practice](#)) in line with the requirements set out in the Local Audit and Accountability Act 2014 and the Accounts & Audit Regulations 2015.

4.11 Overview and Scrutiny Arrangements

HEYCA has established an Overview and Scrutiny Committee, in accordance with the requirements of the Local Democracy, Economic Development and Construction Act 2009, the Combined Authorities (Overview and Scrutiny, Access to Information and Audit) Regulations 2017 and in alignment with the

English Devolution Accountability Framework and the principles of the EDAF Scrutiny Protocol.

The remit and operations of the Overview and Scrutiny Committee are set out in the HEYCA Constitution, they have the power to:

- Review or scrutinise decisions made, or other action taken, in connection with the discharge by the Executive or the Mayor of its functions.
- Make reports or recommendations to the Mayor and/or Executive, with respect to the discharge of its functions.
- Make reports or recommendations to the Mayor and/or Executive on matters that affect the authority's area or the inhabitants of the area.

HEYCA's Overview and Scrutiny Committee operates in compliance with the MHCLG Scrutiny Protocol (November 2023) and the Statutory Guidance on Overview and Scrutiny (April 2024). The Combined Authority has adopted a strong scrutiny model that aims to exceed statutory requirements:

- Proactive pre-decision scrutiny through a systematic use of the Executive Forward Plan and Member-led Scrutiny Work Programme.
- Public accountability via meeting webcast, including the Mayor's Question Time.
- Specialist training by industry experts and a dedicated Away Day to shape the work programme by Statutory Scrutiny Officer.
- Stakeholder engagement with constituent authorities and others for technical expertise in drafting reports, ensuring scrutiny adds demonstrable value to decision-making in its Member-led consensual recommendations to the Executive Board, led by the Mayor.
- The Overview and Scrutiny Chair attends the Executive Board to provide a high-level link; including scrutiny input to provide checks and balances as a critical friend.

The arrangements are underpinned by the principles set out in the MHCLG Scrutiny Protocol and supported by evidence of current practice and forward commitments, as appended at 7.7.

The terms of reference for the Overview and Scrutiny Committee are available in the Constitution ([available here](#)). The members of the Overview and Scrutiny Committee are appointed by the Constituent Authorities.

The Audit and Standards Committee and the Overview and Scrutiny Committee are key parts of the overall accountability framework of the Combined Authority, ensuring the requirements of the English Devolution Accountability Framework is complied with.

4.12 Business Boards and Representation

HEYCA hosts the business voice for the area, the Hull and East Yorkshire Business Advisory Board. It is made up of representatives of business interests in the area. The Board provides:

- Strategic business advice to the Combined Authority Executive, Mayor, and officers across all policy areas
- Advice on the development and shaping of economic strategy and oversight of progress on implementation, on behalf of the Executive who decide on and own the strategy
- Represents business across the Combined Authority area.

The Board, in line with the ambitions set out in the devolution deal and existing strategic plans, will help to drive forward Hull and East Yorkshire's priorities for sustainable and inclusive growth.

The Board's nominated person attends the Combined Authority's Executive as a non-voting non constituent member.

4.13 Skills Advisory Board

A dedicated private sector skills board will also support the Mayor, the Combined Authority Executive and officers. The skills board's remit is to help facilitate an efficient and fair local labour market where business can access a suitably skilled workforce, all local people can secure good quality, well paid employment regardless of their background and achieve their full potential.

The membership of this board is drawn from the local business community and wider stakeholder groups.

The Board's nominated person attends the Combined Authority Executive as a non-voting non constituent member.

4.14 Transport Advisory Group

HEYCA have established a Transport Advisory Group to provide strategic oversight and ensure transparent and consistent funding management and an Operational Group to support the Transport Planning process.

The established Transport Advisory Group will oversee spending plans and risks.

4.15 Investment Board and Investment Advisory Group

The HEYCA Investment Board is proposed as an Advisory Board to the HEYCA Board which will recommend investment decisions for approval by the HEYCA Board.

The Investment Board will oversee the investment pipeline and review proposals and business cases through the project lifecycle in line with the HEYCA Single Assurance Framework. It will also consider strategic matters related to investment, where helpful, and other funding decisions in line with external funding conditions and other requirements, but does not duplicate or

replace the role of the Business Board in providing HEYCA with input from a broad business voice.

The Investment Board will be supported by an Investment Advisory Panel.

4.16 Statutory Officers

4.16.1 Head of Paid Service

It is the role of the Head of Paid Service to ensure that all of the Combined Authority functions are properly coordinated, organising staff and appointing appropriate management.

The Head of Paid Service discharges the functions in relation to the Combined Authority as set out in section 4, Local Government and Housing Act 1989.

The duties and responsibilities of the post include but are not limited to:

- The statutory responsibilities of the Head of Paid Service to manage the budgets and funding allocations available to the Combined Authority, in conjunction with the S73 officer
- Leading the Corporate Management team to deliver the strategic direction for the Combined Authority as outlined by the Mayor and Executive
- Co-ordinated strategy, development and delivery ensuring a joined-up partnership approach to deliver the aspirations of the Combined Authority
- Champion the delivery of the strategic priorities of the Combined Authority and its Corporate Plan and put in place the resources necessary to achieve the efficient and effective implementation of HEYCA's programmes and policies across all services and the effective deployment of the authority's resources to those ends
- Advise the Combined Authority Mayor and Executive on all matters of general policy and matters upon which their advice is necessary, with the right attendance at all Executive and other meetings as appropriate
- Advising the elected Mayor on the delivery of strategic priorities
- Represent the Combined Authority at local, regional and national level in partnership with the Mayor
- Act on advice given by the Monitoring Officer on any situations that could put the Combined Authority in jeopardy of unlawfulness or maladministration
- Exercise urgency powers to make decisions in emergency situations.

4.16.2 Section 73 Officer

The Combined Authority has appointed a statutory Chief Finance Officer under section 73 of the Local Government Act 1985, to administer the financial affairs of the Combined Authority. At HEYCA the Director of Finance fulfils the role of the Section 73 Officer.

The Section 73 Officer is responsible for providing the final sign off for funding decisions.

The responsibilities of the Chief Financial Officer (CFO) reflect those documented in the CIPFA published document 'the roles of the Chief Finance Officer in Local Government' which details 5 key principles:

- The CFO is a key member of the leadership team, helping it to develop and implement strategy and to resource and deliver the authority's Policy aims sustainably and in the public interest.
- The CFO must be actively involved in, and able to bring influence to bear on, all material business decisions to ensure immediate and longer-term implications, opportunities and risks are fully considered, and alignment with the authority's overall financial strategy.
- The CFO must lead the promotion and delivery of the whole authority of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively. This includes overall responsibility for ensuring value for money.
- The CFO must lead and direct a finance function that is resourced to be fit for purpose.
- The CFO must be professionally qualified and suitably experienced.

The Chief Finance Officer is a member of the Combined Authority Senior Management Team and has oversight and an ability to influence all major decisions of the Combined Authority.

The CFO has ensured that the Combined Authority has robust systems of internal controls and appropriate separation of duties to ensure the legality and probity of financial transactions.

The CFO reviews all reports to ensure financial implications are correctly identified before they are presented to the Executive, its Committees and constituted boards.

These processes are set out in the Combined Authority's Financial and the Contract Procedure Rules. Other policies such as the Anti-fraud and Corruption Policy are also included in the Constitution and/or published on HEYCA's website.

4.16.3 Monitoring Officer.

A statutory Monitoring Officer has been appointed and discharges the functions in relation to the HEYCA as set out in sections 5 and 5A of the Local Government and Housing Act 1989.

The responsibilities of the Monitoring Officer regarding the Assurance Framework include:

- Maintaining an up-to date version of the Constitution and ensuring that it is widely available for consultation by members, staff and the public.
- Ensuring lawfulness and fairness of decision making
- The promotion and maintenance of high standards of conduct, including supporting any issues raised on standards via the Governance and Audit Committee.

The Monitoring Officer and their legal team review all reports to ensure legal implications are correctly identified before they are presented to the Executive, its Committees and constituted boards.

4.16.4 Scrutiny Officer

In accordance with Section 9 of the Local Government Act 2000 and the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Governance and Audit Committee) Order 2017, the Authority must designate one of its officers as the scrutiny officer of the overview and scrutiny committee(s) to discharge the following functions:

- (a) to promote the role of the overview and scrutiny committee(s);
- (b) to provide support and guidance to the overview and scrutiny committee(s) and to members of such committees; and
- (c) to provide support and guidance to Members of the Authority and to the Mayor in relation to the functions of the overview and scrutiny committee(s).

The Combined Authority may not designate as the scrutiny officer any officer of a constituent council of the combined authority.

4.17 Processes and Procedures

All HEYCA's processes and procedures can be found in Part 5 of the Combined Authority's Constitution. A link is available here [HEYCA Constitution](#)

4.17.1 Whistleblowing.

The Combined Authority has a Whistleblowing Policy in place to enable and encourage employees to raise concerns about wrongdoing by the Combined Authority, the Mayor's Office and/or contractors without fear of reprisal or detriment. All staff employed by the HEYCA are made aware of the whistleblowing policy which is set out in Part 5.7 of the Constitution ([HEYCA Constitution](#)).

4.17.2 Anti-fraud, Bribery and Corruption

The Combined Authority has an Anti-fraud, Bribery and Corruption Policy which aims to ensure that the Combined Authority has an effective anti-fraud culture and effective framework to manage the risk of fraud, bribery and corruption. The policy applies to the Mayor, councillors, employees, contractors and agents of the Combined Authority, except where agents have

their own policy and procedures in place that already provide at least an equivalent and sufficient framework.

This policy is set out in Part 5.6 of the Constitution ([HEYCA Constitution](#)).

4.17.3 Anti Money Laundering

The Combined Authority has an Anti- Money Laundering Policy. The policy aims to ensure that the Combined Authority has a planned approach should concerns arise in respect of money laundering. All organisations and individuals in the UK have responsibilities in respect of countering money laundering.

4.17.4 Feedback and Complaints

A procedure is in place to ensure that any feedback and complaints are dealt with fairly and effectively, this includes the arrangements, processes or decision making associated with a project ([Corporate Governance Code and Framework – Hull and East Yorkshire Combined Authority](#)).

The Combined Authority's Code of Conduct for Members also includes a process for dealing with complaints of alleged breaches of the Code ([HEYCA Constitution](#)).

4.17.5 Equality, Diversity and Inclusion.

An Equalities and Diversity Policy (link to follow) has been established that applies to all employees and anyone who works with the Combined Authority. It covers the work and outputs of the Executive, Boards, and groups, and is updated on an annual basis.

The Combined Authority is fully committed to complying with the Equality Act 2010 and the Public Sector Equality Duty and to fulfilling its statutory duties towards its employees and residents with regards to equality and inclusion. Before making and implementing decisions, policies, plans, practices and procedures, HEYCA will show due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations. Where decisions have the potential to impact people differently based on protected characteristics, an Equality Impact Assessment will be undertaken.

4.17.6 Gifts and Hospitality

The Code of Conduct for Members ([HEYCA Constitution](#)) and the Code of Conduct for Officers ([HEYCA Constitution](#)) regulate the acceptance of gifts and hospitality by members and officers respectively.

4.17.7 Registration and Declaration of Interests

The Combined Authority's codes of conduct for members, non constituent members, associate members and for officers sets out clear procedures for dealing with any conflicts of interest which may arise when carrying out the business of the HEYCA.

All Members and Officers are required to declare interests they are aware of, and this is recorded centrally on a register in the HEYCA. This information is reviewed and updated annually.

Executive and Board Members are required to make a declaration of any interest they have in an item of business at meetings. The Combined Authority's code of conduct sets out when a Member's interest requires that they should leave the meeting while the item is considered.

In addition, Constituent Authority members will have completed their Local Authority's Register of Interest.

All HEYCA officers are required to declare any interests they have in contracts. The codes of conduct can be found in the Constitution ([HEYCA Constitution](#)).

4.17.8 Freedom of Information.

As a public body, the Combined Authority is subject to the Freedom of Information Act 2000, the Environmental Information Regulations 2004 and the Data Protection Act 2018, which includes the General Data Protection Regulation (GDPR).

The Combined Authority will hold records and will deal with statutory information requests. Applicants are made aware of their right to access information through the Combined Authority, which will deal with this request in accordance with the relevant legislation.

As described below the Combined Authority aims to publish as much information as possible, reducing the need for Freedom of Information requests.

Full details of the Combined Authority's Freedom of Information requests procedures can be found on the HEYCA Website ([Freedom of Information and our Publication Scheme – Hull and East Yorkshire Combined Authority](#)).

4.17.9 Transparency Code

The Combined Authority has in place robust transparency and engagement arrangements. The Constitution sets out how agendas, minutes and papers will be made available to the public and when.

The Combined Authority will ensure it adheres to the Local Government Transparency Code (2015), building on existing good practice from across the constituent authorities.

Information is published on HEYCA's website here [Governance information – Hull and East Yorkshire Combined Authority](#)

4.18 Treatment of Risk

The Combined Authority recognises that effective risk management is an integral part of good corporate governance. A key role of the Assurance Framework is to ensure that risk is identified, monitored and managed appropriately, in accordance with the HEYCA Risk Management Framework.

This is both at a Strategic level (risks facing the organisation) and at a programme and project level.

A Risk Management Framework has been developed to provide visibility of risk at strategic, operational and programme levels to ensure consistency in approach across the Combined Authority in how risks are identified, managed, monitored and escalated.

The Combined Authority's Risk Management processes will be regularly reviewed to ensure they still meet the Authority's needs as it grows and develops, and also to align to any updated guidance or identified best practice.

The Combined Authority's Risk Management Framework (link to follow) is agreed by the Mayor and Executive, with the Governance and Audit Committee monitoring the risks on a quarterly basis. The Strategic Risk Owners in the business areas have responsibility for the identification and management of programme and project level risks. The Senior Leadership Team (which includes representation from the Statutory Officers) will review programme and corporate risks regularly, advising the Executive accordingly.

At the project level, all projects are required to outline in detail any identified risks as part of the full business case development and due diligence processes. Grant funding agreements require funding recipients to maintain an ongoing risk register and submit updated risk assessments including mitigations on a quarterly basis as part of the monitoring and reporting process.

4.19 Publishing Meeting Minutes

The schedule of meetings for the calendar year is agreed at the Annual Meeting and published on the HEYCA website ([Governance and Meetings – Hull and East Yorkshire Combined Authority](#)). The Combined Authority's Executive, Audit and Standards Committee, and Overview and Scrutiny Committee meetings take place in public (although the public may be excluded for confidential or exempt matters).

Executive and other committee meetings maybe livestreamed on the internet. Agendas for Executive and committee meetings are published on the HEYCA's website five clear working days in advance of the meeting.

Where agendas contain commercially sensitive information or are otherwise subject to one of the exemptions under the Local Government Act 1972 Schedule 12A, they are categorised as an exempt item and not published. Advice will be provided by the Monitoring Officer on whether the item should be classified as exempt, but Members have to make a decision to go into a private session unless an item has been declared confidential by the Government in which case it must be dealt with in private.

Decisions of meetings will usually be published within three working days, and draft minutes of the meeting are published as soon as possible after meetings

on the Combined Authority's website. Minutes of the meeting are formally agreed at the next meeting of the Executive or the committee and published as part of the Agenda pack.

4.20 Publishing Decisions

In the interests of increasing transparency and accountability, and in accordance with relevant legislation the Combined Authority has committed to publish a Forward Plan of key decisions that will be taken by the Executive at least 28 days before the decision is made, and up to 6 months in advance, to enable members of the public the opportunity to view them.

All decisions will be published in accordance with the transparency arrangements set out in the HEYCA Constitution. The Combined Authority ensures compliance with statutory requirements and/or Government guidelines on publication, where appropriate.

4.21 Corporate Policies

The Combined Authority's corporate policies are published on the HEYCA website.

A list can be found here:

- Member's Code Of Conduct ([HEYCA Constitution](#))
- Officers' Code Of Conduct ([HEYCA Constitution](#))
- Protocol On Member/Officer Relations ([HEYCA Constitution](#))
- Members' Allowance Scheme ([Freedom of Information and our Publication Scheme – Hull and East Yorkshire Combined Authority](#))
- Code Of Corporate Governance ([Corporate Governance Code and Framework – Hull and East Yorkshire Combined Authority](#))
- Privacy Policy / Personal Data Policy ([Privacy Notice – Hull and East Yorkshire Combined Authority](#))
- Anti Money Laundering Policy (link to follow)
- Anti-Fraud And Corruption Policy ([HEYCA Constitution](#))
- Whistle-Blowing Policy ([HEYCA Constitution](#))

5 The Single Assurance Framework Process

5.1 Investment Decisions Introduction

The HEYCA Executive Board will be the decision maker for all investment decisions. The Investment Board and the Business and Skills Advisory Boards will all provide strategic advice on proposed investments where applicable.

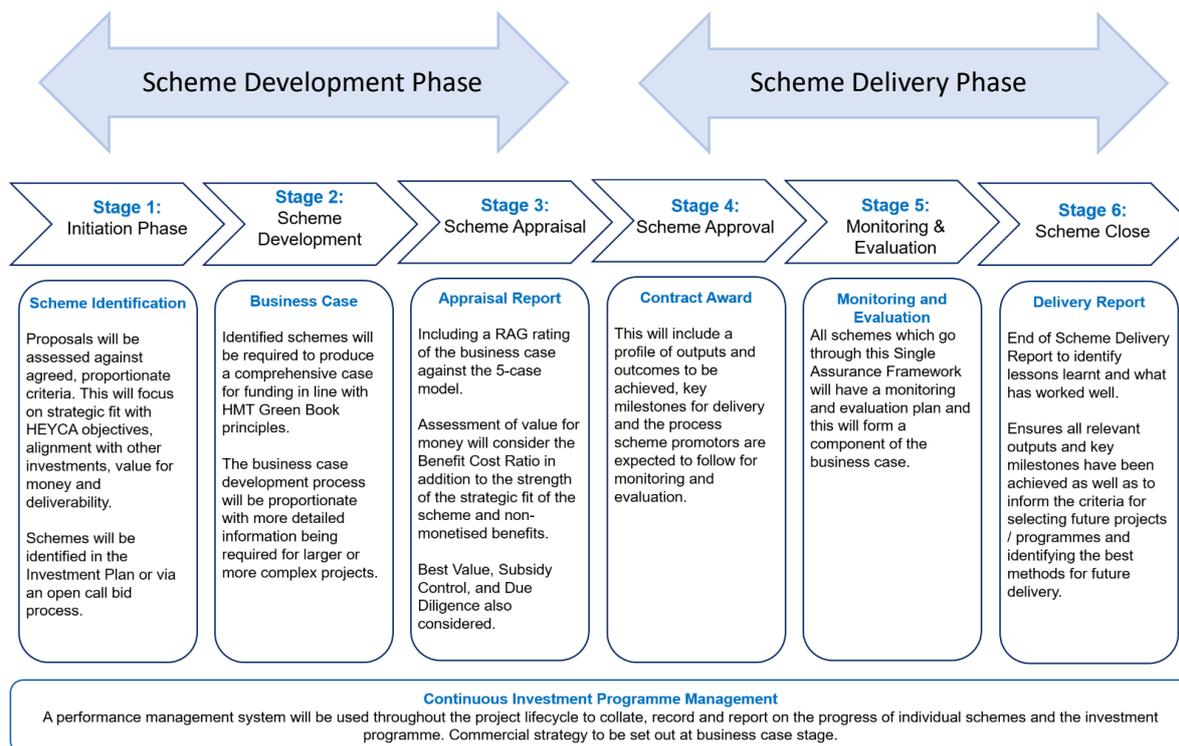
All investments will follow the Single Assurance Framework process. To ensure robust funding decisions are taken, a broader governance process will ensure decisions are taken based on specialist and impartial advice with the appropriate checks and balances in place. This will be an important step when deciding on competing business cases.

The additional steps include:

- **Internal peer review** – relevant officers and specialists from the Combined Authority and both councils will undertake a peer review and light touch strategic assessment of projects, which will be provided to the Combined Authority as advice.
- **Due diligence** – external, independent due diligence will be for projects that are more complex, for example with several partners or stakeholders or where specific technical knowledge is required. Internal due diligence will be applied to all other projects.
- **External appraisal** – the Combined Authority will seek to use best practice and commission external project appraisal where required, particularly for projects that are large, complex or require more technical input, or where there are competing business cases as another layer of assessment.

5.2 The Single Assurance Framework Process

The diagram below provides an overview of the Single Assurance Framework process.



5.3 Stage 1: Initiation Phase (scheme identification)

The purpose of the first stage is to provide early assurance that investment proposals meet strategic objectives and have the capacity to meet the requirements necessary to progress to a successful full business case. The decision-making process will be informed by the HEYCA Investment Plan, strategic objectives and any new and emerging policy priorities.

