

## ANNEXES A-E



## Annex A: Method statement

*Semi-structured interviews* were chosen as the primary data collection method for this part of the research on organisational behaviour and barriers. This followed a broad questionnaire survey of local transport planning officers in 18 local authorities, some 15 months earlier (reported separately in Hull & Tricker, 2005b). Interviews with experts were carried out in November/December 2005. This was followed by interviews with 23 officers from local service sectors, between December 2005 and April 2006. This covered the period leading up to the submission of final, second Local Transport Plans on 31st March 2006.

### Background to the research

Analysis of the questionnaire results and further archival research suggested that there were additional organisational requirements for the delivery of sustainable transport solutions, above those that had traditionally been employed in the field of transport planning.

The scoping and appraisal of literature included reviewing existing evidence on barriers from the perspectives of both the transport sector as well as other sectors such as land-use, environmental protection and public health aspects of sustainable transport, and 'corporate' aspects of the way local authorities function and operate with respect to delivering sustainable development (see Bibliography, Annex B).

### Expert interviews

With this knowledge, six authoritative experts were selected (using convenience sampling) to cover these fields for an exploratory scoping phase of research (see Table, below). In keeping with the categorisation used in earlier research (see Hull & Tricker, 2005b), the questions asked of the experts were based around organisational, technical (i.e. analytical), and exogenous factors. The questions (given in Annex C) were specifically focussed around the delivery of sustainable transport modes and, through that, decreased CO<sub>2</sub> emissions from the transport sector. This was identified from the literature (e.g. Mathew, 2005; CSE, 2005) as one of the key nodes around which different professions might be required to interact to deliver sustainable solutions at the local level.

Position of individuals interviewed	Specialist area
Academic – clinical and health services university research centre	Public Health
Local authority officers – transport/air quality, and land-use planning	Land-use and Air Quality
National campaigner – NGO	Walking and cycling (low CO <sub>2</sub> modes)
Bus users' representative	Public transport
Local Strategic Partnership environmental group member	Environmental protection and partnerships

**Table.** Individual specialists interviewed in expert scoping round of research

## Local interviews

The information gathered during expert interviews was then used to design robust and salient research questions for local authority counterparts in each of the five service sectors identified: the public health, land-use, transport, environmental, and corporate strategy elements of local public service delivery (see Table, below). On the basis of views expressed confidentially in the questionnaire survey and various informal meetings between DISTILLATE and its local authority partners, five local authority case study areas were selected. Reviews of these local authorities' websites were carried out to identify organisational structures, to see to what extent policy linkages were made between departments, and identify possible names of departments from which interviewees might be sourced. Organograms (i.e. management structure charts) were also collected for all 16 DISTILLATE LAs (however, some of those available related to officer/management structures while others referred to political/Member structures; in turn, the websites have a different grouping of information compared to that suggested by the formal organisational charts).

DISTILLATE's primary contact person within each LA was asked to complete a proforma suggesting names of people we could contact to arrange interviews. In some cases this involved briefing relevant colleagues over the nature of the research and their local authority's commitment to it, in order to ease communications and gain buy-in into the project within the wider parts of the authority outside of transport planning. Although every effort was made to interview a policy sector representative from each service area in each local authority setting, this was not always possible because of not being able to set-up interviews for some contacts, or existing commitments to DISTILLATE research (i.e. to avoid overlapping). However, it was felt that a good spread of views was obtained from the sample (Table, below).