The Combined Authority will select projects and programmes for funding in an open and transparent way. The process for how HEYCA identifies, prioritises, assesses and commits funding to investment proposals is guided by HM Treasury’s Green Book methodology. There will be an emphasis on the importance of the strategic fit and alignment of proposals with other investments to ensure the approach to decision making and scheme development will help HEYCA to secure positive socioeconomic outcomes.

The Combined Authority will work with the constituent councils and other stakeholders to develop a pipeline of schemes for funding.

Scheme proposals will usually come forward from one of two sources, depending on the type of activity HEYCA is seeking to engage in:

- a. **Proposals for funding that fit with the strategic priorities** outlined in the HEY Gameplan, Local Transport Plan and other local plans and strategies (as developed and confirmed by HEYCA). Where relevant, proposals should be in line with the Humber Economic Strategy. Schemes submitted will be assessed for strategic fit and alignment with HEYCA

Investment Principles and will be outlined in the HEYCA Investment Plan (to be developed). These will be drawn down for business case development in line with the Gameplan and funding availability. The Investment Plan will set out details of each proposal along with the project stage, and the status of external funding from a sponsoring Government department or other source (bid stage, confirmed etc). The pipeline will be reviewed at quarterly intervals to ensure proposals continue to remain commensurate with strategic priorities.

- b. **Open calls for proposals where there are specific identified needs** will be published openly and will follow a competitive process. This approach will be limited to identified needs which align with strategic priorities and are not already met through the investment pipeline due to resource availability. These calls will be published on the CA's website and will have a specific focus targeted towards a specific investment priority. Applicants will be invited to submit bids that detail a brief description of the proposal, the need for intervention, the outputs (including when, how and who will deliver them), and the associated benefits. This should also include strategic fit, approach to evaluation and detail of finance and risk. This approach will enable HEYCA to assess, prioritise investment proposals and early assurance proposals are in line with strategic priorities, are legally compliant and in accordance with allocated funding.

The following principles will be applied to scheme identification:

- Scheme proposals will be assessed against agreed, proportionate criteria. This will focus on strategic fit with HEYCA objectives, alignment with other investments, value for money and deliverability.
- Transport schemes will be assessed in accordance with DfT's latest appraisal guidance.
- Scheme sponsors will need to include environmental, equality and social impact assessments as part of their applications.
- The CA will assess the overall impact of the proposed scheme.
- Scheme development funding will be subject to approval of a full business case. This will include applicants working with the CA and stakeholders where necessary to appraise options in line with HMT Green Book principles.
- In the event that there is a departure from the process, (for specific reasons such as business critical urgency), where implementation of the standard assurance process would materially increase cost, risk, or otherwise impact on success of a time-limited opportunity e.g. access to time limited funding, regulatory deadlines, matters of urgent operational safety, resilience or performance failure, the HEYCA Statutory Officers and constituent councils must agree on this course of action in advance of the CA committing to the scheme.
- All schemes will be dealt with on a transparent basis. HEYCA Statutory Officers will approve commitment to the development of a proportionate scheme business case in line with HMT Green Book principles. Business cases will be reviewed for compliance, and a financial appraisal will be undertaken. Depending on the nature of the scheme Statutory Officers may draw on Subject Matter Experts to

support the appraisal. Approvals will be based on consultation with the Mayor, Investment Portfolio Holder and relevant Portfolio Holder. HEYCA statutory officers will report to the Mayor or HEYCA Board on the outcomes of the appraisal process, incorporating the financial appraisal.

5.4 Stage 2: Scheme Development

Identified schemes will be required to produce a comprehensive case for funding in line with HMT Green Book principles (steps in the business case process to follow). This should seek alignment to HEYCA strategic objectives and policy aims whilst meeting funding requirements and any milestone dates.

The business case developed for each scheme will require detailed evidence on the options, designs, delivery and outcomes of the proposal, along with strategic fit and value for money information to enable informed decision making. The business case should include a developed Theory of Change to support effective evaluation which sets out clear objectives that the scheme options can be assessed against. This is important to demonstrate schemes have been developed proportionally and are able to deliver intended benefits and impacts.

Where delivery partners are external to the Combined Authority, they will be supported through the process by the lead Business Area within the Combined Authority. Subject Matter Experts within the Lead Business Area from Finance, Legal and Procurement will be engaged in the business case development and its review. Project sponsors may employ analytical experts to support business case development.

The business case development and appraisal process will be proportionate with more detailed information being required for larger or more complex projects or programmes. This will follow HMT's guidance on the five-case business case model (see appendix 7.2) The application and appraisal process for the investment programme will involve the following stages.

There are usually 3 business cases produced which are:

- a. Strategic Case (SOC) – this will provide the strategic context, underlying justification for the scheme and will support the prioritisation and programme development stage. For larger schemes (£5m+) or which are innovative/transformational or more complex, an SOC will be required. Smaller or simple schemes can progress straight to OBC, or where appropriate FBC, although in these cases a Strategic justification of the scheme will still be required to be incorporated.
- b. Outline Business Case (OBC) – this will confirm the strategic context and make a robust case for change and identify the preferred option for delivery from a shortlist of options considered. This will include Theory of Change.

- c. Final Business case (FBC) – this will include a detailed business case for the scheme consistent with HMT’s guidance on the five-case business case model (see appendix 7.2. This needs to be developed to a point where final approval can be given, it will follow Green Book guidance and take account of scheme specific appraisal guidance (eg DfT for Transport schemes).

A full suite of business case templates and documentation will be available on the website once developed.

All stages will follow Green Book guidance and take account of scheme specific appraisal guidance (eg DfT for Transport schemes).

When multiple schemes contribute to the same strategic objectives, a programme business case approach will be adapted to ensure coherence and alignment across all schemes. This will ensure schemes are managed collectively and contribute to achieving strategic objectives efficiently and effectively. Where appropriate, a single combined financial case could be developed which considers the costs, funding sources and financial risks for all schemes to help understand the overall financial implications and efficient use of resources. A unified management plan will also be developed to oversee the implementation of all schemes and a plan for delivery that phases scheme implementation in a way that maximises benefits.

Where over half of a scheme’s funding has been awarded by another government department (eg Homes England), a separate business case may not be necessary as long as an appropriate FBC is in place that is equivalent to that of the HEYCA. Evidence that another funder has approved the business case will always be required.

5.5 Stage 3: Scheme Appraisal

The business case will be subject to a technical appraisal undertaken from outside the Business Area, to provide assurance to decision makers that investment proposals meet the agreed standards and compliance requirements, in line with recognised best practice.

Under a programme business case approach, options will be evaluated in the context of the entire programme to consider interdependencies, synergies and potential conflicts between schemes.

The appraisal process will be in line with HMT’s Green Book and be consistent with any other departmental appraisal processes such as the MHCLG appraisal guidance. Schemes will have undergone assessment prior to inclusion in the HEY Investment Plan as an extra layer of assurance that these align with the HMT 5 case model.

HEYCA s73 Officer will be responsible for ensuring each scheme that goes forward for decision will be accompanied by a signed appraisal report that will

include a RAG rating of the business case against HMT’s Green Book Five Case model.

Five Case Model Description	
Strategic Case	The strategic case sets out the rationale for the proposal; it makes a compelling case for change at a strategic level. It should set out the background to the proposal and explain how the project provides fit with the HEYCA’s strategic objectives, as well as any relevant local and/or national strategic priorities.
Economic Case	The economic case is the essential core of the business case and should be prepared according to HMT’s Green Book guidance. This section of the business case assesses the economic costs and benefits of the proposal to society as a whole, and spans the entire period covered by the proposal (see The Green Book (2022) - GOV.UK for defined appraisal periods that depend on the lifespan of the intervention).
Commercial Case	The commercial case is concerned with issues of commercial feasibility and sets out to answer the question “can the proposed solution be effectively delivered through a workable commercial deal or deals?” The first question therefore is what procurement does the proposal require, is it crucial to delivery, and what is the procurement strategy?
Financial Case	The financial case is concerned with issues of affordability, and sources of budget funding. It covers the lifespan of the scheme and all attributable costs. The case needs to demonstrate that funding has been secured and that it falls within appropriate spending and settlement limits.
Management Case	The management case is concerned with the deliverability of the proposal and is sometimes referred to as a programme management or project management case. It confirms that the capacity is available and proportionate to the delivery requirements. The management case must clearly set out management responsibilities and governance and reporting arrangements. If it does not, then the business case is not yet complete. The Senior Responsible Officer should be identified.

5.5.1 Assessing value for money

For the investment programme, the CA will make investment decisions based on a range of evidence such as the strategic case and other local impacts and analysis of cost effectiveness, as well as the wider value for money appraisal. This evidence will be consistent with Green Book and other guidance whilst recognising Benefit Cost Ratio (BCR) will remain the universal metric to assess VfM. This assessment will be detailed in the Economic Case of the Business Case and will be provided to support the decision-maker covering assessment of the scheme's efficiency and effectiveness. The assumptions in the Economic Case will be commensurate with the Strategic Case, and across all dimensions of the business case.

In principle, proposals demonstrating a positive BCR will be prioritised. HEYCA will take account of a range of evidence when deciding to invest in a scheme, including local impacts, unlocking investment and transformational change. Recognising some of the development challenges in the area, HEYCA will aim for Acceptable VfM (above 1.2), however, the CA may still decide to invest in exceptional circumstances, based on the wider impacts of the scheme, in line with the strategic case. An assessment of the non-monetised benefits during options consideration will also be included and taken into account as part of the appraisal recommendation.

The following VfM categories can be defined where public sector costs are positive:

VfM Category	Implied by....
Very High	BCR greater than or equal to 4
High	BCR greater than or equal to 2 and less than 4
Medium	BCR greater than or equal to 1.5 and less than 2
Acceptable	BCR greater than or equal to 1 and less than 1.5
Poor	BCR greater than or equal to 0 and less than 1
Very Poor	BCR below 0

Assessing the value for money of schemes under a programme business case will consider the costs and benefits over the programme's lifecycle. See [The Green Book \(2022\) - GOV.UK](#) for defined appraisal periods that depend on the lifespan of the intervention.

Full Business Cases (including their value for money statements), will be signed off by the s151 officer or Chief Finance officer of the promoting organisation.

Full Business Case Assessment Summary Reports will be signed off by HEYCA's s73 officer and these will be included in the report to the CA for decision making. Where HEYCA is the scheme promoter separation of roles will be ensured and business case sign off will be provided by the s151 officer from one of the constituent Councils.

5.5.2 Best Value

In accordance with the requirements of the Local Government Act 1999 the HEYCA will be subject to the same Best Value requirements as all other Public Bodies, which means the CA must demonstrate good governance, including a positive organisational culture, across all functions and effective risk management. The CA is also required, pursuant to section 3 of the 1999 Act, to consult on the purpose of deciding how to fulfil the Best Value Duty.

5.5.3 Subsidy Control

Subsidy Control will be considered as part of the decision-making process and records of compliance will be kept in line with the transparency requirements of the Subsidy Control Act 2022.

In accordance with the requirements of section 12 of the Subsidy Control Act 2022 projects will be assessed to ensure that they are consistent with the subsidy control principles prior to the award of any grants, loans or other forms of financial assistance. (See Appendix 7.6).

5.5.4 Due Diligence

Due diligence refers to the process of undertaking independent verification of key information provided by scheme promoters in support of funding proposals. It is intended to supplement the appraisal process and support the effective management of risk.

HEYCA is committed to undertaking due diligence activities that support effective decision making and scheme appraisal. This will naturally be undertaken as the investment business case application progresses through the options appraisal and shortlisting process. Where necessary to undertake specific analysis, e.g. for complex or very large schemes, this will be undertaken in accordance with HMT's Aqua, to test assumptions and ensure they are robust and the project or programme is fit for purpose.

5.5.5 Transport Schemes

For transport schemes, HEYCA will ensure that appraisal is sufficiently robust and fit for purpose for the scheme under consideration, and that it meets current DfT guidance for all schemes on a case by case basis but for schemes with low cost or special circumstances, a more proportionate approach may be taken. In addition to TAG, other robust or evidence-based assessments or methodologies may be employed to prioritise and assess the overall business case for a scheme. (See Appendix 7.3).

5.5.6 Adult Skills Fund

The Government will fully devolve the Adult Skills Fund to the Combined Authority from the academic year 2026/27, subject to the meeting the readiness conditions set by DfE. The Governance structures, system, process, and policies that will be developed and implemented by HEYCA as the accountable and decision-making body, will provide the DfE with confidence that it has in place all relevant infrastructure to effectively manage the process and risks associated with the allocation of devolved Adult Skills Fund funding including accountability to:

- the public, via the Overview and Scrutiny Committee and Audit and Governance Committee, including scrutiny of the accounts and local audit reports.
- the UK government. HEYCA will also discharge, on an annual basis, its responsibilities to devolved Adult Skills Fund funding as set out in the English Devolution Framework and produce an Annual Assurance Report alongside other yet to be agreed document such as an Adult Skills Fund (ASF) Assurance Framework document, including project appraisal and value for money processes. (See Appendix 7.4).

5.6 Stage 4: Scheme Approval (contract award)

Following the completed appraisal stage, investment proposals will progress to approval stage. The required approval route is dependent on the level of financial approval that is required. Decisions by the Combined Authority to commit funding on the basis of a business case approval will be made in accordance with delegated powers as set out in the HEYCA Constitution.

Business Case Value	Approach
Up to £500k	Approved by the Head of Paid Service in consultation with the S73 Officer and Monitoring Officer, under the Combined Authority's approved delegated authority. Business cases are progressed for approval following sign off by the relevant Senior officer who approves the business case as complete and takes on responsibility for its progression through the approvals phase. The Head of Paid Service will then consider the business case for approval under delegated authority.
Over £500k	Approved by the Combined Authority. The Head of Paid Service, in consultation with the S73 Officer and Monitoring Officer will make recommendations to the Authority. The relevant Senior Officer is responsible for the project's progression as above.

To ensure the investment programme is managed strategically HEYCA's s.73 officer will be responsible for the overall management of the programme and that linkages are made within the portfolio of proposals seeking investment. The time taken to assess schemes will depend on the nature and complexity of the proposal.

The outcome of independent assessments of the investment programme schemes will be reported to HEYCA as part of the recommendations made on the merits of individual applications. A RAG rated Assessment Summary Table will form an appendix to these reports and will be part of the CA's public agenda pack that will be available to view on the CA's website.

Aside from where HEYCA is the scheme promoter, the CA will prepare a Grant Offer Letter for agreement by the applicant. The offer letter will set out the following which will be monitored by the CA:

- A financial profile including quarterly expenditure.
- A profile of outputs and outcomes to be achieved with key milestones for delivery.
- Projected impacts and a timetable for their achievement.
- Monitoring and evaluation requirements and the process scheme promoters are expected to follow.

5.7 Stage 5: Monitoring and Evaluation (to be developed)

Monitoring and evaluation will be a key consideration throughout the delivery of schemes. All schemes which go through this Single Assurance Framework will have a monitoring and evaluation plan and this will form a component of the business case. Monitoring and evaluation for schemes considered within a programme business case will consider how a package of schemes are contributing jointly to the strategic objectives.

HEYCA will have a comprehensive monitoring and evaluation framework, designed in accordance with HMT's Magenta and Green Book principles that will be used to strengthen decision making (this will be available on the HEYCA website once developed).

The framework will set out the key principles for how the CA will manage evaluations across the whole investment plan and measure its overall impact. This will be underpinned by meaningful and locally defined principles of identifying lessons learnt to inform future policy and scheme delivery. This will contribute to creating a culture of decision-making based on best practice.

Through effective monitoring and evaluation, HEYCA will use lessons learned to inform future policy development, allowing HEYCA to:

- Demonstrate local accountability. Show how funding is being spent and benefits achieved against local strategies and action plans, demonstrating the value and effectiveness of local decision making and shaping future priorities
- Comply with external scrutiny. Together with the Assurance Framework, demonstrate progress and delivery to the constituent council members, senior Government officials and Ministers

- Understand what works. Provide a feedback loop and enables the lessons learnt to be fed back into policy making and communicated to stakeholders, as well as supporting the case for further devolution and investment in the area
- Develop an evidence base. Provide a mechanism for collecting, collating and analysing data which can be used across the organisation and by others, following the principle of collecting data once and using many times subject to relevant legal requirements
- Ensure quality assurance. Monitoring & Evaluation plans form part of business case submissions, and these are, in most cases, independently reviewed and published to support decisions by the CA.

5.7.1 Monitoring

All project and programme sponsors, scheme promoters and delivery partners will be required to provide regular financial and delivery information, including progress against agreed targets and milestones, tracking progress of the implementation of a project. Monitoring reports will usually be completed on a quarterly basis unless projects or programmes are underperforming or at higher risk, in those circumstances, more regular reporting may be required. Monitoring will continue until schemes are both financially and physically complete with all outputs and outcomes accounted for.

Project and scheme sponsors and promoters are responsible for raising any concerns regarding performance and any changes in cost, timescales or scope for their scheme with the CA. Where there are material changes to a project or programme, the CA may decide to review its decision regarding the scheme.

Regular monitoring reporting will be through the CA's democratic and governance processes.

The CA will report to the relevant Government departments, such as MHCLG, DfE, DfT, as determined by the department.

5.7.2 Evaluation

Evaluation will be meaningful and proportionate. The frequency and type of evaluation required will depend on the contract value of the project. The CA will determine the level of evaluation required at OBC stage so that the costs of evaluation can be built into the scheme. Pilot projects will be subject to more extensive and frequent evaluation. (See [HMT Magenta Book.pdf](#)).

Monitoring and evaluation will be a key consideration throughout the delivery of schemes, with the aim of assessing whether schemes have led to their intended benefits and impacts.

Lessons learnt from evaluation will be reported to the CA and across the governance framework as required.

Most schemes will be required to undertake a process evaluation to understand a project's pathway to inform future delivery, as well as a progress evaluation, reviewing progression against targets and milestones (outcome, outputs and spend). Impact and process evaluations will be applicable to the majority of schemes except for tried and tested projects or programmes where there is a strong evidence base and where there may be little benefit in allocated additional cost. This will be considered on a case-by-case basis.

5.7.3 Enforcement

HEYCA will have appropriate processes in place to recover non-compliant funding. The grant offer letter for each scheme will provide details of what action will be taken if there is evidence of non-compliance. It is the responsibility of the scheme sponsor to identify risks in the FBC for delivery.

HEYCA has the right to withhold funding if agreed scheme delivery expectations are not met within the agreed funding period.

The CA will be subject to an independent panel review to assess the impact of its Investment Fund expenditure. The Five-Year Gateway Review process is intended to provide evaluation of appropriate appraisal, assurance and Value for Money processes within the CA. The Gateway Review will comprise the production and review of a Local Evaluation Framework, a mid-term evaluation of progress made in the delivery of schemes and an impact review to identify achievements and the impact of funded schemes.

5.8 Stage 6: Scheme Close

Requirements relating to closure reports:

Scheme sponsors are required to produce an End of Project Delivery Report at the end of the scheme (within 3 months of completion), which demonstrates that:

- All activities have been delivered in accordance with the offer letter.
- All funding has been spent appropriately in line with the projected financial profile for the project. In addition, final grant claims are accompanied by an audit report.
- There are no outstanding risks or actions that need to be taken to sign the scheme off by the CA.
- All relevant outputs and key milestones have been achieved.
- The key successes and lessons learnt from the project or programme to inform best methods for future delivery.
- Confirmation of the evaluation activities to be subsequently undertaken, when these will take place and the lead contact who is responsible for ensuring this occurs.

A summary of these reports will be published on the HEYCA website.

5.9 Continuous Investment Programme Management (framework to be developed)

A strategy will be developed as part of the business case process for each scheme under the Investment Programme which considers an effective and comprehensive approach to commercial management regarding:

- cost management/inflation
- risk and contingency
- procurement/commissioning
- contract and change management

5.9.1 Performance management system

HEYCA will be accountable through scheme reporting and communicating the impact of investment to local stakeholders.

A performance management system will be used to collate, record and report on the progress of individual schemes and the investment programme overall. Where schemes do not achieve their milestones for delivery, schemes will need to provide evidence to demonstrate that they will be able to get back on track or seek approval for change via the relevant review and monitoring board. Schemes that consistently fail to meet projected performance (financial and outputs) may have funding withdrawn. Schemes 'at risk' will be reviewed, and the outcomes of this process will be referred to the CA, prior to any withdrawal of funding and decision on expenditure incurred.

There are a number of mechanisms that will ensure effective management of the investment programme to maximise the economic impact within the area.

These include:

- Designation of the CA's s73 officer as having overall responsibility for management and reporting on the performance of the investment programme to the Departmental Accounting Officer within MHCLG.
- Ensuring suitable mechanisms and resources are in place to effectively monitor, evaluate and review the performance of projects in the investment programme in respect of delivery, expenditure and outputs/outcomes.

5.9.2 Risk management

HEYCA's chief officer will be responsible for the identification and management of risk for the overall investment programme. Key risks for the investment programme will be added to the CA's Corporate Risk Register and will be monitored (alongside the performance monitoring procedures) and reported to the Audit and Scrutiny Committees. The Strategic Risk Owners in the business areas have responsibility for the identification and management of programme and project level risks. The Senior Leadership Team (which includes representation from the Statutory Officers) will review programme and corporate risks regularly, advising the Executive accordingly.

The Combined Authority's Risk Management Framework (link to follow) is agreed by the Mayor and Executive, with the Audit Committee monitoring the risks on a quarterly basis. This has been developed to provide visibility of risk at strategic, operational and programme levels to ensure consistency in approach across the Combined Authority in how risks are identified, managed, monitored and escalated.

The Framework is in accordance with HMT's Orange Book, Management of Risk – Principles and Concept and will be embedded in the CA's financial and governance processes. This will be regularly reviewed to ensure this meets the Authority's needs as it grows and develops, and also to align to any updated guidance or identified best practice.

6 Humber arrangements/collaboration

There is an increasing recognition of the economic opportunity being incubated in the Humber and the significance of this at a UK scale. Through their respective devolution deals and together with government, the Hull and East Yorkshire Combined Authority and Greater Lincolnshire Combined County Authority recognise that optimising the Humber's economic potential will require the public and private sector on both banks of the Humber Estuary continuing to work together on pan-Humber economic opportunities alongside the Humber Energy Board and Humber Freeport; with Government acting as a supportive partner.

HEYCA works with its neighbouring Authorities, especially the Greater Lincolnshire Combined County Authority through formal pan-Humber working arrangements.

The HEYCA Investment Plan will align with the corresponding plan for Greater Lincolnshire, so both are speaking as one to the same priorities for the Humber.

The Humber Strategy sets out the distinctive Humber opportunities, including:

- Strategic growth opportunities and estuary-wide priorities of pan-Humber significance to direct investment for the region, underpinned by a collaborative vision.
- Mitigation measures to barriers to growth to catalyse and enable significant and positive change in strategic priority areas.
- Game changing and targeted interventions and actions needed across industry and the public sector to realise regional ambitions, unlock the region's potential and to deliver pan-Humber strategic aims.

The Humber Strategy aligns with the Humber Freeport Strategy and Humber Energy Board Net Zero Strategy, as well as the emerging Local Growth Plans for both the Hull and East Yorkshire Combined Authority and Greater Lincolnshire Combined Authority.

7 Appendices

7.1 The Seven Principles of Public Life – The Nolan Principles

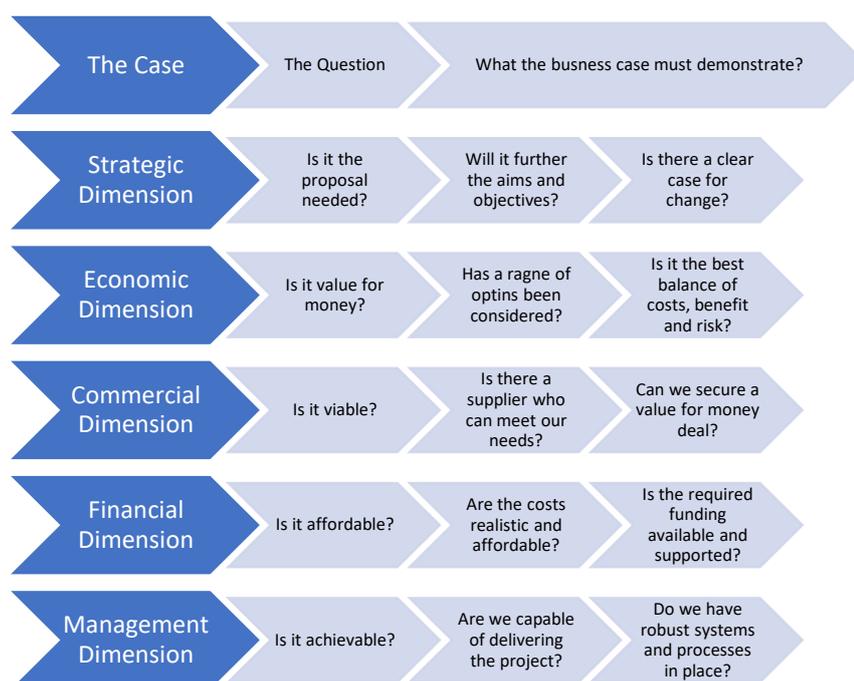
The Seven Principles of Public Life (also known as the Nolan Principles) apply to anyone who works as a public office-holder. This includes all those who are elected or appointed to public office, nationally and locally, and all people appointed to work in the Civil Service, local government, the police, courts and probation services, non-departmental public bodies (NDPBs), and in the health, education, social and care services. All public office-holders are both servants of the public and stewards of public resources. The principles also apply to all those in other sectors delivering public services.

- 1 Selflessness** Holders of public office should act solely in terms of the public interest.
- 2 Integrity** Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.
- 3 Objectivity** Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.
- 4 Accountability** Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.
- 5 Openness** Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.
- 6 Honesty** Holders of public office should be truthful.
- 7 Leadership** Holders of public office should exhibit these principles in their own behaviour and treat others with respect. They should actively promote and robustly support the principles and challenge poor behaviour wherever it occurs.

7.2 HM Treasury Green Book

The [Green Book](#) is the government's guidance on options appraisal and evaluation. It supports proper consideration of the costs, benefits, and trade-offs of alternative options for delivering policy objectives. The Green Book uses the five-case model (also referred to as the five dimensions). This is the government's recommended framework for developing business cases.

The Green Book is supported by supplementary guidance containing more detailed guidance on specific issues and applying the Green Book in particular contexts. It follows the Government's 5 Case (or dimension) model, as described below:

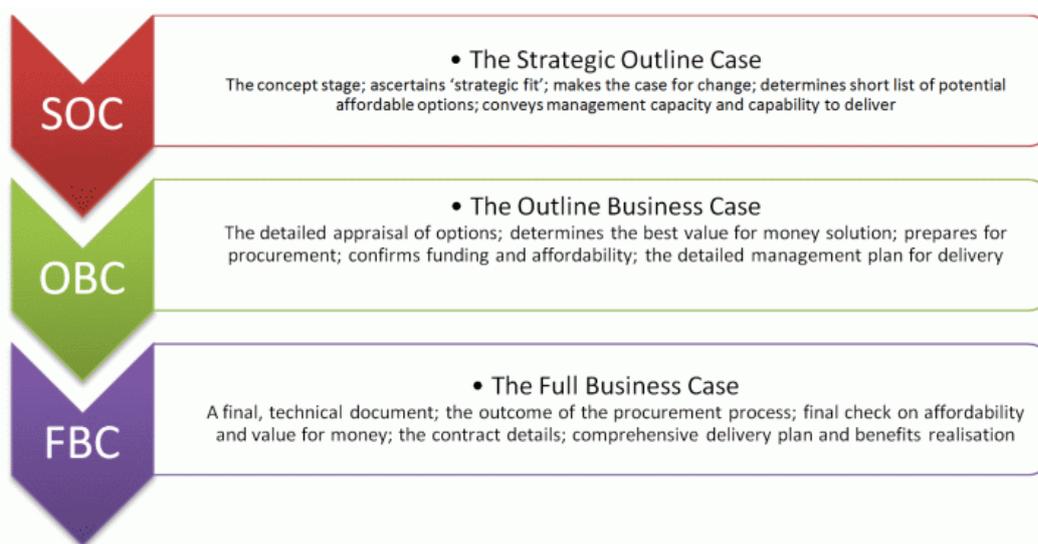


The Five Case Model

Strategic dimension	What is the case for change, including the rationale for intervention? What is the current situation? What is to be done? What outcomes are expected? How do these fit with wider government policies and objectives?
Economic dimension	What is the net value to society (the social value) of the intervention compared to continuing with Business As Usual? What are the risks and their costs, and how are they best managed? Which option reflects the optimal net value to society?
Commercial dimension	Can a realistic and credible commercial deal be struck? Who will manage which risks?
Financial dimension	What is the impact of the proposal on the public sector budget in terms of the total cost of both capital and revenue?
Management dimension	Are there realistic and robust delivery plans? How can the proposal be delivered?

The Business Case

There are usually 3 business cases produced which are:



The SOC, OBC and FBC are three separate documents, each one requiring separate approval and support before moving on to the next stage in the overall project life cycle. And each phase requires the five cases to be addressed, with varying levels of detail. How it fits together:

The Five Cases/ Dimensions	Strategic	Economic	Commercial	Financial	Management
SOC	Key Step 1 Ascertain the strategic fit Key Step 2 Make the case for change	Key Step 3 Develop a long list of options and agree a shortlist	Outline the procurement strategy	Estimate costs (revenue and capital) for shortlisted options	Proposed management arrangements
OBC	Review any significant changes and implications	Key Step 4 Determine value for money (vfm)	Key Step 5 Prepare for the potential deal	Key Step 6 Confirm funding and affordability	Key Step 7 Plan for successful delivery
FBC	Review any minor changes and implications	Confirm value for money	Key Step 8 Procuring the solution Key Step 9 Contracting for the deal	Confirm financial implications and financing	Key Step 10 Ensuring successful delivery (ie comprehensive delivery plan).

More details can be found here: [The Green Book and accompanying guidance - GOV.UK \(www.gov.uk\)](http://www.gov.uk)

7.3 Transport Projects

Transport Projects

Transport Assurance Overview

For the purposes of the Assurance Framework a transport scheme is defined as any scheme that significantly changes the transport network infrastructure or its operation, whatever the objective of the scheme, including funding for public transport. All transport schemes will be delivered in line with the requirements of the English Devolution Accountability Framework and any additional fund specific requirements set out by Government as necessary.

The Assurance Framework ensures a flexible and proportionate approach, enabling transport business cases to retain the benefits of local assurance in terms of speed of decision making.

For transport infrastructure schemes, the Combined Authority will ensure that modelling and appraisal is sufficiently robust and fit for purpose for the scheme under consideration, and that modelling, and appraisal meets the guidance set out in TAG.

In relation to resource funding for public transport, HEYCA will provide annual assurance to DfT that projects continue to provide value for money, in accordance with the Memorandum of Understanding, using DfT templates.

Transport Project Prioritisation

The HEY Strategic Transport Framework Action Plan forms a pipeline of key strategic interventions and investment proposals building on the constituent council's transport plans. The Strategic Transport Framework provides an outline transport strategy for the early stages of the CA and is subject to the Mayor's approval (once in post).

In order to be considered for investment through the HEYCA's devolved funds, and for transport funding opportunities provided for by non-devolved funds, projects must be included within the Action Plan or its successor (once the Mayor is in post).

The Transport Action Plan forms part of the project initiation process for transport schemes.

For transport investments, scheme promoters are required to complete a comprehensive case for funding based on transport specific criteria (which is currently in development). At this stage, schemes that do not meet the eligibility criteria will be sifted out.

The criteria upon which transport proposals will be assessed are:

- A qualitative assessment of how the project achieves regional and/or programme objectives

- Value for money, measured either through an economic appraisal that provides a benefit cost ratio (BCR), or a qualitative statement of value for money when an economic appraisal has yet to be conducted
- Deliverability to timescales/funding window
- Risk profile

The prioritisation of transport projects and schemes adopts a model similar to the Department for Transport Early Assessment Sifting Tool (EAST), with clear priorities, driven by HEYCA's strategic priorities.

The process also involves a rigorous review and challenge of any:

- planning powers and/or consents that may be required for the project to progress
- construction issues involved
- the certainty of third-party funding
- consultation evidence on the public acceptability of the proposal.

A scoring mechanism will be used, whereby options are appraised and assigned a score. This will facilitate onwards ranking and prioritisation of options with unfeasible options removed.

The prioritisation process, identifies preferred local transport investments for funding opportunities and is central to local decision making. The process is designed to be robust, evidence based, and transparent in line with best practice.

This process ensures all transport investment will deliver the strategic objectives of HEYCA, described in the Gameplan, Transport Framework and Investment Plan.

Statutory requirements, conditions of funding and other local transport objectives also form a key component of investment decisions, with the particular objectives and priorities of each funding stream made available by Government taken into account.

Appraisal The appraisal process for the Assurance Framework is consistent with HM Treasury's Green Book and Business Case Appraisal process. For transport schemes this includes supplementary and departmental guidance, such as the Department for Transport's (DfT) TAG appraisal guidance.

HEYCA will ensure Value for Money (VfM) and transparency of transport schemes through Transport Project Business case assessments.

The assessment requirement will be proportionate to the scale of the investment. For novel or contentious investments an additional business case stage comprising of an appraisal summary report may be included.

Decisions will be taken appropriate to the phase of a scheme and greater scrutiny and emphasis on VfM will be undertaken as schemes progress through the business case process.

The transport team within the HEYCA will be responsible for ensuring that modelling and appraisal is sufficiently robust and fit for purpose for the scheme under consideration, and that it meets the guidance set out in [TAG](#). In addition to TAG, other robust or evidence-based assessments or methodologies may be employed to assess the overall business case of a scheme.

TAG will be used for all schemes but for schemes with low value (below £5m) a proportionate approach will be taken, in accordance with the Green Book.

VfM for transport schemes will be independently scrutinised on behalf of the HEYCA as part of the appraisal process. This will be undertaken either by expertise in house with responsibility sitting outside of the business area developing or promoting the business case or via a commission to a specialist transport consultant, fully independent from the scheme promoter and with no involvement in the development of the scheme being appraised.

Alternative planning assumptions may be considered as sensitivity tests, the results from this may be considered as part of the decision-making process to approve a scheme. Appraisal and modelling will be scrutinised to ensure it has been developed in accordance with TAG principles. This will be undertaken through the independent appraisal process and overseen by the HEYCA's transport function.

A value for money statement for each scheme in line with published DfT TAG guidance and DfT advice on assessing VfM will be presented for consideration at the approval stages.

Value for Money Transport Schemes

The Value for Money assessment ensures that there is a robust economic case for the scheme to be supported by HEYCA funding. This follows DfT Transport Appraisal Guidance to generate a consistent presentation of the value for money based on a benefit cost ratio and an assessment of the non-monetised impacts for each scheme. The strategic fit test is driven by the potential contribution of each scheme to the achievement of local objectives, as set out in the Investment Plan and The Local Transport Framework and Action Plan.

There is a general expectation that all schemes must endeavour to achieve the best VfM, where benefits are at least double costs as set out within DfT's guidance, at all stages of the approval process.

Assessment of VfM will be based upon the BCR of the scheme and also consider both qualitative and quantitative evidence of both monetised and non-monetised costs and benefits. It is expected that scheme promoters will reference appropriate and proportionate use of the DfT's guidelines in presenting value for money evidence.

The Combined Authority's S73 Officer (or their delegate) will sign off all Value for Money statements undertaken whether in the form of a business case or in signing off the independent assessment.

Cycling and Walking Schemes

All cycling and walking schemes must meet the latest standards set out in the current cycling and walking scheme guidance. To ensure consistency in the quality and safety of schemes, Active Travel England (ATE) will provide support to ensure cycling and walking schemes are designed and delivered to high standards, including compliance with current guidance. HEYCA will work with ATE and all its constituent authorities to ensure the design quality of all active travel schemes funded through the HEYCA is in line with relevant design guidance, with design reviews undertaken prior to any scheme approval.

Business cases will be published on HEYCA website in line with DfT guidance and published where it is appropriate to do so as part of submission for the decision to approve funding.

Monitoring and Evaluation

All transport schemes exceeding £5m in monetary value will follow Monitoring and Evaluation Guidance for Local Authority Major Schemes.

7.4 Adult Skills Fund

All investment decisions made in relation to this funding are undertaken having given full consideration to:

- Statutory duties relating to adult education and training which have been transferred to the Combined Authority under Statutory Instruments.
- Statutory entitlements to education and training of adults living in devolved areas, and policy entitlements where relevant.
- Statutory and non-statutory guidance.

HEYCA's Work and Skills Framework sets out the strategic vision and priorities for all skills funding and programmes. There is an implementation plan that provides clear direction of how devolved funds should be commissioned. The Work and Skills Framework supports HEYCA's Corporate and Investment Plans as well as key priorities in the region's Local Skills and Improvement Plan (LSIPs).

Annual Assurance Report

HEYCA will produce an Annual Assurance Report on the delivery of its Adult Skills Fund functions in line with wider monitoring and evaluation requirements and the English Devolution Accountability Framework. This will be reported to the Department for Education (DfE) by 31 March each year.

HEYCA will also submit its Annual Assurance Statement to the DfE in July each year following consideration by the HEYCA Executive and Skills Board.

Funding Requirements

HEYCA will publish its Funding & Performance Management Rules specific for each academic year. This document will set out the conditions of Adult Skills Fund funding and apply to all providers who receive Adult Skills Fund funding from HEYCA. HEYCA will publish this in May each year.

Stakeholder Engagement

HEYCA regularly consults with its key stakeholders, including providers and learners, in order to best inform policy direction and decision making.

Local Skills Improvement Plan Group (LSIP)

Alongside the HEYCA's Strategic Skills Framework, the priorities of the LSIP in regard of the current and future skills needs of the region will be considered appropriately, in regard of how local provision can help people develop the skills they need to get good jobs and increase their prospects. HEYCA will work with the designated Employer Representative Bodies (ERB's) in the HEYCA area, utilising and sharing local labour market intelligence and analysis to inform the commissioning approach for the Adult Skills Fund.

HEYCA will also ensure that the Adult Skills Fund responds to the employer feedback contained within the LSIPs for our region.

HEYCA will use well established mechanisms such as the HEY Skills Network, which includes representative from providers, schools, employers and other stakeholders as an engagement tool, building on the good practise model used in developing the Skills Framework and initial Adult Skills Fund consultation.

Monitoring and Evaluation

The Adult Skills Fund reporting will operate in line with the English Devolution Accountability Framework, it will be included within the HEYCA monitoring and evaluation submissions as required under the devolution agreement.

HEYCA is currently working on the readiness conditions which will be submitted to the Department for Education by May 2025.

HEYCA's Monitoring and Evaluation Framework will be used for the Adult Skills Fund activity including the use of logic models. It will meet the national requirements together with locally determined requirements (as established through the skills framework and stakeholder engagement) so that it effectively informs and shapes the criteria for future funding awards. This formal evaluation is undertaken on an annual basis.

Assurance

HEYCA is responsible for assuring the use of funds by all training providers and colleges delivering the Adult skills Fund. Wider assurance includes internal controls such as performance management and monitoring, risk management and quality assurance reviews as well as financial management to monitor the financial viability of those who are in receipt of funding.

7.5 Theory of Change

Context

What are the opportunities and/or challenges the scheme seeks to address? What is the policy context in which the scheme sits? What economic, environmental, or social trends provide important context?

Objectives	Inputs	Activities	Outputs	Outcomes
<i>What are the objectives?</i> <ul style="list-style-type: none"> • 	<i>What resources are needed to deliver the scheme?</i> <ul style="list-style-type: none"> • 	Detailed Design	<i>What direct outputs can be used to measure performance?</i>	<i>What wider outcomes will the scheme achieve if successful?</i>
		Procurement	<i>What direct outputs can be used to measure performance?</i>	<i>What wider outcomes will the scheme achieve if successful?</i>
		Delivery	<i>What direct outputs can be used to measure performance?</i>	<i>What wider outcomes will the scheme achieve if successful?</i>
		<i>What are the schemes main activities?</i>	<i>What direct outputs can be used to measure performance?</i>	<i>What wider outcomes will the scheme achieve if successful?</i>

Overall Impacts

What overall impact will the scheme achieve?

7.6 UK Subsidy Control

A subsidy is where a public authority provides support to an enterprise that gives them an economic advantage, meaning equivalent support could not have been obtained on commercial terms. This could include, for example, a cash payment, a loan with interest below the market rate or the free use of equipment or office space. Subsidies should be given in the public interest, to address a market failure or equity concern. For example, a subsidy could incentivise businesses to do research and development that increases economic productivity and wider prosperity, to increase the use of low-carbon technology, or to extend access to cultural or educational amenities.

To minimise these risks and increase the likelihood that subsidies achieve positive outcomes, the UK subsidy control regime regulates subsidies given in the UK to prevent any excessively distortive or harmful effects. The regime is designed to be flexible, to allow public authorities to support business growth and innovation, promoting competition and investment in the UK. Under the regime, public authorities can deliver subsidies that are tailored to local needs to deliver their strategic priorities.

In order to ensure that all financial assistance given by HEYCA is compliant with the Subsidy Control Act the following seven step process will be undertaken

Step 1 – Determine whether the support is a subsidy

1. Is the financial assistance given, directly or indirectly, from public resources by a public authority?

The combined authority will clearly be giving financial assistance from public resource is and is a public authority within the meaning of the act.

2. Does the financial assistance confer an economic advantage on one or more enterprises?

The recipient must be an 'enterprise': any entity engaged in an economic activity, which means offering goods and services on a market. The financial assistance must confer an economic advantage, meaning that it is provided on favourable terms. Financial assistance will not confer an economic advantage if it could reasonably be considered to have been obtained on the same terms on the market.