Policy sector (total number interviewed)	Position of local authority interviewee	Type of authority
Land-use planning (6)	Head of Service	Unitary
	Senior Planner	County
	Citywide Planning Team Manager, and Principal Planning Officer	Unitary
	Major Projects Acting Team Manager	Metropolitan Borough
	Planning Policy Team Manager	Metropolitan Borough
Environmental Strategy (4)	Principal Air Quality Officer	Metropolitan Borough
	Head of Service	Unitary
	Environmental Strategy Manager	County
	Environmental Quality Team Manager	Unitary
Public Health (5)	Director of Public Health	PCT (Metropolitan Borough)
	Deputy Director of Public Health	PCT (County)
	Health Promotion Officer	PCT (Metropolitan Borough)
	Health Promotion Officer	PCT (Unitary)
	Public Health Strategy Manager	Unitary
Corporate Strategy (4)	Strategic Policy Unit Manager, and Policy Analyst	County
	Head of Service for Regional Policy	Unitary
	Corporate and Sustainability Policy Manager	Metropolitan Borough
Transport Planning (4)	2 Principal Transport Planners	County
	Special Projects Coordinator	Unitary
	Transport Policy and Programmes Manager	Metropolitan Borough

**Table.** Officers interviewed from local authority service sectors

## Survey design

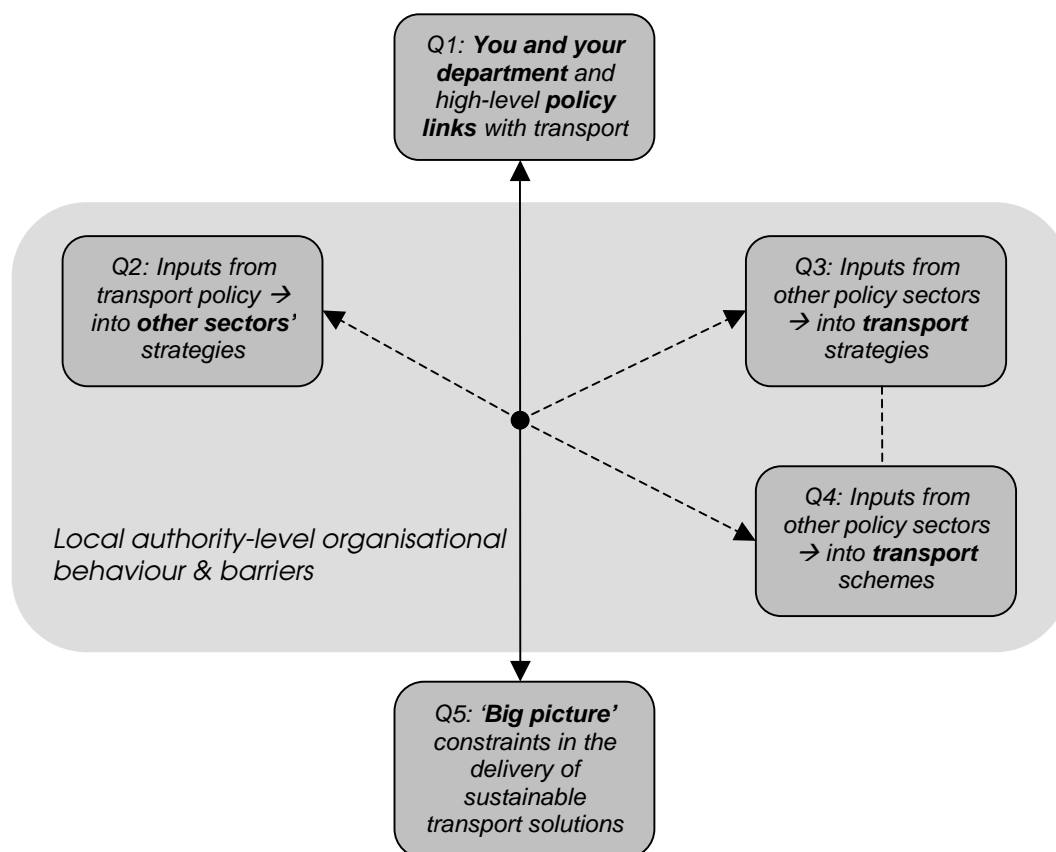
Following further reviews of local government literature relating to organisational structures and ways of working (see Bibliography, Annex B), a set of interview questions were prepared for the one-hour confidential interviews in each local authority. These were re-drafted internally within the research team, and checked for scope of coverage with the initial questionnaire survey on barriers, to ensure they were relevant to other projects on analytical support tools and organisational decision-making and delivery within DISTILLATE. Management and policy linkages were assumed; interactions across policy sectors employed the null hypothesis. Specific topics addressed during the interviews included cross-sector linkages, identifying (with references made to questions in the interview guide in brackets – see Annex D for details):

- **layers of management** where interaction does and does not occur (senior officer/manager/staff), and whether these links are informal or formal (Qq2a, 3a, 4a)
- **levels of the policy process** (problem ID, policy/strategy, schemes before and after implementation) where interaction does and does not occur (2a, 3a, 4a)
- which **sectors** interact with transport (Qq1, 2a, 3a, 4a)
- what the **perceived barriers** are *within the transport sector* (Qq2b, 3b, 4b)
- what the **barriers** are *within other sectors* (Qq2b, 3b, 4b)
- what the **barriers** are *between other sectors and transport*, and between other sectors outside of transport (e.g. environmental and health) (Qq2b, 3b, 4b)
- what **external parameters** are perceived to be important outside of both sectors (e.g. wider Government policy, public acceptability etc.) (Q5)

## Data analysis

All raw data collected was treated as confidential and non-attributable to specific organisations or individuals. The interview data collected were thematically analysed to aid each subsequent stage of the research; for example, the expert interviews were formally analysed according to the interview questions subsequently set for the second round of local authority interviews. This information was then used as an aide memoir prior to each local interview. The data collected from the interviews in local authority settings (the main body of data collected for the study) were coded according to five sub-analytical themes:

- Motives, magnets, and springboards for interaction;
- Organisational behaviour and ways of working;
- Tricky issues and barriers;
- Transport favourites (i.e. policy instruments);
- Plans and strategies.



**Figure.** Topics in local authority interviews

The data collected was then tabulated and synthesised across policy sectors, to retain the anonymity of the individuals and organisations interviewed and made reference to. The final product of this analysis is presented in Sections 3 and 4 in the main body of this report. A separate summary at the end of Section 4 was made regarding key weaknesses in the analytical methodologies used to support the delivery of sustainable transport solutions, in order to set an appropriate context for and aid the development of decision support tools and procedures elsewhere in DISTILLATE. All interviewees and DISTILLATE project managers were asked to comment on a draft copy of this report, and their views were taken account of in the final version of this report to ensure confidentiality had been retained and the findings of the report were both salient and an accurate representation of the views expressed during the interviews.

### Reporting and Dissemination

This report forms the formal deliverable for this part of the Project A research. References were made to the findings of the A1 research in order to cross-validate and confabulate findings of Projects A1 and A2 on the barriers to sustainable transport solutions, as given from the perspectives of practitioners involved in policy delivery at the local level. The results will be presented at conferences and to a wider group of DISTILLATE stakeholders during 2006, and will be subsequently developed through further academic research and review as academic papers and articles. A further follow-up survey of local transport practitioners will be completed in late 2007.

Sections 3 and 4 of the report examine the barriers in the transport policy cycle in detail from the perspectives of each sector. This includes transport initiatives within sectors outside mainstream transport planning, as well as the delivery of transport strategies and interventions through the Local Transport Plan process. The policy instruments and plans around which interaction is most commonly focussed are listed in Section 3. Annex E presents case study vignettes detailing what interviewees perceived to be the linkages between different sectors on transport issues, through the interactions of officers in different parts of the respective organisations, and who else might be directly or indirectly involved in this process.

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Relevant research methods websites:

[www.eu-tapestry.org](http://www.eu-tapestry.org)

[www.socialresearchmethods.net](http://www.socialresearchmethods.net)

Cabinet Office (2004) *Strategy Survival Guide June 2004*. Prime Minister's Strategy Unit. pp142-147.