3. Is the financial assistance specific? That is, has the economic advantage been provided to one (or more than one) enterprise, but not to others?

This covers financial assistance that is provided to specific beneficiaries determined on a discretionary basis by the government, as well as assistance that benefits (directly or indirectly) only enterprises in a particular sector, industry or area, or with certain characteristics.

4. Will the financial assistance have, or is it capable of having, an effect on competition or investment within the UK, or trade or investment between the UK and another country or territory?

To constitute a subsidy, the assistance must have a genuine effect that is more than incidental or hypothetical on competition or investment in the UK, or on international trade or investment.

[Step 2 – Check whether the subsidy or scheme needs to be assessed against the subsidy control requirements](#)

Streamlined Route

Streamlined routes are pre-assessed by the UK government as compliant with the subsidy control principles. There are three streamlined routes available to public authorities supporting the following UK government priorities:

- research, development and innovation
- net zero
- local growth

Minimal Financial Assistance (MFA)

Enterprises can receive low value subsidies (up to £315,000) over 3 financial years. MFA subsidies are subject to cumulation rules, under which MFA subsidies cumulate with each other and with other subsidies that fall within the category of 'Minimal or (SPEI) financial assistance' and include any similar subsidies given under EU state aid de-minimis regulations and subsidies given as small amounts of financial assistance under the UK–EU Trade and Cooperation Agreement after 31 December 2020.

Services of public economic interest assistance

A similar exemption to MFA is available for subsidies for services of public economic interest, known as 'services of public economic interest assistance' (SPEIA). These subsidies can be given up to the higher threshold of £725,000 without having to comply with the majority of the subsidy control requirements.

[Step 3 – Ensure the subsidy or scheme complies with the prohibitions and conditions](#)

There are several categories of Subsidy that are prohibited.

Unlimited guarantees - Any subsidy that would guarantee an unlimited amount of liabilities or debts, or that would guarantee a finite amount of liabilities or debts but over an indefinite period, is prohibited.

Export performance - A subsidy that is contingent upon export performance relating to goods or services is prohibited

Use of domestic goods or services - Subsidies that are contingent on the use of domestically produced goods or services, often known as 'local content' subsidies, are prohibited

The following categories of subsidy may be given, provided they are designed to meet certain conditions.

Relocation of activities - A subsidy that contains a condition requiring an enterprise to relocate all or part of its economic activities from one part of the UK to another, where the relocation would not occur without the subsidy is prohibited. However, this prohibition does not apply if a public authority can demonstrate that the effect of the subsidy will be to reduce social or economic disadvantage, in the local area and across the UK, and the subsidy is designed to bring about a change in the size, scope or nature of the existing economic activities of the enterprise.

Services of public economic interest (SPEI) - These are essential services (such as postal services) provided to the public that, without subsidy support, would not be supplied in an appropriate way or may not be supplied at all by the market. A public authority intending to provide a subsidy to an enterprise for the provision of SPEI must comply with certain substantive and procedural requirements to provide the SPEI subsidy. These include applying the subsidy control principles and satisfying itself that the subsidy is: limited to what is necessary to deliver the service; transparent; regularly reviewed; and that the duty to include information in the subsidy database is satisfied.

Rescue and restructure - The Act also prohibits rescuing or restructuring subsidies to ailing or insolvent enterprises unless certain requirements are met.

Step 4 – Design the subsidy to ensure compliance with the subsidy control principles

The 7 principles that must be considered when giving a subsidy or making a scheme are as follows.

- | | |
|---|--|
| A. Common interest | subsidies should pursue a specific policy objective in order to remedy an identified market failure or address an equity rationale (such as local or regional disadvantage, social difficulties or distributional concerns). |
| B. Proportionate and necessary | subsidies should be proportionate to their specific policy objective and limited to what is necessary to achieve it. |
| C. Designed to change economic behaviour of beneficiary | subsidies should be designed to bring about a change of economic behaviour of the beneficiary. That change, in relation to a subsidy, should be conducive to achieving its specific policy objective, and something that would not happen without the subsidy. |
| D. Costs that would be funded anyway | subsidies should not normally compensate for the costs the beneficiary would have funded in the absence of any subsidy. |
| E. Least distortive means of achieving policy objective | subsidies should be an appropriate policy instrument for achieving their specific policy objective and that objective cannot be achieved through other, less distortive, means. |

- F. Competition and investment within the UK subsidies should be designed to achieve their specific policy objective while minimising any negative effects on competition and investment within the UK.
- G. Beneficial effects should outweigh any negative effects subsidies' beneficial effects (in terms of achieving their specific policy objective) should outweigh any negative effects, including in particular negative effects on competition and investment within the UK, and on international trade and investment.

[Step 5 – Check the criteria for subsidies or schemes of interest or particular interest, and consider referral to the Subsidy Advice Unit](#)

Subsidies of particular interest (SoPI) are subsidies that meet any of the following criteria:

- together with other related subsidies given within the previous 3 financial years
- subsidies granted in sensitive sectors if they are over £5 million, or if they are over £1 million and would cumulate above £5 million together with other related subsidies given within the previous 3 financial years
- restructuring subsidies
- subsidies that are explicitly conditional on relocation and meet the conditions subsidies granted outside of sensitive sectors if they are over £10 million, or if they are over £1 million and would cumulate above £10 million set out for an exemption from the general prohibition in section 18 of the Act, that have a value exceeding £1 million

It is mandatory to refer any such proposed subsidies to the Subsidy Advice Unit (SAU) for independent evaluation before the subsidy is given.

Subsidies of interest (SoI) are subsidies that meet any of the following criteria:

- subsidies that do not meet the criteria for SoPI and that are between £5m and £10m, or that cumulate to such a value together with other subsidies given within the previous three financial years
- rescue subsidies
- tax subsidies
- subsidies that are explicitly conditional on relocation and meet the conditions set out for an exemption from the general prohibition in section 18 of the Act, and that have a value of £1m or below

HEYCA may choose to refer their assessment of the subsidy or scheme to the SAU for independent evaluation before the subsidy is given.

[Step 6 – Publish the subsidy or scheme on the subsidy database](#)

The Act imposes transparency obligations on public authorities awarding subsidies to promote accountability and enable the public to see how money is spent. HEYCA will ensure the details of subsidies awarded, or subsidy schemes made, are uploaded to the subsidy database. This may include information of a commercially sensitive nature to the beneficiaries of subsidies or schemes.

[Step 7 – Understand the risk of challenge](#)

The Competition Appeal Tribunal (the Tribunal) has jurisdiction to review subsidy decisions made by HEYCA.

7.7 Scrutiny Arrangements

HEYCA's scrutiny arrangements are underpinned by the principles set out in the MHCLG Scrutiny Protocol and supported by evidence of current practice and forward commitments, as detailed in the table below.

Principle	Scrutiny Protocol & Guidance Baseline	HEYCA Current Position (evidence and aspiration)
1. Pool of Members	Treat appointed and substitute members as a single pool; equal access to induction, training, and briefings. (MHCLG Scrutiny Protocol; April 2024 Statutory Guidance)	12 members (6 Hull; 6 East Riding) with named substitutes; published role/powers; political balance shown. All appointed and substitute members treated as a single scrutiny pool and afforded induction, ongoing briefings and participation opportunities.
2. Training & Development	Provide and fund induction plus training (Protocol; Statutory Guidance)	(i) Initial induction. (ii) Specialist scrutiny training delivered in person. (iii) Scrutiny Away Day with portfolio-specific briefings and Q/A sessions. (iv) Dedicated scrutiny workshop delivered by Statutory Scrutiny Officer to finalise Member-led work programme. (v) Chair induction provided by Statutory Scrutiny Officer. (vi) Ongoing portfolio/topic briefings for all members.
3. Politically Balanced Membership	Membership reflects prevailing political balance 'so far as reasonably practicable'	Party balance reflected and published on HEYCA website; annual proportionality review conducted post-AGM.
4. Geographically Balanced Membership	Ensure whole-area perspective	Six members from each constituent council; equal representation ensures strategic coverage.
5. Appointment of Chair	Chair must be 'appropriate person' not of the Mayor's party; acts apolitically	Chair is not a member of the same political party as the Mayor. Transparent process emphasising neutrality and skills providing critical friend approach.
6. Sustained Appointments (Skills & Interest)	Appointments based on skills/interest; aim for continuity	Members appointed by constituent councils; continuity encouraged where practicable.

7. Inviting Technical Expertise	Invite external experts to meetings and briefings	Subject matter experts invited for agenda items or contribute to reports; published reports reflect evidence and data shaping recommendations. Further strengthening planned.
8. Holding the Mayor to Account and Public Accountability	Mayor and portfolio leads (decision-makers) must attend scrutiny when requested; scrutiny should be conducted transparently and be open to the public.	Mayor's Question Time is held at Overview and Scrutiny Committee meetings, during which Members have asked a series of constructively challenging questions. These sessions, as part of public scrutiny meetings, are webcast and available online. Scrutiny recommendations are routinely considered and reflected in final Executive reports, ensuring scrutiny adds value to decision-making. A standing invite is in place for the Chair of the Overview and Scrutiny Committee to attend the Executive Board, maintaining a high-level link and reinforcing the "critical friend" relationship. All Overview and Scrutiny Committee meetings are open to the public unless the business is confidential or exempt. Members of the public may attend meetings, inspect agendas and public reports in advance, and access papers for all public committees through the HEYCA website.
9. Pre-Policy / Pre-Decision Scrutiny	Avoid last-minute decision-making; use Forward Plan	Executive Forward Plan and Scrutiny Work Programme used for pre-decision scrutiny. All key decisions to appear on Forward Plan ≥28 days before decision; urgent exceptions, if needed, agreed with Chair. Decision reports embed scrutiny comments.
10. Call-in Provision	Retain strong call-in powers, prioritising pre-decision challenge	Call-in provision in <u>Constitution</u> Part 4.6; with pre-decision scrutiny with collaborative critical friend approach remains the preferred route.
11. Regular Performance Monitoring	Monitor key strategic outcomes; recommend improvements promptly	Gameplan (HEYCA's strategic framework) and other key policies monitored via work programme; reviewed twice with appropriate recommendations made based on the available information.
12. Robust Work Programming	Member-led, outcome-driven programme; reviewed regularly	Work programme shaped by Members at Away Day as facilitated by the Statutory Scrutiny officer; regularly reviewed by Chair and Committee; published online and reviewed against the Executive Forward Plan.

13. Focused Deep Dive	Deep dives on cross-cutting or important/urgent issues	Internal deep dives undertaken to provide optimum efficiency and added value.
14. Strong Stakeholder Relationships	Invite stakeholders; complement local scrutiny	Stakeholder involvement guided by Constitution; deep dive sessions include external experts from constituent councils. Reports include input from technical experts or stakeholders to provide high value evidence-based options and details.
15. Regular Self-Evaluation	Annual self-review; embed learning	Work programme reviewed regularly by the Committee to ensure high value and timely consideration.
16. Access to Data, Research & Analysis	Ensure full access to information, including confidential/commercial	<p>Constitution Part 4.2 and Standing Orders provide access; pre-meeting briefings and reports issued.</p> <p>In relation to Scrutiny, HEYCA constitution clearly state:</p> <p>Any document must be provided as soon as reasonably practicable and, in any case, no later than 10 clear days after the Monitoring Officer receives the request.</p> <p>If the Monitoring Officer thinks fit, copies of any other documents supplied to Combined Authority Members in connection with the item., unless that information is relevant to:</p> <ul style="list-style-type: none"> • an action or decision that the member is reviewing or scrutinising, or • any review contained in any programme of work of the committee or sub-committee.
17. Strong Relationship with Audit & Governance	Coordinate O&S and Audit; share risk and assurance findings	Audit & Ethical Arrangements in place; risk register workshop has taken place, risk register finalisation underway; joint briefing of O&S and Audit Chairs/Vice-Chairs planned.
18. Remuneration	The MHCLG Scrutiny Protocol (November 2023) and the Statutory Guidance (April 2024) require that Overview and Scrutiny Committees are appropriately resourced. In relation to allowances, these should be recommended by an Independent Remuneration Panel (IRP). The 2024	HEYCA has established an Independent Remuneration Panel (IRP) in accordance with the 2024 Combined Authorities Regulations. The IRP reviews the responsibilities and workload associated with scrutiny roles and makes transparent recommendations on allowances for the Overview and Scrutiny Committee, including an enhanced allowance for the Chair and pro-rata provision for any substitute Members. These recommendations inform HEYCA's Allowances Scheme for approval

	Combined Authorities Regulations confirm that scrutiny and audit committee members may receive allowances, determined transparently through an IRP.	by the Executive Board. This ensures scrutiny is properly and visibly resourced
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7.8 Glossary of Terms

ASF	Adult Skills Fund
BCR	Benefit/ Cost Ratio
BHF	Brownfield Housing Fund
CA	Combined Authority
FBC	Full Business case
GBF	Getting Building Fund
Green Book	The government's guidance on options appraisal and evaluation. More details can be found here: The Green Book and accompanying guidance - GOV.UK (www.gov.uk)
HEYCA	Hull and East Yorkshire Combined Authority
LGF	Local Growth Fund
MCA	Mayoral Combined Authority
MHCLG	Ministry of Housing, Communities & Local Government (It was previously called the Department for Levelling Up, Housing and Communities)
OBC	Outline Business Case
SAU	Subsidy Advice Unit
SOC	Strategic Outline Case
VfM	Value for Money



Report to the HEYCA Executive Board

30 January 2026

Adult Skills Fund: Delegation of Decision Making

Report of the Programme Director – Employability, Health and Communities

Report Status:

This item is not exempt

Therefore exempt reasons are not applicable

This is a non-key decision.

Forward Plan Reference 02/26

1. Purpose of the Report and Summary

2.

- 2.1 This report seeks the approval of the Combined Authority to include delegations in relation to the Adult Skills Fund and governance arrangements.

3. Recommendations

- 3.1 The Combined Authority delegates the functions set out in appendix A of the report to the Chief Executive.
- 3.2 The Combined Authority delegates authority to the Monitoring Officer to make amendments to the draft Constitution to reflect these delegations.

4. Reasons for Recommendations

- 4.1 To ensure that the governance framework for the Combined Authority in particular in relation to the Adults Skills Fund remains in accordance with all legal requirements.
- 4.2 To ensure that the necessary decision-making powers are in place to allow the processes, systems and functioning of the

ASF programme management to operate in a timely and efficient way.

5. **Background**

5.1 At the Combined Authority's Executive Board meeting held on 28th May 2025, it considered and approved the Adult Skills Fund (ASF) Readiness submission to the Department for Education (DfE).

This submission set out the Combined Authority's strategic approach to the management and delivery of ASF for the HEY region. This included details of governance arrangements and decision-making processes.

5.2 This report seeks the approval of the Combined Authority to make certain delegations to the Chief Executive including the approval or amendment of certain operational documents, including the Funding and Performance Management Rules and Commissioning and Procurement Plan as well as giving a specific delegation to the Chief Executive to agree grant agreements in relation to Adult Skills Fund work.

5.3 A full list of the proposed delegations can be found at appendix A.

6. **Issues for Consideration**

6.1 The Board is asked to consider the list of delegations found at appendix A.

6.2 The delegations listed at appendix A include standard actions required as part of normal ASF programme management and delivery and also some scenario-based actions allowing flexibility and timely responses to be made in response to external factors.

7. **Equalities Impact Information**

7.1 There are no equalities impact implications arising from the report.

8. **Options and Risk Assessment**

8.1 Option 1: Do not put delegations in place.

8.2 Option 2: Put in place delegations as set out in this paper.
Preferred option.

8.3 Option 3: A variation of the delegations set out in appendix A.

9. **Legal Implications and Statutory Officer Comments**

9.1 Amendments to the HEYCA Constitution may be required.

9.2 All delegated decision making will be documented and the report, shared with Portfolio Holder for Skills, the Overview and Scrutiny Committee and HEYCA Executive Board.

9.3 Any decisions not taken by the HEYCA Executive Board will be reported via Decision Record.

10. **Financial Implications and Statutory Officer comments**

10.1 None.

Contact Officers:

[Sharon Isaacs, Adult Skills Fund Manager, HEYCA](#)

Officer Interests:

None.

Appendices: Appendix A – Adult Skills Fund (ASF) List of Delegations

Background Documents: None.

APPENDIX A – Adult Skills Fund (ASF) List of Delegations

Decision	Decision Maker	Rationale
<p>To make interim changes to the HEYCA ASF Strategic Skills Plan (SSP) in response to new emerging HEYCA strategies, economic needs, crisis or responsiveness.</p>	<p>Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>HEYCA strategies are under development, and all must reflect the collective aims and objectives of the Combined Authority.</p> <p>The SSP is the key document that informs ASF delivery and must therefore accurately reflect the current economic landscape to capitalise on opportunities or mitigate against risks and shocks.</p> <p>Delegations are required for timely decision making to ensure continuity and responsiveness of delivery.</p>
<p>To approve the Funding and Performance Management rules (annually).</p>	<p>Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>The funding and Performance Management Rules form part of the suite of contractual documents and are operational in function.</p> <p>Technical expertise and recommendations will be provided to the Chief Executive by the ASF Team and specialist subject matter experts where required.</p>
<p>To make minor technical or process driven amendments to the Funding and Performance Management Rules in line with strategic direction set</p>	<p>Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>Any amendments must remain in accordance with the HEYCA ASF SSP as approved by the Combined Authority in May 2025.</p>

<p>by the Combined Authority.</p>		<p>Technical expertise and recommendations will be provided to the Chief Executive by the ASF Team and specialist subject matter experts where required.</p> <p>Delegations are required for timely decision making to ensure continuity and responsiveness of delivery.</p>
<p>To approve the ASF Commissioning and Procurement Plan, inclusive of grant and procurement value methodology (annually)</p>	<p>Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>In accordance with the methodology outlined in the HEYCA ASF Strategic Plan, Readiness submission and as approved by the Combined Authority in May 2025.</p> <p>Technical expertise and recommendations will be provided to the Chief Executive by the ASF Team and specialist subject matter experts where required.</p>
<p>To approve mid-year amendments to the ASF Commissioning and Procurement plan.</p>	<p>Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>Technical expertise and recommendations will be provided to the Chief Executive by the ASF Team and specialist subject matter experts where required.</p>
<p>To agree Grant Agreements</p>	<p>Over £500k – The Combined Authority.</p> <p>Under £500k – Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>Grant allocations will be determined in accordance with the methodology outlined in the HEYCA ASF SSP and as approved by the Combined Authority in May 2025.</p>

		<p>In accordance with the Funding and Performance Management Rules, Performance Management Framework and Grant Agreement terms and conditions.</p> <p>Technical expertise and recommendations will be provided to the Chief Executive by the ASF Team and specialist subject matter experts where required.</p>
<p>To agree Contracts for Services awarded through procurement.</p>	<p>Over £500k – The Combined Authority.</p> <p>Under £500k – Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>In accordance with the HEYCA ASF SSP, Funding and Performance Management rules, Performance management framework and Contract for Services terms and conditions.</p> <p>Technical expertise and recommendations will be provided to the Chief Executive by the ASF Team and specialist subject matter experts where required.</p>
<p>To agree Delivery Plans for providers (annually).</p>	<p>Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>Provider delivery plans must align to the priorities set out in the HEYCA ASF SSP.</p> <p>In accordance with criteria set out in the Performance Management Framework.</p> <p>In line with the process detailed in Grant Agreements and Contracts for Services.</p>

		<p>Technical expertise and recommendations will be provided to the Chief Executive by specialist subject matter experts Officers where necessary supported by the ASF team.</p>
<p>To agree variations to Delivery Plans with providers.</p>	<p>Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>Must align to the priorities set out in the HEYCA ASF SSP.</p> <p>Variations will be approved:</p> <ul style="list-style-type: none"> • Based on performance • In accordance with criteria set out in the Performance Management Framework. • In line with the process detailed in Grant Agreements and Contracts for Services. <p>Technical expertise and recommendations will be provided to the Chief Executive by specialist subject matter experts Officers where necessary supported by the ASF team.</p>
<p>To approve sub-contracting where not already approved under current DfE regulations.</p>	<p>Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.</p>	<p>In accordance with the Funding and Performance Management Rules which outline strict requirements regarding sub-contracting practice.</p> <p>Technical expertise and recommendations will be provided to the Chief Executive by specialist subject matter experts</p>

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		Officers where necessary supported by the ASF team.
To approve rebasing of funding, contract reduction and contract termination as a result of underperformance.	Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.	<p>In accordance with criteria set out in the Performance Management Framework.</p> <p>In line with the process detailed in Grant Agreements and Contracts for Services.</p> <p>Technical expertise and recommendations will be provided to the Chief Executive by specialist subject matter experts Officers where necessary supported by the ASF team.</p>
To approve funding clawback.	Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.	<p>In accordance with criteria set out in the Performance Management Framework.</p> <p>In line with the process detailed in Grant Agreements and Contracts for Services.</p> <p>Technical expertise and recommendations will be provided to the Chief Executive by specialist subject matter experts Officers where necessary supported by the ASF team.</p>
To approve growth funding.	Delegated authority from the Combined Authority to the Chief Executive, ASF Team and HEYCA Portfolio Holder for Skills.	<p>In accordance with criteria set out in the Performance Management Framework.</p> <p>In line with the process detailed in Grant</p>

		<p>Agreements and Contracts for Services.</p> <p>Technical expertise and recommendations will be provided to the Chief Executive by specialist subject matter experts Officers where necessary supported by the ASF team.</p>
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Report to the Hull and East Yorkshire Combined Authority
Executive Board

30 January 2026

HEYCA Transport and Public Transport Transition

Report of the Chief Executive Officer and Head of Paid Services

Report Status:

Public Item

This is a non-key decision.