<http://www.strategy.gov.uk/downloads/survivalguide/downloads/ssgv2.1.pdf>

Cabinet Office (2004) *Qualitative Research and Evaluation: How do you know why (and how) something works?* Magenta Book, Chapter 8.

[http://www.policyhub.gov.uk/downloads/Chapter\\_8.pdf](http://www.policyhub.gov.uk/downloads/Chapter_8.pdf)



## Annex B: Bibliography

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## Annex C: Interview Guide: Policy Specialists

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This guide was used to interview the policy specialists as listed in Annex A.

The primary task of DISTILLATE Project A is to develop an understanding of the organisational barriers affecting the delivery of sustainable transport solutions.

The current task is to examine the factors that inhibit a) cross-sectoral working within local authorities, and b) between local authorities and other public/private organisations. The prime focus of this current research is to assess the barriers to reducing CO<sub>2</sub> emissions from transport.

The research involves a number of expert interviews, followed by interviews with staff from a number of different departments/organisations on the barriers perceived to exist.

For the round of expert interviews, five initial themes have been devised (below) from a DISTILLATE survey and initial literature review, for further review and discussion:

1. *What is the **motive(s)** for organisations and departments to work together to deliver (sustainable) transport outcomes?*
2. *What **relationships** do not exist, that in an ideal world would exist – and at what stage in the process of delivery is a lack of these linkages most critical?*
3. *What, if any, are the **organisational barriers** hindering effective working relationships?*
4. *What, if any, are the **technical barriers** inhibiting such integration (e.g. between departments, public services, or other organisations)?*
5. *What, if any, are the **external parameters** from outside these organisations that limit the extent to which these organisations work together to deliver sustainable transport?*

The responses and discussions from these questions will be used to interrogate representatives from the relevant organisations and help to define the 'policy space' in terms of the issues and barriers faced by local authorities in their delivery of sustainable transport strategies.

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## Annex D: Interview Guide: Local Authority and PCT Officers

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This guide was used to interview the local authority and PCT officers as listed in Annex A.

### Introduction to the Project

*The aim of this research is to develop a new suite of decision-making tools to aid local authorities in their delivery of sustainable transport. The focus of this interview is on Project 'A', which is looking at how different departments and interests work together at the local level to deliver sustainable transport solutions. We are interviewing a number of people within your organisation/local area.*

*The interview will be divided up into five sections (listed below), and we have a semi-structured list of questions which we would like to ask you. We will be making a tape-recording of the interview so we can analyse the answers following the session. No data will be attributed back to individuals.*

1. **You and your department**
2. **Your sector's transport-related policies** → i.e. evidence of transport policy's impacts on your sector
3. **Your sector's role in transport policy-making processes** → i.e. evidence of your sector's impacts on local transport sector policy
4. **Your sector's role in the delivery of specific transport schemes** → i.e. evidence of your sector's impacts on transport schemes
5. **Delivering a sustainable local transport system**

*I would like to begin by asking a couple of questions about yourself and where you work.*

### 1. You and your department

- a. *Please give a short account of your current role and professional background.*
  - Length of time in job/sector/organisation
  - Training (management?)
  - Level in organisation (senior officer/manager/staff)
  - Position in organisational structure (e.g. unit and directorate)
  - Any professional affiliations
  - Previous career(s)
- b. *Please give a broad overview of the high-level policy links between your department's work and policy for the delivery of the local transport system.*
  - e.g. walking, cycling, public transport initiatives

- Legislation
- Inputs into policy

*I would like to ask you a couple of questions about the policies in your sector, and any ways they relate to transport policy.*

## **2. Your (/other non-transport) sector's transport-related policies**

*a. Does your sector have any transport-related strategies and policies?*

- How are these policies being developed and which other departments/sectors (if any) are involved in these processes?
- What are the enablers? Explicit/implicit
- Drivers for the transport and own sector policies
- Statutory/non-statutory
- Which stages in policy development does transport become involved?