1. Purpose of the Report and Summary

1.1 To seek Board approval for the approach, principles and timetable for transferring agreed transport and public transport functions from Hull City Council and East Riding of Yorkshire Council to the Hull and East Riding Mayoral Combined Authority during 2026 to 27, in line with the devolution settlement. This is an in-principal decision ahead of the development of a detailed transition plan and formal Inter-Authority Agreement.

1.2 Key points for the Board

- This transition is taking place alongside a significant change in Government policy on local transport funding and accountability, which was formally notified to Hull and East Yorkshire Combined Authority on Friday 19 December. From 2026/27, local transport funding will be consolidated and made conditional on the Combined Authority producing and maintaining a single Local Transport Delivery Plan. This materially increases the Combined Authority's corporate responsibility, financial exposure and accountability for transport delivery.
- The devolution settlement has already provided that HEYCA will assume full responsibility for transport functions from 30 March 2026. From this date, accountability for transport funding, assurance and delivery outcomes will rest with HEYCA, ahead of full operational transfer.

- The proposed operating model transfers strategic leadership, decision-making, and accountability to HEYCA, while enabling continued local delivery through the constituent councils where this supports efficiency and service quality.
- A staged transition is already underway. Transport powers are currently held concurrently, with the intention that HEYCA will continue to delegate functions to the local authorities until 31 March 2027. The majority of functions are expected to transfer by October 2026.
- Service continuity for passengers and operators is a fundamental requirement throughout the transition period, with no disruption to day-to-day operations.

2. **Summary of proposals/ what did the devolution deal set out**

- 2.1 HEYCA will act as the strategic transport authority and Local Transport Authority for Hull and East Yorkshire. This includes setting the overall transport strategy and Local Transport Plan, leading bus policy including network planning, fares and ticketing, leading Enhanced Bus Partnerships, administering concessionary travel, leading investment programmes for bus priority, interchanges, and coordinating with rail partners.
- 2.2 Hull City Council and East Riding of Yorkshire Council will continue as highway and traffic authorities, retain responsibility for local roads and assets, deliver on street bus priority and active travel schemes, and manage parking, taxi licensing and public rights of way.
- 2.3 As HEYCA establishes itself as the Transport Authority, it will maintain close collaboration with the constituent authorities during the phased transition in 2026-27, with the majority of functions transferring by October 2026 to support the timely adoption of the first full Strategic Local Transport Plan.
- 2.4 The proposed operating model places strategic leadership and accountability with HEYCA, while enabling local delivery to continue through the constituent councils where this provides operational resilience, continuity and value for money.

3. **Strategic Context**

- 3.1 The transition of public transport functions is a central element of the devolution settlement and a core enabler of the mayor's ambition for a more reliable, affordable and integrated transport system across Hull and East Yorkshire.

- 3.2 The approach establishes HEYCA as the strategic transport authority, responsible for setting direction, priorities and funding, while maintaining strong local accountability for highways and place-based delivery.

4. **Transition Approach and Governance**

- 4.1 As the Local Transport Authority, Hull and East Yorkshire Combined Authority will remain accountable to the Department for Transport for funding assurance, value for money, compliance and delivery outcomes, regardless of whether elements of delivery continue to be commissioned from constituent councils.
- 4.2 Public transport functions are currently operating under concurrent arrangements. A detailed transition glidepath will be developed in early 2026 to confirm when specific functions move from concurrent arrangements to MCA led responsibility. Where appropriate, HEYCA may continue to commission services from the councils following transition.
- 4.3 Oversight of the transition will be provided through the already established joint MCA Transport Group. This includes officer members from each constituent councils. This will be supported by formal gateway reviews through senior leadership teams and the relevant portfolio lead. Ultimate accountability for transport functions, funding assurance and delivery outcomes will rest with the HEYCA Board throughout the transition period.

Core Principles guiding the transition

- 4.4
- HEYCA is responsible for all transport powers from 31 March 26.
 - The intention is that all agreed functions will transfer by 31 March 2027, with a preferred target of October 2026.
 - Passenger experience and operational integrity must be maintained.
 - Transfers will only proceed where readiness and capability are assured.
 - HEYCA may under agreement commission services from councils during and after transition.
 - Clear and consistent communication will be maintained.

5. **Operating Model and Capacity**

- 5.1 The move to consolidated, outcomes-based funding increases the importance of Combined Authority-led programme management,

- financial control, data and evaluation capability, in addition to policy leadership.
- 5.2 HEYCA has established a dedicated transport function, led on an interim basis and supported by specialist roles.
- 5.3 The MCA Board has approved the recruitment of a permanent Transport and Connectivity Director, alongside additional roles to strengthen programme management, data and active travel capability. Staff transfers from the constituent councils are expected to be limited and targeted, subject to assurance of readiness and operational need.
- 5.4 The Hull and East Riding MCA Transport Group is an advisory group to the Combined Authority Board and the Mayor. It provides strategic policy advice, coordination, and delivery oversight on transport-related matters, including bus services, the Key Route Network (KRN), rail, and active travel, supporting the development and implementation of the Combined Authority's transport strategy and related statutory responsibilities. The Governance Framework for this group is contained in Appendix C.

6. **Financial and Legal Considerations**

- 6.1 Funding for bus and highways programmes has been passported to ensure continuity into 2026 to 27 and to support a stable operating environment during transition. While this report does not seek new financial approvals, the transport functions in scope represent significant ongoing expenditure and will require sustained officer capacity.
- 6.2 The transfer of transport functions gives rise to a number of legal considerations, including the need to put in place appropriate service level agreements, manage existing procurement and contractual dependencies, and establish a formal Inter-Authority Agreement. These matters will be developed and overseen through the agreed transition governance arrangements and will be formally set out in an Inter-Authority Agreement, covering funding, performance and management responsibilities during the transition period. The Inter-Authority Agreement will be the primary mechanism governing concurrent powers, commissioning arrangements, funding flows, performance management and accountability during 2026/27, ahead of full transfer to HEYCA.
- 6.3 This Inter-Authority Agreement will set out the framework under which specified local transport powers and functions will be exercised concurrently by the Constituent Authorities and the Hull and East Yorkshire Combined Authority during the 2026/27 financial year, ahead of full transfer to HEYCA.

6.4 The Agreement provides:

- Legal clarity on responsibilities during concurrent operation
- Certainty on funding flows and financial risk
- Agreed performance, governance, and decision-making arrangements
- A managed transition to a single strategic transport authority

7. **Risks and Mitigations**

7.1 Funding and assurance risk: failure to agree funding, produce or maintain a compliant Local Transport Delivery Plan, or to demonstrate value for money and delivery against agreed programmes, could result in Department for Transport intervention, withholding of future funding or recovery of funding already allocated.

7.2 Key risks include limited transport capacity across HEYCA and partners, the complexity of bus service and funding arrangements, and the need to maintain service continuity and customer confidence.

7.3 These risks will be mitigated through phased implementation, clear governance, early recruitment to key roles and continued local delivery during transition. These risks will be mitigated through phased implementation, strengthened Combined Authority capacity, clear governance and the establishment of the Inter-Authority Agreement.

7.4 Assurance around ensuring there is no impact on the travelling public or transport service provision will be paramount

8. **Recommendations**

8.1 The Board is asked to:

8.2 Note that the transfer of public transport functions is taking place alongside a significant change in national funding and accountability arrangements, which increases the Combined Authority's corporate responsibility, financial exposure, and accountability for transport delivery.

8.3 Approve the proposed approach to the transfer of public transport functions to HEYCA by March 2027, including:

- the principles guiding the transition; and
- the preferred timetable, with the majority of functions transferring by October 2026.

8.4 Agree that a detailed transition plan and glidepath for the transfer of powers will be developed and brought back to the Board for approval,

with overall responsibility for preparing this plan resting with the Transport Lead.

- 8.5 Approve in principle the development of an Inter-Authority Agreement (IAA) to set out the governance, decision-making, funding, performance, and accountability arrangements during the transition period and, where appropriate, beyond it. Responsibility for developing the IAA will sit with the Chief Executive, under the guidance of the Section 73 Officer and the Monitoring Officer.

9. **Options Considered**

- 9.1 Option 1: Immediate Full Transfer of All Transport Functions from April 2026 (Not recommended)
This option would have involved the full and immediate transfer of all agreed transport and public transport functions, funding and delivery responsibilities to the Combined Authority from April 2026.

- 9.2 This approach was discounted as it would introduce significant delivery and operational risk during a period of major change in national funding and assurance requirements, require rapid organisational scaling ahead of confirmed capacity and systems being in place, and increase the risk of disruption to passengers, operators and delivery programmes.

- 9.3 Option 2: Retention of Transport Functions by Constituent Authorities for a Longer Period (Not recommended)
This option would have delayed the transfer of strategic transport functions, with constituent authorities retaining responsibility beyond 2026/27.

- 9.4 This approach was discounted as it would be inconsistent with the devolution settlement and the timetable for mayoral accountability, conflict with emerging national funding arrangements which place accountability with the Combined Authority and limit the Combined Authority's ability to act as the strategic transport authority.

Option 3: Continued Delivery Without a Formal Inter-Authority Agreement (Not recommended)
Under this option, concurrent arrangements would continue without a formal Inter-Authority Agreement setting out roles, funding, performance and accountability.

- 9.5 This option was discounted as it would lack legal and governance clarity, expose the Combined Authority to audit and intervention risk, and provide insufficient transparency over decision-making and funding flows.

Option 4: Use of Individual Bilateral Agreements for Each Function
(Not recommended)

This option would rely on multiple separate agreements for individual functions or funding streams.

This approach was discounted as it would create unnecessary complexity and duplication, increase administrative burden, and reduce strategic coherence.

Preferred Option: Phased Transfer with a Formal Inter-Authority Agreement (Recommended)

The proposed approach, a phased transfer of functions during 2026/27, supported by a single Inter-Authority Agreement is recommended as it aligns with the devolution settlement and national funding arrangements, provides clear governance and assurance, enables continued local delivery where this supports value for money, and manages risk while maintaining continuity for passengers and operators.

10. **Equalities Implications**

10.1 There is no direct link to equalities. In each policy decision account will be taken on equalities impact in line with the Public Sector Equality Duty.

11. **Environmental Implications**

11.1 The suggested approach is governance focused and does not directly create environmental impacts. Environmental impacts on policy will be assessed and managed through existing appraisal and impact assessments.

12. **Legal Implications and Statutory Officer Comments**

12.1 To follow.

13. **Financial Implications and Statutory Officer comments**

13.1 The Department for Transport has confirmed that HEYCA will receive the following funding allocations in future years and these will be reflected in the medium term financial plan to be presented to the Executive Board at its next meeting:

Local Transport Resource Funding (revenue) – The Spending Review 2025 confirmed £104 million resource funding between 2026 to 2027 and 2028 to 2029 for local transport authorities (LTAs) outside London. This 3-

year resource funding is intended to help to build the authorities' capability and capacity, including:

- developing and updating local transport plans
- to effectively deliver local transport infrastructure priorities - working with regional partners.

It should not be used to subsidise the day-to-day delivery of transport services. HEYCA's allocation is £0.634m for 2026-27, £1.403m for 2027-28 and £1.407m for 2028-29.

Local Transport Grant (capital) – Spending Review 2025 confirmed a £2.3 billion national investment in local transport through the Local Transport Grant (LTG). LTG comprises £2.2 billion of capital funding, spread over 4 years, and over £100 million resource funding, spread over 3 years. It brings together the Integrated Transport Block and Local Transport Grant. Local leaders can choose to support schemes in line with local priorities for transport maintenance and enhancements, including improving public transport, funding new zero emission buses, improving accessibility, addressing congestion, and making streets safer for pedestrians and cyclists. Capital funding allocations are based on all local authorities receiving a rollover of their 2025/26 funding, with capital allocations thereafter calculated by a formula based on population (70%) and deprivation (30%). HEYCA's confirmed funding allocations are £19.895m for 2026-27, £22.879m for 2027-28, £25.538m for 2028-29, and £28.197m for 2029-30

Local Authority Bus Grant (LABG) (revenue) – The Local Authority Bus Grant (LABG) is a consolidated grant for local transport authorities to maintain and improve bus services, comprising both capital and revenue funding. It combines the previously separate allocations of funding for Bus Service Improvement Plans and Local Authority Bus Grant (LABSOG) previously paid to the constituent councils. The 2025 Spending Review confirmed more than £1 billion per year in funding for buses in England outside of London. This includes multi-year allocations for local authorities under the Local Authority Bus Grant (LABG) ending the short-term approach to bus funding and giving councils the certainty they need to plan ahead:

- £481 million of revenue funding per year allocated to local transport authorities via the LABG up to 2028 to 2029
- around £200 million of capital funding per year allocated to local transport authorities via the LABG up to 2029 to 2030
- more than £240 million of revenue funding per year to bus operators
- over £150 million of revenue funding per year to maintain the £3 bus fare cap until March 2027

Local transport authorities will have the flexibility to use LABG funding to meet local needs, whether by reducing fares, introducing new routes, investing in zero-emission buses or improving bus stops and stations.

HEYCA revenue allocation of this funding has been confirmed as £6.724m per annum for the next three financial years.

Local Authority Bus Grant (LABG) (capital) – HEYCA’s capital allocation of this funding has been confirmed as £6.407m for 2026-27, £6.536m for 2027-28, £6.665m for 2028-29 and £6.794m for 2029-30. The capital allocations were determined using a formula that considered the needs of each local transport authority, taking into account population size, levels of deprivation and accessibility (measured by concessionary travel).

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Appendices:

Appendix A: Summary of transport powers

In the Hull & East Yorkshire Mayoral Combined Authority area, the MCA acts as the strategic transport authority and Local Transport Authority for public transport, while Hull City Council and East Riding of Yorkshire Council retain their statutory roles as highway and traffic authorities. This separation ensures that strategic planning, funding and network integration are led at the combined authority level, while day-to-day highway operations, regulation and delivery remain locally accountable. Bus service planning and improvement are led by the MCA, supported by council delivery of on-street infrastructure and traffic management measures.

Split of highways and public transport responsibilities

Hull & East Yorkshire Mayoral Combined Authority (HEY MCA)

Function / asset	Hull & East Yorkshire Mayoral Combined Authority	Hull City Council & East Riding of Yorkshire Council	How this works in practice
Strategic Road Network (SRN) (M62, trunk A-roads)	No highway authority role	No highway authority role	Managed by National Highways . The MCA influences outcomes through strategy, investment alignment and engagement (e.g.

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Function / asset	Hull & East Yorkshire Mayoral Combined Authority	Hull City Council & East Riding of Yorkshire Council	How this works in practice
			freight, growth, bus reliability).
Key Route Network (if designated)	Strategic oversight, prioritisation and investment coordination	Day-to-day operation and maintenance unless otherwise agreed.	KRN defined in Oct MCA paper, with LAs remaining highway and transport authorities. A KRN will continue to be defined to focus MCA investment on roads critical to bus reliability and economic connectivity.
Local roads (non-SRN)	No direct maintenance responsibility	Highway authority duty for all local roads, which includes links within each council area.	Hull CC and ERYC remain responsible for inspection, maintenance, resurfacing and safety.
Traffic management & regulation (signals, TROs, bus lanes)	Strategic policy direction; funding of priority corridors	Traffic authority powers and delivery	Councils make TROs and operate signals; MCA funds and programmes bus priority and corridor improvements.
Streetworks & permit schemes	Strategic coordination	Operation and enforcement	Councils manage streetworks; MCA role is coordination where schemes affect strategic corridors or bus performance.
Public rights of way	No role	Statutory duty	Remains with Hull CC / ERYC.
Local Transport Plan / regional	Lead responsibility	Statutory partners; local alignment	MCA sets the area-wide transport vision and priorities;

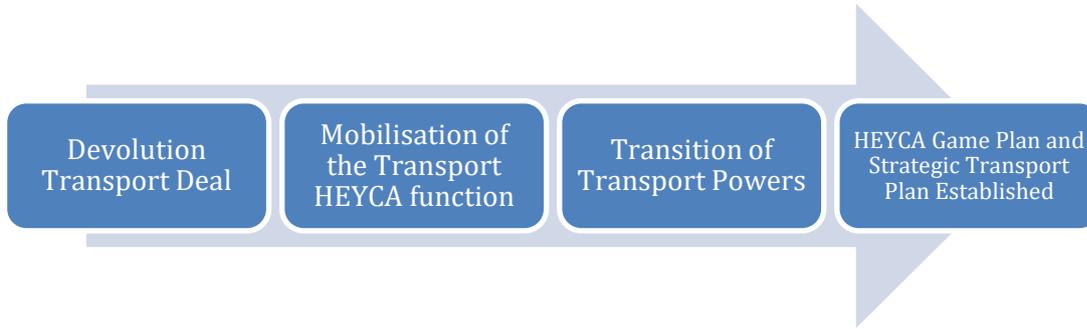
Function / asset	Hull & East Yorkshire Mayoral Combined Authority	Hull City Council & East Riding of Yorkshire Council	How this works in practice
transport strategy			councils' local plans align with it.
Bus network planning & policy	Lead responsibility as Local Transport Authority	Supporting role through highways and infrastructure	MCA leads Enhanced Partnership or franchising, network standards, fares and ticketing integration.
Bus services delivery (operators)	Commissioning / specification	Commissioning / specification	Operators continue to run services under EP
Bus priority infrastructure	Programme leadership and funding	Design, TROs and on-street delivery	A joint model: MCA funds and prioritises; councils implement on their roads.
Bus stations & interchanges	Strategic oversight; potential ownership/funding	May own or manage specific assets	Ownership varies by site; MCA role is to ensure facilities support the wider network.
Local rail integration	Strategic influence, integration and funding	Station access, highways and public realm	Rail remains DfT/Network Rail-led; MCA focuses on integration with bus, active travel and ticketing.
Active travel (walking & cycling)	Strategy, funding and programme coordination	Scheme design and delivery	Councils deliver schemes; MCA sets priorities and allocates funding.
Concessionary travel (ENCTS)	Administered by the MCA	—	MCA manages eligibility, reimbursement frameworks and

Function / asset	Hull & East Yorkshire Mayoral Combined Authority	Hull City Council & East Riding of Yorkshire Council	How this works in practice
			consistency across the area.
Parking policy & enforcement	No direct role	Council responsibility	Parking remains a local function, though it supports MCA demand-management objectives.
Taxi & private hire licensing	No direct role	Council responsibility	MCA may coordinate policy but does not license.

Appendix B: Principles of the transition

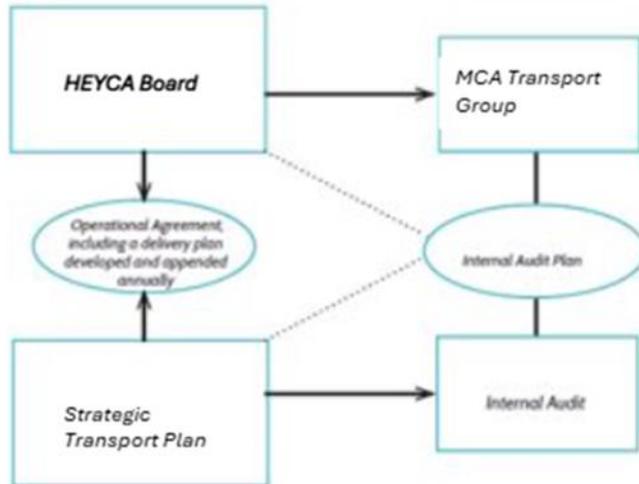
This staged transfer will deliver on the devolution settlement and enable HEYCA to assume its role as the strategic transport authority for the region.

April 2025	May 2025-Nov 202	Nov 2026 onwards	Oct 2026
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All agreed public transport functions will transfer to HEYCA by 31 March 2027, with a preferred target of October 2026. Operational integrity and customer experience will be maintained throughout the transition. Transfers will only proceed where readiness and capability are assured. HEYCA may commission services from the constituent councils during and after transition where this represents best value. Clear and consistent communication with stakeholders and the public will support the change process.

Appendix C: Governance Framework for Transport



‘Proposed’ Governance Framework for Transport

In brief:

Strategic Transport Plan

- Long term transport ambition*
- Core funding components*
- *Highway block*
- *BSIP*
- *Active Travel*
- Define Core deliverables*

Portfolio Lead / Board

- Advice*
- Strategic Direction*
- Escalation to MCA*
- Funding Papers*
- Corporate Risk Register Review*

MCA Transport Group

- MCA board updates*
- MCA risk register*
- Performance KPIs*
- Agreed annual internal audit*
- MCA client-side function, provide spend governance*
- Delivery v delivery plans (PMO)*



Report to the Hull and East Yorkshire Combined Authority

30 January 2026

The HEYCA Gameplan

Report of the Interim Chief Executive

Report Status:

This item is not exempt

Therefore exempt reasons are not applicable

This is a non-key decision.

1. **Purpose of the Report and Summary**

- 1.1 This report provides an update on the development of the HEYCA Gameplan and includes a final draft version for adoption (at Annex A).

2. **Recommendations**

2.1 The Board is asked to:

- Adopt the HEYCA Gameplan (Annex A) as the keystone document in the Combined Authority's strategic framework.
- Delegate authority to the Chief Executive to make any necessary drafting amendments.
- Agree to provide an update on progress against identified outcomes once a year.
- Give due regard to the issues considered in the accompanying Equalities Analysis (Annex B).

3. **Reasons for Recommendations**

- 3.1 The Gameplan is an important first step in establishing a clear strategic framework to guide policy and investment decision making. It describes the role of the Combined Authority and its organisational priorities, governance arrangements and ways of working; acts as an early statement of what the CA will do, through statements of policy aspiration and initial Portfolio delivery plans that commit to near-term and medium-term actions; and establishes a framework of outcomes across the range of HEYCA activity, against which future progress can be assessed.

4. **Background**

- 4.1 Following the May election, Mayor Campbell established a framework of strategic priorities for the Combined Authority. These are set out in **appendix 1**, below. The Mayoral priorities informed the design of the Portfolio arrangements adopted by the HEYCA Board in July. The alignment of priorities and Portfolios is shown in the diagram at **appendix 2**.

- 4.2 A draft Gameplan document was published in September that was focused on the Mayor's priorities and incorporated commitments from the devolution deal, which had been extensively consulted on, with over 4,000 responses to an online survey and an aligned programme of focus groups to ensure boosted samples for key groups.

- 4.3 The draft Gameplan document was discussed in a range of stakeholder groups, including at a full-day policy sprint in November. It was also formally considered by the Business Board in October. The Overview and Scrutiny Committee discussed the Gameplan at length with the Mayor in November and comments on the key points raised in at that session – including reference to a number of changes made as a result – are included at Appendix 1 below.

5. **Progress and refinements**

- 5.1 Since the draft Gameplan was published for consultation, the Hull and East Yorkshire Combined Authority and its partners have made notable progress across our strategic priorities. These achievements demonstrate early momentum and help build confidence in what the Gameplan can deliver when backed by sustained partnership working.

- 5.2 One of the most visible milestones has been the **launch of the Community Investment Fund** and the allocation of the first rounds of funding to local projects. This has begun to channel resource into neighbourhood-level initiatives that support community-led activity that contributes to Gameplan outcomes.
- 5.3 HEYCA secured a significant allocation from the new **Local Growth Fund**, with around £30 million earmarked to support infrastructure, business growth and inclusive opportunities over the coming years. This reflects confidence from government in our plans and aligns with our objectives to back key enablers of prosperity in all parts of the region.
- 5.4 On the Fit and Healthy priority, the initial **Get Hull and East Yorkshire Working Plan** has been formally approved. This integrated strategy tackles economic inactivity by linking work and health support, backed by partners across the NHS, employment services and local organisations. Its endorsement and next steps mark a significant step towards joined-up outcomes in work, wellbeing and earnings.
- 5.5 The Combined Authority's engagement at national events has also reinforced the region's visibility. Attendance at the **Regional Investment Summit in Birmingham** provided an opportunity to showcase our economic potential, make connections with investors, and underline our intent to attract capital into sectors such as energy, logistics and advanced manufacturing. At the same time, ongoing work on the **Local Growth Plan** continues to secure input from business and community stakeholders, and progress has been recorded towards a final strategy that will underpin future investment decisions.
- 5.6 Taken together, these developments illustrate how the Gameplan's priorities – good jobs, better connected, fit and healthy, and affordable homes – are already shaping real programmes and influencing funding flows.

Responding to consultation – how the Gameplan has been strengthened

- 5.7 Feedback from a range of stakeholders has directly informed changes to the final Gameplan. This responsiveness underscores our commitment to co-design and accountability.
- 5.8 A key improvement in the final Plan is the addition of **baselines and direction-of-travel indicators within the outcomes framework**, supporting clearer tracking of progress over time. This gives residents and partners a way to see how the region is moving

against shared priorities. The Executive Board are recommended to provide an annual update on outcomes to aid transparency and scrutiny of their work.

5.9 We have also **added deadlines for key deliverables**, making the timetable for delivery more explicit and support planning and accountability across portfolios.

5.10 Respondents highlighted specific local concerns, and the narrative has been updated to reflect these. This includes an explicit reference to broader age significance of **NEET** (not in education, employment or training) issues, and strengthened references to the importance of **rural transport**, reflecting the distinct connectivity needs outside urban centres.

5.11 Additionally, we strengthened the emphasis on **isolation and deprivation** in the narrative, acknowledging how geography, access and social factors influence opportunity and wellbeing across Hull and East Yorkshire.

5.12 These refinements have made the final Gameplan more transparent, reflective of significant local priorities, and attuned to the lives of people in our region.

6. **Equalities Impact Information**

6.1 An Equalities Analysis is enclosed at Annex B and should be considered in discussing this item.

7. **Options and Risk Assessment**

7.1 Adopting a clear statement of shared priorities serves to mitigate a range of risks linked to performance and resources management.

7.2 The consultation undertaken, including with key advisory bodies, mitigates the risk that shared priorities are developed that do not reflect the views of Board members and key partners.

8. **Legal Implications and Statutory Officer Comments**

8.1 The Gameplan is a non-statutory statement of priorities and there are no legal implications arising out of this report.

9. **Financial Implications and Statutory Officer comments**

- 9.1 There are no current financial implications arising from the recommendations within this report. Financial implications will arise from future decisions made within the recommended framework, if adopted, which will be guided by statutory officer advice at that time

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Officer Interests:

None

Appendices:

Appendix 1: Mayoral priorities framework

Appendix 2: Mayoral priorities and portfolios

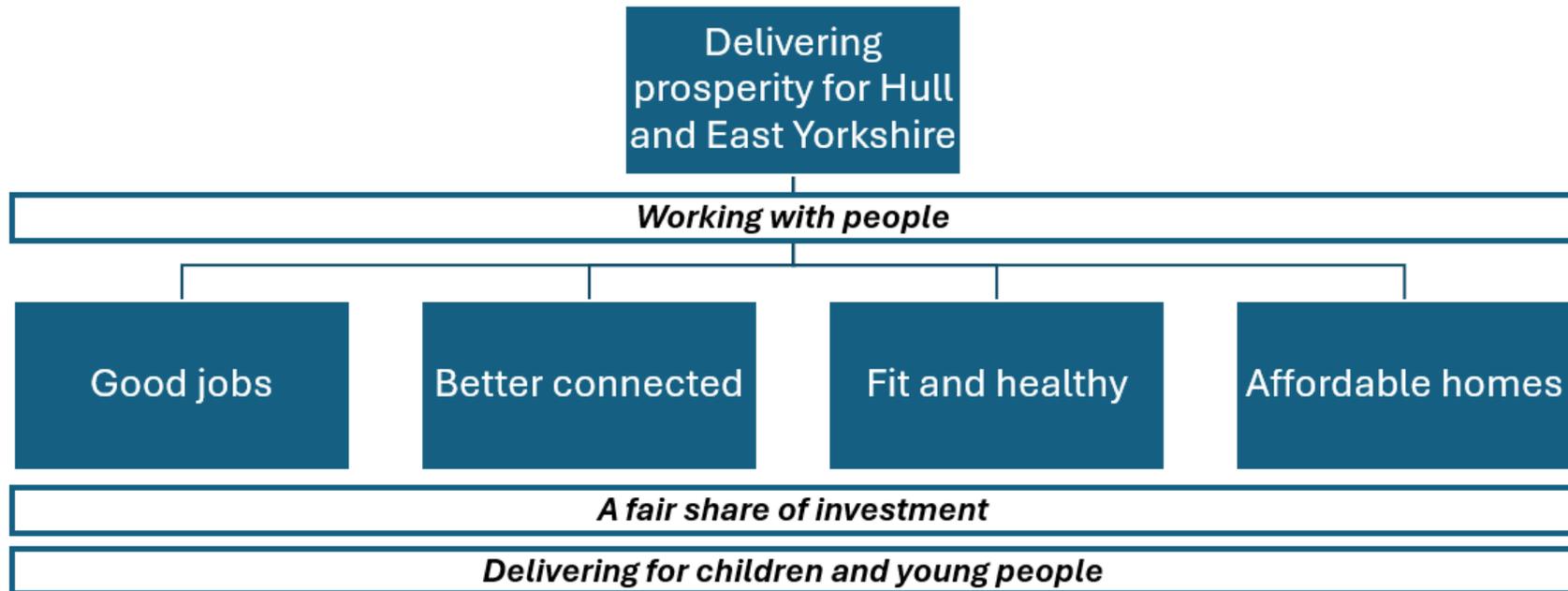
Appendix 3: Comments on issues raised at Advisory Committees

Annex A: The HEYCA Gameplan

Annex B: Equalities Analysis

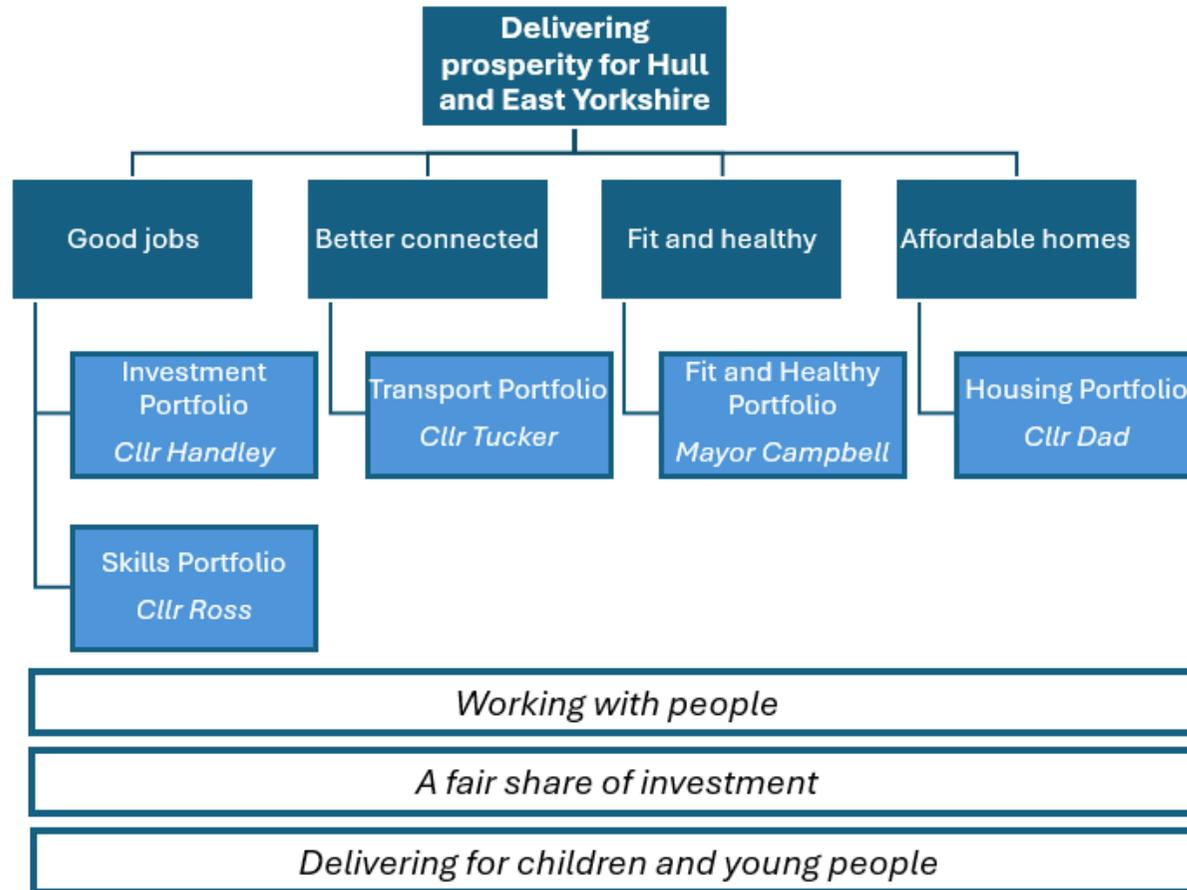
Appendix 1

Mayoral priorities framework



Appendix 2

Mayoral priorities and Portfolios



Appendix 1 - Comments on issues raised by Overview and Scrutiny Committee (19 November 2025)

Area	Issue raised by Committee	Comments
Data & Measurement	Include relevant KPIs to monitor and track change.	The Gameplan now includes up to date baseline data against the identified KPIs. Direction of travel indications are also provided.
	Populate outcomes with baseline data and provide annual updates.	
	Provide regular progress reporting against key priorities.	The Executive Board are recommended to provide an annual update on progress.
Youth Engagement	Amend Not in Education, Employment and Training (NEET) age bracket to 14–24 as it affects deprivation.	It is recognised and accepted that NEET issues are of concern for a broader age cohort, and reference to this has been added to the Gameplan. The age distinction (16-17) is only used for the formal indicator of NEET as this is the information captured in national data sets.
	Explore ways to engage young people, including an option of creating a Youth Advisory Board or similar.	The Mayor and Combined Authority are currently actively exploring options in this area.
	Strengthen Further Education/Higher Education (FE/HE) partnerships with employers and explore tangible ways to address graduate retention.	These issues are being explored in the development of the Local Growth Plan, which is better placed to give them full consideration.
Sector Issues	Recognise the fishing industry within the agri-food sector and address challenges attracting new entrants.	These issues are being explored in the development of the Local Growth Plan, which is better placed to give them full consideration.
	Address rural transport issues that may affect delivery, accessibility and access.	The Gameplan makes several commitments to tackling rural transport challenges. Where appropriate these have been strengthened in the final draft.

Resolutions	Isolation and deprivation strategies become key priorities across education, employment, skills, transport, housing, as well as health & wellbeing and captured accordingly in the Gameplan.	The Committee’s clear focus on the significance of both isolation and deprivation in Hull and East Yorkshire is heard and understood. These issues are now clearly framed and addressed in the final version of the Gameplan, with additional heightened references where appropriate throughout.
	Representations be considered by HEYCA to Government on how data is captured and particularly what measures are applied to youth provision and pathways into employment.	This is noted (in relation to definition of NEET) and will be fed in through appropriate channels.
	Populate the outcomes timetable with baseline data and periodic progress reports against key priorities highlighting options, opportunities and obstacles be provided.	These steps have been suggestions are accepted, as noted above.
	Develop strategic and tangible targets, including delivery targets, to evidence progress in a periodic update to the Committee.	Target delivery dates are included in the updated Gameplan. Given the complex nature of changes at population / place / economy outcome level, direction of travel indications are included rather than specific targets (which are not within the scope of any one agency to confidently secure).
	Explore the most effective ways of engaging with young people, including an option of forming a Youth Advisory Board.	This work is underway as noted above.
	Subject to recommendations outlined above, the Overview and Scrutiny Committee, commends the roadmap that is the Gameplan, recognise statutory requirements, and stress that delivery must pass the “so what?” test	Having addressed the points as outlined here the Committee’s commendation of the Gameplan is welcomed.

- ✓ *Good jobs*
- ✓ *Better connected*
- ✓ *Fit and healthy*
- ✓ *Affordable homes*

The HEYCA gameplan – *prosperity and opportunity for all*

Pre-publication final draft for comments
January 2026

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Mayor's Foreword

It's a privilege to present this plan for Hull and East Yorkshire – a plan grounded in the belief that prosperity should be shared by everyone in our region. From our port city to the towns and villages that span our coastline and countryside, we have a history to be proud of and an opportunity to shape our future. We can build an economy that works for all, while strengthening the communities that make this place unique.

I was born here, and I am proud to be the first elected Mayor of Hull and East Yorkshire. My vision for our region is straightforward. Jobs that match the skills and ambitions of all our people. Better transport links between our communities and the wider country. A healthier region where everyone can live longer, fuller lives. Affordable homes in neighbourhoods people are proud to call home. These are the priorities we need to build on.

No single organisation can make this happen. Let's work together – councils, businesses, public services and, above all, the people who live and work here. If we build on what we are already good at and unlock new opportunities, we can make sure everyone benefits from our growth. By working together, we can create lasting opportunities and prosperity for this generation and the next.

Luke Campbell MBE
Mayor of Hull and East Yorkshire

Executive Board Introduction

With confidence, hard work and a warm welcome, Hull and East Yorkshire meets the future head on. We're makers, builders and innovators by nature, whose work reaches far beyond our shores.

Our Humber ports form the UK's busiest trading estuary: a global gateway moving people and products at scale. Pioneers like Amy Johnson and Philip Larkin helped us all see life from a different angle.

Our skills and our spirit are grounded in proud traditions, from generations of hard graft and seafaring talent in our coastal communities; a deep connection to the land that still sustains our place as a national food security asset; and the mix of craft and construction expertise that gifted us the gothic beauty of Beverley Minster.

Those skills and that same spirit are alive today:

- In the blades we build at Alexandra Dock to power our region forward and increase energy security for the whole country
- In the trains we build at Goole Rail Village, delivering over 1,000 skilled jobs and new rolling stock to keep our capital moving
- And in the brighter futures we want to build at Saltend, where investment in hydrogen technologies can drive new technical skills, apprenticeships and early-career roles for young people across our region.

If you look at what's already underway – when we've had to fight to be heard and to get our fair share of investment, just think about what we can achieve now we have the chance to shape our future together.

Leaders across Hull and East Yorkshire have worked for many years to secure devolution and take control of our future. Now our task is clear: to work together and make it a success for every part of our region.

This is our gameplan for delivery. It sets out the first steps our Combined Authority will take and how we will work as one team.

Our vision is simple and ambitious: **Hull and East Yorkshire will be recognised as a region where confidence, connections and creativity bring prosperity and opportunity for all.**

That means better jobs, homes people can afford, transport that brings people and places together, strong centres in city and towns, and opportunities that keep talent here. It means pride in our places, security for families and confidence for our young people.

We know that success comes when we work together, across political boundaries and local interests, for the benefit of the whole. Each of our roles bring a distinct focus, but is interdependent. Investment fuels growth across sectors. Transport links people and opportunities. Skills, housing and community safety provide the foundations of our shared prosperity. Health and wellbeing give people the chance to participate fully in society. Only by aligning these priorities can we achieve lasting change.

We all recognise that the Combined Authority is new, still building its capacity and ways of working. But we also recognise that people want to understand our priorities and how they can work with us.

This gameplan is an initial set of commitments made at an early stage and while we are still forming our organisation. This means our plans may need to change and evolve as we go; but it is better to set a clear path at an early stage than wait until we have a perfect plan.

Our early stage of development also makes partnership working crucial. Our councils, businesses, colleges, voluntary groups and residents add strength and depth to our Combined Authority and can help drive real progress. Our role is to bring those voices together and focus our collective efforts.

The truth is we have all the ingredients. World-leading energy industries. Ports that connect us to the world. Universities and colleges that spark innovation and train the next generation. Communities with creativity and determination in equal measure.

This gameplan gives us the framework to focus our efforts, work in partnership and channel our shared belief that Hull and East Yorkshire can stand tall on the national stage.

- Luke Campbell, Mayor of Hull and East Yorkshire
- Cllr Anne Handley, Investment Portfolio Lead and Leader of East Riding Council
- Cllr David Tucker, Transport Portfolio Lead and Deputy Leader of East Riding Council
- Cllr Mike Ross, Skills Portfolio Lead and Leader of Hull City Council
- Cllr Jackie Dad, Housing Portfolio Lead and Deputy Leader of Hull City Council
- Jonathan Evison, Humberside Police and Crime Commissioner
- Jason Speedy, Chair of the HEY Business Board
- Jayne Adamson, Chair of the HEY Skills Board

Section 1: Introduction

This section frames and explains our Gameplan. It sets a clear vision of prosperity and opportunity for all. It explains what we mean by this, how we'll work together and what success looks like.

Our priorities for Hull and East Yorkshire

This plan is built on the belief that prosperity must be shared.

Growth needs to be felt in our everyday lives and in every town, city and village – from the Humber ports to Beverley, Bridlington and the Wolds.

But prosperity in Hull and East Yorkshire is about more than just economic growth. It is about the security, opportunities and connections that people feel.

On taking office, the Mayor established a framework of priorities that form our definition of prosperity and provide the structure for this plan:

- **Good jobs** that match the skills and ambitions of our people.
- **Better connected:** with transport and digital skills and infrastructure that connect places, reduce isolation, and link us into the wider North.
- **Fit and healthy** lifestyles so people the freedom to participate fully in work, family and their local community.
- **Affordable homes** in safe neighbourhoods where people are proud to live.

These priorities are underpinned by consistent focus on ensuring we secure **a fair share of investment** for our region, **working with people** to develop and deliver our plans, and ensuring our **children and young people** have a role in building a future for themselves in our region.

The HEYCA Outcomes Framework

For each of our priorities we have selected a small number of measurable outcomes that describe the things it is most vital that we improve if we're to deliver lasting prosperity.

The Outcomes Framework is intended to provide a clear and accessible picture of prosperity and wellbeing across the Hull and East Yorkshire area. It helps us understand how the place is changing over time rather than how the Combined Authority is

performing as an organisation (more information on the development and use of the Framework is included in the technical appendix at the end of the Gameplan).

Many of the outcomes included in the Framework are shaped by long-term economic, social and environmental factors, and by the actions of a wide range of partners, including local authorities, government departments, public services, businesses and communities. The Framework therefore provides context for decision-making and discussion, rather than a direct measure of the impact of individual programmes or investments.

National government is increasingly using outcomes frameworks to inform the design, allocation and oversight of consolidated funding arrangements, including the Integrated Settlement and the new approach to consolidated transport funding. These arrangements place greater emphasis on understanding outcomes at a place level, rather than monitoring activity through multiple, programme-specific inputs and outputs.

By establishing a clear and credible Outcomes Framework now, the Mayor and the Combined Authority are preparing to work effectively within this emerging approach to place-based funding and accountability.

Transparency, scrutiny and review

The Mayor and the Combined Authority will publish an annual update of the Outcomes Framework. This update will bring together the latest available data and commentary on trends across the agreed outcomes, and will be used to inform public scrutiny, partner discussion and ongoing strategic development.

Some indicators within the Framework rely on national datasets that are updated only every two years or at irregular intervals. Annual updates will therefore focus on reporting new data where it is available and explaining emerging issues, policy developments and delivery activity that may be influencing longer-term trends.

Over time, the Outcomes Framework will provide an increasingly robust evidence base to help us talk about the region's progress, priorities and future opportunities.

Our place, our economy, our Combined Authority

Hull and East Yorkshire, and the wider Humber region, is a vital trading gateway for the UK.

Our ports link a city that makes and moves things, and a rural and coastal economy that grows and supplies things, with national and international markets.

More than 600,000 people and around 20,000 businesses share one functional economy that ties Hull to Beverley, Bridlington, the Wolds and to ports and communities on both sides of the estuary. We have strong links north to Leeds and York, along the M62 to Manchester and Liverpool, and south to Sheffield, the East Midlands and the wider national economy. These links shape our labour market, supply chains and visitor flows.

Our sector mix is distinctive. Production industries account for a large share of output. Manufacturing contributes strongly, as do engineering, process industries, agri-food, logistics and the port estates that power our gateway role.

Hull and Goole handle significant volumes within a wider Humber complex that is the UK's busiest trading estuary by tonnage, and host designated Humber Freeport tax sites that support investment in energy generation, chemicals, logistics and advanced manufacturing.

Our region is an energy powerhouse, from manufacturing roles in Hull, to chemicals and hydrogen at Saltend, grid and pipeline assets, and a maturing carbon capture proposition that can anchor skilled jobs locally.

Our rural and coastal economy adds range and resilience, from high-performing agriculture and food processing to fisheries and a visitor economy centred on Bridlington and seaside towns, but also means transport plays a critical role in enabling access to employment, education, healthcare and everyday services, particularly for young people, older residents and those without access to a car.

Our economy trades east to west. The A63 and M62 carry freight from port to market and connect people to higher-skilled work. Spatial priorities focus employment land and investment along this corridor and around key centres.

Although employment has been resilient across our two authorities in recent periods, on pay and productivity we have ground to make up. We need to grow higher-

productivity roles in energy, chemicals and health technologies linked to clinical and care innovation, and to improve labour market connectivity.

We also need to support and develop our foundational sectors in-hospitality, tourism, retail and social care; create better pathways for pay and progression; and make sustained progress on a range of economic, social and place outcomes at the same time.

This sort of transformational change takes time and can only be built through constant partnership working that is rooted in place and guided by our strengths.

Deprivation, isolation and inequality across the region

Hull and East Yorkshire experiences deprivation in different ways, shaped by both its urban centre and its rural and coastal geography.

The most concentrated deprivation is found in Hull, where many neighbourhoods face long-standing challenges linked to low incomes, poorer health and lower levels of skills and opportunity. These issues are deeply rooted and continue to affect life chances for many residents.

At the same time, deprivation is not limited to urban areas. Across the East Riding there are smaller pockets of disadvantage within an otherwise more prosperous area, particularly in some coastal communities, market towns and rural settlements. In these places, poverty can be less visible but still persistent.

In rural and coastal areas, isolation often plays a key role. Longer distances, limited transport options and reduced access to services can make it harder for people to reach work, education, healthcare and social support. These pressures can be compounded by lower wages, seasonal employment and an ageing population.

Together, these patterns highlight a dual challenge for the region: tackling deep-rooted deprivation in the city, while also responding to isolation and pockets of poverty across rural and coastal communities. Recognising and understanding these differences is essential to shaping an inclusive approach to growth and opportunity across Hull and East Yorkshire.

What only a Combined Authority can do

Our Combined Authority exists to work across boundaries and in partnership to reflect the scale at which our economy actually functions.

People live in one place and work in another. Freight moves from quayside to corridor to customer. Investment decisions cross council lines. We bring that system together so transport, skills, housing, energy and business support line up. No single organisation can join those pieces as cleanly as a mayoral combined authority with the mandate to act across the footprint.

We give investors and government a single front door. That means one clear proposition, one pipeline, one set of contacts and one timetable, all set in and coordinated with the wider Humber context.

We align land use, enabling infrastructure, skills and supply chains, so projects move from interest to delivery with fewer hand-offs. We secure and join-up funding to de-risk investments, crowd in private capital and anchor good jobs here.

We integrate movement and place. Local transport powers allow us to shape bus reform choices, station improvements and corridor improvements, then sequence them with housing and town-centre renewal. A regional view lets us tackle cross-boundary pinch points and work with other mayors to make sustained improvements across the north.

We lead the labour market. With devolved adult skills funding and a direct commissioning role, we can align provision to real demand in engineering, logistics, construction, health and digital. We convene colleges, the university and employers to design pathways from school to higher technical routes and apprenticeships, and we back in-work progression so people can move up.

We enable the right homes in the right places. A spatial framework at combined authority scale will provide long-term certainty and can link city-centre living, sensitive town extensions and transport-gateway sites to the locations of future jobs. We bring the capacity at a more strategic level with councils, Homes England and developers to assemble and service sites, test innovative approaches to construction and align funding and financing.

We steward key markets and services. By coordinating with utilities, Network Rail, DfTO, National Highways and the Environment Agency, we can influence the timing of upgrades to support our investment pipeline. We bring the capacity to shape digital connectivity and improve data-sharing so businesses and public services can more easily and safely adopt modern software and AI, and residents can access services and training. Through procurement and commercial practice we will grow local supply

chains, set clear expectations on wider value, and manage contracts so delivery stays on track.

We will work closely with the Police and Crime Commissioner (PCC) for Humberside. As a member of the HEYCA Board the PCC provides strong assurance on policing and access to a network of mature partnerships, linking the Combined Authority to our existing Community Safety Partnerships, the Humberside Criminal Justice Board, Humber Violence Prevention Partnership and Safer Roads Humber in ways that will help us act across the whole system. We have set out shared commitments in each of our delivery plans below and will develop working relationships over time that ensure we share evidence, insights and aligned planning and decision making that improves safety, confidence and opportunity across city, towns and coast.

We speak with one voice for our area. The Mayor provides visible leadership and democratic accountability, while our partnerships across the Humber and the wider north lets us act at scale where it's needed. Government expects a strategic partner it can trust with multi-year settlements. A combined authority fills that role and turns national opportunities into local projects people can see.

Above all, the Combined Authority will keep people at the centre. Resident and business voice and open reporting are built into how we work. That combination of scale, powers and public mandate is what makes a combined authority different. It is how we turn our strengths into prosperity and opportunity for all.

Section 2: The HEYCA Gameplan

This section explains how we will deliver each against each of the mayoral priorities, and where the Leadership Board portfolios make their most direct contribution.

For each priority, we sketch out our context and aspirations, define key measures of success, and set out our first steps for delivery and the major projects we will target over the coming years.

✓ Good jobs

Context and aspirations

Our economic strengths run from energy generation and advanced manufacturing to digital and creative work, and across a large base of food production, visitor economy and public services. Our production industries already account for a nationally high share of output, reflecting our role in energy, manufacturing and ports.

This mix matters because it gives more residents a route into work and a path to progress. Our task is to turn these strengths into more secure, better paid roles across our city, towns and coast.

Energy and engineering anchor many of the best opportunities. At Alexandra Dock, offshore wind blade production shows how making at scale can lift pay and skills across supply chains. On the Humber, chemicals and energy projects are creating demand for technicians, process operators and engineers, with new apprenticeships and early-career roles for young people. Our ports and Freeport sites strengthen this by drawing in logistics, fabrication and component manufacturing, supported by land and infrastructure along the A63 and M62 corridor.

Digital capability now runs through every sector. Factories use sensors, data and automation to improve quality. Logistics firms optimise routing and warehouse flows. Health and care providers use digital tools to plan services and support people, patients and staff. We will help businesses adopt modern software and AI so they can design better, sell more and run smarter operations. That means practical support for smaller firms, peer learning between employers, and access to the right facilities and kit.

Foundational sectors create a large share of local jobs and deserve the same focus on quality and progression. Our area leads the country in static caravan and lodge manufacturing, which supports design, joinery and supply-chain jobs. Fisheries and the wider agri-food system link farms and food businesses into local and export markets. Retail, social care and public services provide work in every community and can offer real careers with the right training and management pathways. Steadier hours and higher skills are key to better visitor experiences in our tourism and hospitality sectors.

Skills and training turn opportunities into good careers. We will back clear routes from school to higher technical qualifications and apprenticeships, aligned with employer demand and insight into what's needed. This will include support and traineeship pathways for young people leaving school and routes for older people to re-engage in learning pathways to secure jobs. Devolved adult skills and local commissioning will raise attainment and support people to retrain. Colleges, the university and independent providers already offer strong foundations in engineering, energy, health and applied sciences. We will build on this with employers, so courses fit shift patterns and real jobs.

Good jobs here means access to fair pay, security and the chance to progress. They exist in factories and labs, in care settings and in classrooms, on farms and in kitchens, in studios and server rooms, on the quayside and in our town centres.

We will build on our economic strengths – leveraging investment in plant, digital technology and AI, and supporting better transport and strong local training routes. This is our route to a stronger economy and more opportunity for local people - an energy powerhouse for the UK and beyond; a centre of digital and mechanical engineering excellence; a global maritime and logistics gateway; and the place where businesses come to secure quality of life, the space to expand and a seat at the table.

Investment Portfolio delivery plan

Our Investment portfolio turns our strengths into jobs, productivity and higher wages. It leads our propositions to government and investors, shapes our Investment Framework, and coordinates programmes that unlock sites, infrastructure and growth.

The scope includes inward investment, trade readiness, sector development, the Freeport offer, our capital pipeline, planning facilitation and investor aftercare. It works with Transport, Skills and Housing so land, people and connectivity line up.

Our first steps will be to -

- Commission an updated regional economic assessment to identify our strengths and areas where more can be done to drive growth and create good jobs.
(Regional economic assessment completed Q1 26/27)
- Develop a ten-year plan for growth that identifies our top investment opportunities and guides regional prosperity, and work with investors to lever in

additional funding wherever possible.

(Local Growth Plan to be adopted in Q1 26/27)

- Create a new Investment Board to advise on how to use Combined Authority resources to best support the highest priority opportunities for growth in the region.
(Investment Board established Q4 25/26)
- Become the Accountable Body for the Humber Freeport and work with partners to streamline governance of the Humber to unlock investment and speed up and join up decision making.
(HEYCA to hold Accountable Body status before end FY 26/27)
- Lead commissioning and delivery of support businesses with access to effective programmes, expert advice and action.
(New arrangements in place by Q3 26/27)
- Continue to lobby government for a fair share of national investment in our people, our economy and our infrastructure.
(Ongoing)
- Attend national and international investment summits, conferences and trade missions, including in partnership with other northern Mayors.
(Regional Investment Summit – Q3 25/26; Northern Investment Summit – Q1 26/27)
- Prepare a business case for Local Innovation Partnerships funding, working closely with the University of Hull and other Yorkshire Universities.
(Expression of Interest submitted Q4 25/26)
- Confirm how best to work closely with the Hull and East Yorkshire Local Visitor Economy Partnership.
(Confirmed by Q3 26/27)

The big steps we will take in the coming years are to -

- Identify key growth locations across the region that can provide the focus for sustained investment activity.

- Develop a funding and financing strategy that leverages Combined Authority resources to their fullest effect, working with public, private and institutional investors.

Working with the PCC for the duration of their term of office, we will also support safe town and city centres and a vibrant night-time economy, reducing crime and antisocial behaviour that undermine growth and confidence.

Skills Portfolio delivery plan

Our Skills portfolio will build a talent pipeline that matches our economy. It leads on the devolved Adult Education Fund, works with the Chamber of Commerce to produce improve skills provision in key sectors, and coordinates programmes for young people and adults.

To ensure we deliver on our priority for good jobs, the portfolio will focus on higher technical pathways, apprenticeships, basic and digital skills, and in-work progression.

Our first steps will be to -

- Take on the responsibility for the strategic direction, commissioning and accountability for the Adult Skills Fund, and Free Courses for Jobs. Directing over £16m of funding to transform Adult Skills and training across the region and preparing for the future introduction of the Lifelong Learning Entitlement. (From Q4 25/26, with commissioned delivery from Q2 26/27)
- Collaborate with the post 16 sector to deliver the devolved Post 16 Capacity Fund which will mean local decision-making ensuring investments and service offers meet the needs of local young people. (Delivery from Q1 26/27)
- Work with the Hull and Humber Chamber of Commerce to co-develop a new Local Skills Improvement Plan that is business-led and addresses the skills gaps holding our key sectors back. (Plan developed by Q3 26/27)
- Scope the role that a Good Work Charter could play to support residents with improved employment and training opportunities across our economy. (Scoping work completed by Q4 26/27)
- Develop our evidence base and data insights using the information from the delivery of the Local Skills Improvement Plan, Adult Skills Fund, Skills Bootcamps, and the Get Britain Working/Connect to Work to shape commissioning decisions and future strategic planning. (Ongoing)
- Ensure new employment support programmes remove barriers to in-work progression and support the delivery of Connect to Work and the wider

development of healthy workplaces in the region.

(TBC)

- Continue lobbying for greater influence on 16-19 education so we can respond to what businesses need and help young people start planning and realising a successful career at the earliest opportunity.

(Ongoing)

The big steps we will take in the coming years are to -

- Fully align skills investments and priorities so people of all ages in Hull and East Yorkshire benefit from new, higher value jobs through training and in-work progression.
- Design and launch consolidated youth skills, training and careers programme that brings together what is already working with targeted additional provision.

Working with the PCC for the duration of their term of office, we will also develop training and *employment pathways for people at risk of offending or reoffending, and work to embed cyber security and awareness of online harms within entry-level routes and apprenticeships.*

✓ Better connected

Context and aspirations

Being connected will unlock work, learning, healthcare and culture. Our ambition is for clean, inclusive and digitally enabled mobility that makes everyday life simpler and places feel closer together.

Travel patterns will remain similar, with major flows east to west along strategic corridors, through the port estate and along city-to-town routes that link Hull with Beverley, Bridlington, Goole and elsewhere. Rail stations at Hull, Beverley, Goole and Bridlington will continue to connect the region to wider city networks.

Buses will carry large numbers in urban areas and provide vital links for towns and villages. Walking and cycling will keep growing for short trips where routes feel direct and safe, supported by secure parking and, where appropriate, convenient charging for e-bikes and other personal light electric vehicles. Rural transport will also be a priority, recognising that low population density, longer travel distances and variable service provision mean that transport connectivity can be a decisive factor in whether people are able to access work, learning, healthcare and social networks.

Freight will remain central to prosperity. Efficient port access, reliable rail paths and resilient highway links will shape delivery times and business confidence. As energy and manufacturing grow, and visitor numbers increase, dependable connections to centres, employment sites and the coast will become even more important. We will also support improvements that make freight movement cleaner, more efficient and better integrated with ports, railheads and last-mile logistics.

Digital connectivity will sit alongside transport as essential infrastructure. Full-fibre coverage, strong mobile networks and reliable backhaul will support firms that design and trade online and help residents access services, training and flexible work. We will champion digital tools that improve travel, including contactless ticketing, real-time information and journey planning, and data platforms that help plan, time and maintain the network more intelligently.

We will secure investment and work with operators, councils and infrastructure planners to make everyday journeys simpler, faster and more reliable. We will explore innovative services where they add value, including on-demand links for rural and coastal communities, mobility hubs that bring modes together, and safe, convenient options for micromobility. We will consider how new and enhanced light and heavy rail connections could support growth where evidence shows a strong case, and we will safeguard potential alignments where appropriate.

Our Local Transport Plan will set a clear pipeline that sequences bus, rail and active travel so people feel improvements year by year. It will focus on dependable bus services on priority corridors, simpler and integrated fares, and information that is easy to use. Stations will work as gateways and as interchanges that support growth in surrounding areas. Walking and cycling links will connect homes to schools, colleges, health services and centres through direct routes and safer junctions. We will treat digital connectivity as part of the network, supporting 5G along key corridors and open data so services can respond to demand.

We will make the case for major cross-North enhancements that improve reliability, capacity and journey times on strategic rail and highway corridors linking Hull and the East Riding with Leeds, York, Sheffield, Manchester and beyond. Our asks will be backed by clear economic, social and environmental evidence, including better freight paths to and from the ports.

We will support investment in digital infrastructure to expand full fibre across urban, coastal and rural areas and improve mobile connectivity at known pinch points, including transport corridors and visitor hotspots. We will use data platforms to provide live travel information, guide network planning and target maintenance, and we will support digital skills so residents can confidently use online services and tools at work.

Together these steps will create a connected region. People will reach work, learning and services more easily. Businesses will move goods and welcome visitors with confidence. Digital networks and skills will support every sector. The result will be places that feel closer together and better linked to opportunity across Hull, the East Riding and the wider North.

Transport portfolio delivery plan

Our Transport portfolio connects people to work, learning and services, and connects freight and visitors to our places. It leads our Local Transport Plan; bus improvements,

rail and station work with partners; active travel; and integration of transport with land use and regeneration.

To ensure we deliver on our priority to be better connected, the portfolio will focus reliability, affordability and accessibility that supports growth.

Our first steps will be to -

- Lobby to secure investment in rail, including electrification of the Hull to Leeds and Hull to Sheffield lines, and to ensure future programmes take account of the opportunity to deliver earlier impacts by starting the east of the country; and continue to lobby operators to develop a long term rolling stock strategy which benefits the region through electric/hybrid fleet solutions.
(Ongoing – lobbying discussions – xxx)

TO BE REPHRASED FOLLOWING NPR ANNOUNCEMENT THIS WEEK

- Put in place a statutory Local Transport Plan that provides a rich picture of our transport future and can unlock, guide and sequence major investment over the long-term.
(Phase 1 Local Transport Plan adopted in Q4 25/26; Full LTP Q2 26/27)
- Publish our Bus Service Improvement Plan and lead the creation of a combined Enhanced Bus Partnership to deliver noticeable improvements to services across the region.
(Plan adopted Q1 26/27)
- Work with our rail and bus operators to highlight and address consistent underperformance and to identify priority improvements for fleet age, service delivery and stations.
(Initial investment pipeline developed by Q2 26/27)
- Provide support to improve community transport, including considering the potential for a targeted seed funding programme.
(Targeted investment from Q1 26/27)
- Put in place an active travel plan to direct investment to the right locations and in line with our strategic priorities.
(Plan developed by Q4 26/27)

- Agree a Key Route Network that will benefit from Mayoral powers and oversight, with a strategic approach to investment, and put in place a Transport Advisory Group to guide its development.
(Key Route Network adopted Q3 25/26)
- Secure funding for charging infrastructure for vehicles, to support quieter roads and cleaner air in our towns and villages.
(Targeting investment Q4 26/27)
- Begin the process of driving a strategic approach to a true integrated public transport infrastructure, improving journey times between our city, towns and villages (e.g. Hull rapid transit corridor, rural mobility hubs and smart ticketing), supporting economic growth and supporting our communities.
(Transport platform optimisation studies ongoing)
- Play a full role in the regional resilience forum to help respond to prepare for and respond to emergencies and help keep people safe.
(Ongoing)

The big steps we will take in the coming years are to -

- Connect people to economic opportunity - employment hubs, core inter-urban routes health and community services
- Develop the Combined Authority to become a fully established Transport Authority.
- Move to a simple integrated ticketing offer across operators in Hull and East Yorkshire.
- Ensure inclusive transport links – move towards ensuring no area or group is left behind by maintaining vital community and social lifeline transport links.
- Increase annual investment – make an evidence based case for consistent year on year growth in transport funding to support long term improvements and resilience and improve outcomes.

We will also work with the PCC, for the duration of their term of office, on casualty reduction and safety for all road users, and to tackle crime and antisocial behaviour on public transport.

✓ **Fit and healthy**

Context and aspirations

Good health underpins everything – we need to feel well to work, study, care for family and take part in community life.

We know that health is heavily shaped by place and the pattern of our demographics, with a younger, urban city and an older, rural and coastal county.

Safe streets help children walk to school. Good homes reduce illness and bills. Bus and rail links are needed to access health services, jobs and college. Access to nature – whether that’s in parks, at the coast or across the Wolds – supports everyday activity and good mental health.

In Hull, life expectancy and healthy life expectancy are below the England average, with large gaps between the most and least deprived neighbourhoods. Deprivation in inner-city neighbourhoods is linked to higher rates of COPD and diabetes and, while smoking has fallen strongly over the last decade, it remains higher than average which drives respiratory disease and earlier ill health.

Our population across the East Riding is older, which brings more dementia, musculoskeletal problems and falls. Longer travel distances – particularly for those living in coastal and rural communities – can also make it harder to access vital services.

Workplaces across the region can influence health through shift patterns and stable employment, and training and environmental measures to address health and safety risks, especially musculoskeletal strain and stress. Culture, sport and heritage groups also act as preventative factors, building social capital and reaching people that formal services often cannot.

Working with our partners in the NHS, councils and across the public, private and third sectors, we will use our increased influence and forthcoming public health duty to firmly put prevention first, and closer to home.

We will strengthen the link between health and work, forging closer links between employers, Jobcentre Plus, the NHS and local authorities and skills providers so residents get timely help that keeps them in work or helps them return sooner. Support will focus on what matters most for attendance and productivity, including mental health, early access to occupational health, and simple workplace adjustments. Employers will have clear routes to advice, and residents will see pathways that connect condition management, training and good jobs.

The Mayor and Combined Authority will support engagement with young people aged 14 to 24, recognising that the factors which lead to disengagement from education, employment or training often emerge before the end of compulsory schooling and can persist into early adulthood. The aim will be to reduce the risk of young people becoming not in education, employment or training, and to support those who are disengaged to re-enter learning or work in ways that are appropriate to their needs and circumstances.

Sport and physical activity will be part of daily life, and we will back a culture of movement by working with clubs, schools, councils and event organisers so that grassroots sport grows and more fixtures come to our city, towns and coast. Big moments will inspire young people and first-time participants, while better walking, cycling and wheeling links between pitches, parks, shops and schools will make active travel part of everyday life.

We will use our planning powers to ensure developers build healthy places for future generations. New homes and renewals will meet clear standards for warmth and ventilation, and public realm in towns and on the coast will invite people to spend time outdoors.

The Mayor's Community Investment Fund is growing community capacity, and we will work strategically with umbrella agencies and anchor institutions across the region to complement their missions and our vital public services.

We will use data well, working with our NHS and local authority partners to ensure integrated dashboards can track healthy life expectancy, physical activity, smoking prevalence and other practical measures. Over time we will codify our approach into a regional health inequalities strategy that will drive major change to improve peoples' lives and address one of our regions most sustained barriers to growth.

To deliver meaningful and sustained change in population health outcomes we will take a collaborative and movement making approach to our work, in partnership with our

local NHS colleagues, local authorities and other public services, employers, training providers and, crucially, the voluntary, community, faith and social enterprise organisations and the people of Hull and East Yorkshire.

Fit and healthy portfolio delivery plan

Our Fit and Healthy portfolio improves the conditions that allow people to participate in work, education and community life. It focuses on prevention, healthy lifestyles, mental health, healthy ageing, and the links between health, housing, transport and work. This will include working with schools and youth groups to reach children early with positive messages, support and new opportunities.

To ensure we deliver on our priorities we will work with the NHS, public health, local public services, schools, employers and the VCSE to close health gaps and extend healthy life years.

The first steps we will take are -

- Create a £1m Mayoral Community Investment Fund to support the people of Hull and East Yorkshire.
(In place – first grants awarded in Q4 25/26)
- Publish a plan for getting more people playing sport and being physically active in our region and attracting more sports and cultural events to our venues.
(Plan developed by Q2 26/27)
- Publish and deliver our Get Hull and East Yorkshire working plan to give residents the support they need to ensure health is no longer a barrier to work, working with our NHS, voluntary and community sector, businesses and public service partners.
(Plan published Q4 25/26 – delivery from Q1 26/27)
- Work with our local authorities to design and deliver a new Connect to Work service.
(Delivery commences Q1 26/27)
- Support our serving and ex-service members by signing up to the Armed Forces Covenant.
(Achieved – Q3 25/26)
- Help our care experienced children and young people have the best start in life by signing up to the Care Leavers Covenant.
(Achieved – Q3 25/26)
- Design a programme of work to ensure health improvement is considered in everything the Combined Authority does, including taking a lead role on the NHS

Integrated Commissioning Board and holding in a major Health Summit to galvanise action and impact.

(Health Summit to be held during Q2 26/27)

- Prepare a business case to secure funding from government for the Youth Guarantee Programme to support local young people into work.
(Business Case complete Q2 26/27)
- Prepare a business case to develop a Hull and East Yorkshire Health Innovation Zone that builds on our existing business and academic strengths in advanced wound care, digitally enabled clinical trials and applied digital health/AI.
(Business Case complete Q4 26/27)

The big steps we will take in the coming years are -

- Develop an evidence based regional health inequalities strategy to guide service integration and prevention over the long-term, and to integrate reporting on health across partners.

We will also work with the PCC, for the duration of their term of office, *to reduce the harms from drug and alcohol use, supporting efforts to tackle drug-related crime to support people, families and communities; and implement whole-system approaches to preventing violence and domestic abuse in line with our forthcoming health improvement duty.*

✓ Affordable homes

Context and aspirations

The landscape setting of Hull and East Yorkshire is special. The Wolds, the Humber estuary, river corridors, streams and coastal landscapes give our region a distinctive feel and a rich natural environment. Our homes sit within a landscape that runs from a compact city core to market towns, villages and a long stretch of open coastland and throughout the region green and blue spaces support wildlife, provide places to play, cool our streets in summer and make daily life better. Planning for growth and caring for these assets needs to go hand in hand.

We will set a clear spatial framework that brings certainty to residents, developers and investors. Our new regional plan will show where growth goes first and how it connects to everyday life. Increasing city-centre living in Hull will add homes close to work, culture and transport, and support local businesses. Strategic growth locations will guide public and private investment, help us assemble and service sites, and give developers the confidence to build well and at pace.

We will work to secure funding to enable more brownfield regeneration and to improve the energy performance of older homes, tackling damp and cold, reducing bills and supporting healthy living. We will promote construction innovation and the supply chain opportunities this presents across our manufacturing base.

Alongside this, we will help increase the supply of homes people can afford, working with the councils and registered providers to ensure access to social rent, affordable rent and shared ownership in the locations that need them most. We explore how best to support first time buyers, key workers and community led development where there is local appetite.

In the private rented sector we will work to raise standards and improve security, and we will work with local partners to ensure there is targeted support that prevents homelessness and helps people move on from temporary accommodation. Working with councils, the PCC, landlords and community partners, we will use local insight to develop safe, secure homes and neighbourhoods, and focus on what builds trust, cohesion and pride in every community. Specialist and supported housing for older

residents and people with additional needs will be planned into new neighbourhoods and renewal schemes so that the right home is available at the right time.

We will plan and act at Humber scale where it makes sense, including to ensure long-term resilience and improved management of flood risk and coastal change. The estuary is a single system for environment, energy and trade, and we will take a strategic approach to assessing and managing environmental impacts, so infrastructure, housing and employment land can come forward with certainty while habitats are protected and improved.

Together these choices will create more homes in the right places, closer connections between homes and work, stronger centres, and neighbourhoods that feel part of the landscape they sit in.

Affordable homes portfolio delivery plan

Our Housing portfolio supports growth, renewal and sustainable development. It works with our local authorities to bring forward sites, accelerate affordable homes, support town-centre and coastal regeneration, and improves the quality and energy efficiency of our homes.

To ensure we can deliver priorities it will focus on ensuring that housing is aligned with transport and employment and enables good health and wellbeing.

The first steps we will take are -

- Make a strategic assessment of our new powers in respect of land assembly, compulsory purchase, development orders, infrastructure levy and the creation of new Mayoral Development Corporations, to determine where these can best help unlock stalled sites, speed up planning consents and get homes built.
(Review complete by Q3 26/27)
- Drive forward the development of new homes on brownfield sites using existing capital resources and make the necessary arrangements to secure devolution of further Brownfield Land Funding in the future years.
(On-going)

- Create a single pipeline of priority housing sites and working with Homes England and Registered Providers.
(Pipeline developed Q3 26/27)
- Establish a Strategic Place Partnership to sequence and govern investment and wider housing activity.
(Strategic Place Partnership to be established by Q4 26/27)
- Work with our local authorities and partners to conclude and publish the Hull and East Yorkshire Nature Recovery Strategy.
(Strategy adopted Q4 25/26)
- Develop a plan to support residents to cut energy bills and ensure their homes are warm and well insulated.
(Strategy developed by Q4 26/27)
- Convene a regional construction and development industry forum and work with business leaders to hold a regional construction innovation summit.
(First forum held by Q4 26/27)
- Explore a regional approach to addressing homelessness, building on and enhancing the statutory work of the exiting Local Authorities.
(Regional approach to be explored by Q2 26/27)
- Undertake an audit of all publicly owned land in the region and work with partners to unlock the highest priority opportunities.
(Audit to be completed by Q4 26/27)
- Convene partners to ensure action to address flood risk remains a strategic priority and is integrated into investment and delivery plans across all relevant agencies.
(Discussions Q2-Q3 26/27)

The big steps we will take in the coming years are -

- Prepare a regional Spatial Development Strategy to guide investment across our region, allocating broad areas for housing and employment land growth over the long-term, planning for the necessary infrastructure, protecting nature and addressing flood risk.

- Explore the potential to develop a different funding and financing methods to leverage Combined Authority resources and align with private and institutional investment funds to unlock the delivery of more homes across the region.

We will also work with the PCC, for the duration of their term of office, to design out crime in new and renewed neighbourhoods, using hotspot insight to guide investment and regeneration decisions.

Section 3. How we will deliver

Working at scale

The Hull and East Yorkshire Combined Authority works as part of a wider Humber system, and with national reach. We will play an active role in regional and national forums that give our area a stronger voice and a clear route to government.

We will:

- Establish strong joint Humber governance arrangements with local authorities, business leaders and the Greater Lincolnshire County Combined Authority.
- Take full advantage of our membership of the Council of Nations and Regions, Council of Mayors, UK Mayors and The Great North to press the case for Hull and East Yorkshire.
- Work with Transport for the North and DfT to secure investment in key travel corridors, stations and across our network.
- Where appropriate, share evidence, align pipelines and present joined-up propositions with other Combined Authorities where that is the right spatial scale to secure investment.

A strategic approach to investment

The Combined Authority has undertaken an initial long-listing of investment opportunities across Hull and East Yorkshire to inform the development of an Investment Framework. Work is also underway to identify and prioritise a smaller number of game-changing investments that will be a key focus of the Local Growth Plan.

To support this process, the HEYCA Board has established an Investment Board, bringing together private sector leaders and expertise to advise on investment priorities, opportunities and delivery considerations. As this work progresses, the Combined Authority will publish updates and further information on its website to support transparency and engagement.

Working with the people of Hull and East Yorkshire

Residents will be able to see, understand and influence what we do. We will explain decisions clearly, invite people to shape options early, and report outcomes in ways that build trust.

We will:

- Work transparently with, open board papers, public questions and regular updates published on our website.
- Use simple language and presentations so people can follow projects, give feedback and see “you said, we did.”
- Consult formally on key issues, including the development of a number of key strategic plans set out in this Gameplan.
- Support citizen and youth voice to shape policy and delivery.

Technical appendix: Outcomes Framework

Introduction and role of the Outcomes Framework

The Outcomes Framework provides a consistent way of understanding prosperity and wellbeing across Hull and East Yorkshire. It brings together a focused set of indicators to describe conditions in the place and how these are changing over time.

As set out above, many of the outcomes described are shaped by long-term trends and by the actions of a wide range of partners, including local authorities, public services, government departments, businesses and communities. The Framework therefore provides context for strategic decision-making, investment discussions and public scrutiny, rather than a direct measure of programme delivery or Combined Authority performance.

The Outcomes Framework also reflects the direction of travel in national policy. Government is increasingly using outcomes frameworks to inform the design and oversight of consolidated funding arrangements, including the Integrated Settlement and the new approach to transport funding.

By establishing a clear and credible Outcomes Framework now, the Mayor and the Combined Authority are preparing to work effectively within this emerging approach to place-based funding and accountability.

Indicator selection and use

Indicators in the Outcomes Framework have been selected to provide a clear picture of conditions and trends across Hull and East Yorkshire. They are drawn primarily from published national datasets with established methodologies and are intended to be stable over time.

Within the Gameplan, these indicators are used to set direction of travel, rather than to establish fixed targets. As HEYCA's role and ambition are confirmed through the development of key strategies and investment programmes, the Outcomes Framework can be supplemented with clearer statements of intended changes to outcomes and related matters, and more specific expectations about the scale and pace of change that could reasonably be achieved.

Data sources and update frequency

The Outcomes Framework draws on a range of national and administrative data sources with different publication cycles. This affects how often individual indicators can be updated and how trends should be interpreted.

- **Infrequent and structural data:** Some indicators rely on Census-based or Census-derived datasets, including measures of population characteristics, housing conditions, skills and qualifications, and journey-to-work patterns. These datasets are highly robust but are updated infrequently, typically every ten years, with limited interim refresh. They are therefore best used to understand long-term structural conditions rather than short-term change.
- **Biennial and survey-based data:** Several indicators draw on large national surveys that are not always published annually at combined authority level. This includes personal wellbeing measures produced by the Office for National Statistics and participation or activity measures drawn from surveys such as Sport England's Active Lives Survey. These indicators are important for understanding quality of life and inclusion, but new data may only be available every two years or may be subject to statistical limitations at smaller geographies.
- **Environmental indicators:** Environmental outcomes often depend on monitoring regimes that operate over multi-year cycles. Indicators relating to biodiversity, habitat condition or certain aspects of environmental quality may therefore change slowly and may not be updated every year. These measures provide insight into long-term risks and resilience rather than immediate performance.
- **Lagged economic data:** Some economic and labour market indicators are published annually but with a time lag. Examples include earnings data from the Annual Survey of Hours and Earnings and some business and skills datasets. While these indicators are essential for understanding prosperity and inclusion, the most recent published data may reflect conditions from the previous year.

Changes since consultation

The Outcomes Framework has undergone further technical review during the consultation period and a number of changes have been made.

A number of new indicators have been added to track and consider a small number of further matters. These are:

- Good Jobs portfolio: New enterprises 1-year survival rate (GJ4)
- Better Connected portfolio: Passenger journeys on local bus services per head (BC1)
- Better Connected portfolio: Total freight (tonnes, millions) passing through ports (BC4)
- Affordable Homes portfolio: Permanent dwellings completed (H4)

The previous indicator, *Access to services by public transport, walking and cycling* has been removed. This was intended to be a composite indicator derived from a series of DfT data sets that are now understood to be discontinued. A new Transport Outcomes Framework is being developed by DfT to support governance of a new consolidated transport funding pot for Strategic Authorities from April 2026. Details will be set out in subsequent Transport Plans and related documents.

Two further indicators in the Better Connected portfolio require further technical work to understand fully their suitability and future use:

- Data sources and a baseline for BC3, *Freight modal shift*, have not yet been established due to the challenge of identifying necessary data
- BC4, *Total freight passing through the ports* has been included as a result of the challenges with BC3 but currently includes data for all Humber Ports. Future reports will seek to disaggregate this.

NEET age coverage and data availability

While national statistics on young people who are not in education, employment or training (NEET) are published for the 16–24 age group, these data are not currently available on a consistent or robust basis at local authority or combined authority level.

As a result, the Outcomes Framework uses the 16–17 NEET measure, for which reliable local data are available, reflecting statutory participation responsibilities at this stage. This does not imply that disengagement is limited to this age group but reflects current limitations in sub-regional data availability.

Annual updates and interpretation

The Mayor and the Combined Authority will publish an annual update of the Outcomes Framework, drawing together the latest available data and commentary on trends across the agreed outcomes. Annual updates will:

- incorporate new data where it is available,
- clearly identify indicators that have not been refreshed due to publication cycles, and
- provide narrative commentary on emerging policy, investment and delivery activity that may influence longer-term trends.

This approach ensures that the Outcomes Framework remains transparent and informative, while avoiding over-interpretation of short-term movements or data gaps.

Priority	Lead portfolio	Type	Indicator	Indicator Ref #	Why this matters for HEY	HEY Baseline	Relevant comparator baseline	Update Frequency	Direction of travel
Good jobs	Investment	Headline	GVA per hour worked	GJ1	Lift productivity through growth in high value sectors and businesses; improvements in infrastructure and skills; and broad-based technology adoption.	£37.5		Annual (last available 2023)	Aim to increase
Good jobs	Investment	Supporting	Gross median weekly pay	GJ2	Resident-facing prosperity measure that complements productivity and tracks rising living standards.	£593		Annual	Aim to increase
Good jobs	Investment	Supporting	Business births (new enterprise registrations)	GJ3	Signals firm creation and local entrepreneurship.	2,295		Annual (last avail. 2024)	Aim to increase
Good jobs	Investment	Supporting	New enterprises 1-year survival rate	GJ4		91.8%		Annual (last avail. 2023)	Aim to increase
Good jobs	Skills	Headline	Working-age population qualified to at least Level 3	GJ5	Matches demand in offshore wind, advanced manufacturing and logistics; levered by devolved skills budgets.	59.7%		Annual (last avail. 2024)	Aim to increase

Good jobs	Skills	Supporting	16-17 year-olds NEET	GJ6	Keeps young people connected to opportunity in coastal, rural and urban communities.	5.3%		Annual (last avail. 2023)	Aim to reduce
Good jobs	Skills	Supporting	Employment rate (16-64)	GJ7	Whole-economy signal of opportunity creation across city, towns and coast.	74.1%		Quarterly (last avail. Jun-25)	Aim to increase
Better connected	Transport	Supporting	Passenger journeys on local bus services per head	BC1	Practical test of a network that connects settlements and opens access to opportunity.	35.6		Annual	Aim to increase
Better connected	Transport	Supporting	Adults who walk or cycle for travel at least once per week	BC2	Tracks short-trip connectivity and low-cost access for smaller towns and rural areas.	33.2%		Annual	Aim to increase
Better connected	Transport	Supporting	Freight modal shift	BC3 – Inclusion TBC	Tracks share of total freight movement by each mode (focus on road and rail)				TBC
Better connected	Transport	Supporting	Total freight (tonnes, millions) passing through ports (inc. inwards & outwards freight).	BC4	Tracks scale of freight movement	20.1m		Annual (last avail. 2024)	Aim to increase

Fit and healthy	Fit and healthy	Headline	Healthy life expectancy at birth	FH1	Single, public-friendly outcome that captures the health gap and progress on prevention.	M – 57.8 F – 58.1		TBC - Every 2 years (last avail. 2021-23)	Aim to increase
Fit and healthy	Fit and healthy	Supporting	Inequality in life expectancy at birth	FH2	Keeps equity central for inner-city, coastal and rural communities.	M – 10 F – 8.4		TBC - Every 2 years (last avail. 2021-23)	Aim to reduce
Fit and healthy	Fit and healthy	Supporting	Adults physically inactive	FH3	Practical prevention lever via active travel, parks and community sport.	24.5%		2 years	Aim to increase
Affordable homes	Housing	Headline	Affordable homes delivered (gross)	H1	Supports city, towns and coast; helps first-time buyers and retains local talent.	769		Annual	Aim to increase
Affordable homes	Housing	Supporting	Net additional dwellings	H2	Core signal of supply.	2,635		Annual	Aim to increase
Affordable homes	Housing	Supporting	Permanent dwellings started	H3	Tracks changes in rate of new building.	1,740		Annual	Aim to increase
Affordable homes	Housing	Supporting	Permanent dwellings completed	H4		1,880		Annual	Aim to increase
Affordable homes	Housing	Supporting	Homes EPC C or above	H5	Links quality to lower energy costs.	50.8%		Annual	Aim to increase

- ✓ *Good jobs*
- ✓ *Better connected*
 - ✓ *Fit and healthy*
- ✓ *Affordable homes*