*b. What are the barriers to inter-departmental working on these strategies and policies?*

- Technical (information sharing, targets, methods in use etc.)
- Inter/Intra-organisational (including barriers within transport/own sector departments, as well as at the interfaces between departments)
- External (inc. central Government/wider public policy constraints/challenges)

**[Pick up internal process/structural barriers in the other sector here]**

*Now I would like to ask you about the transport policy-making process as you see it. I have two questions relating to how your sector interacts with the local transport planners. First I want to ask you about getting involved in higher-level local policy and strategy making for transport.*

## **3. Your (/other non-transport) sector's role in transport policy-making processes**

*a. Please describe whether and how your sector is involved in decision-making processes relating to local transport strategy and policy.*

- Public sector transport policies
- Which stages of policy making?
- Local Transport Plan writing/consultation/option generation
- Walking/cycling/bus strategies
- Strength of collaboration and involvement – who is involved (is the link direct or indirect e.g. LSP board/local partnerships)
- What is the basis for this involvement (i.e. reasons/'rules')
- Is this involvement formal or informal
- What level of conversation exists (e.g. senior officer/manager/staff)
- Who else is involved?

**[Pick up internal process/structural barriers in the transport sector here]**

*b. What are the barriers to your working with other sectors on transport strategy and policy? Please discuss in terms of:*

- *technical barriers;*

- *organisational barriers;*
- *external barriers*

(e.g. technical, data availability and sharing, inter-professional communication)

*I am also interested in scheme-level delivery issues – this might include transport projects (major or small) that your sector has had an involvement in designing or implementing.*

#### **4. Your (other non-transport) sector's role in the delivery of specific transport schemes**

*a. Please describe whether and how your sector is involved in decision-making processes relating to local transport schemes*

- e.g. walking, cycling, public transport initiatives
- Strength of collaboration and who is involved (formal or informal)
- What is the basis for this involvement (i.e. reasons/'rules')
- Which stages of delivery:
  - Scheme option generation and design
  - Help with appraising schemes
  - Obtaining funding
  - Implementing schemes (i.e. staff time)
  - Monitoring responsibilities
  - Etc.
- What level of conversation exists (e.g. senior officer/manager/staff)
- Is the link direct or indirect (e.g. LSP)
- Who else is involved?

*b. What are the barriers to your working on transport scheme delivery? Please discuss in terms of:*

- *technical barriers;*
- *organisational barriers;*
- *external barriers*

(e.g. technical, data availability and sharing, inter-professional communication)

#### **5. Delivering a sustainable local transport system**

*Are there any factors outside of the local transport sector and your own sector which you feel inhibit the delivery of sustainable transport solutions in the longer term?*

- Which part of the delivery process does this affect?
- i.e. key drivers lacking
- Legislation
- Outcomes? Impacts

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## Annex E: Organisational behaviour by sector

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Annex E gives examples of the organisational linkages and types of interaction in the transport planning process. Five vignettes are given to show (not exhaustive) examples of the nature of formal and informal linkages between individual and organisational actors. Organisational linkages are given from the perspectives of those persons interviewed and as such are one person's reflection on the process, rather than being idealised organisational route-maps. These are actual anonymous examples selected from each of the five case study authorities to be illustrative of a variety of different organisational behaviours:

- They show individual and organisational linkages in the planning of transport and implementation of transport projects;
- They show some of the range of stakeholders sharing an interest in sustainable transport, and typical individuals and departments who might work on these issues;
- They introduce the organisational contexts within which barriers in the organisational delivery process might occur.

### Example 1: Land-use planner's perspective

The **strategic city planning policy team** is responsible for the LDF and RSS. There are a number of teams within the division: Section 106 staff are responsible for setting up, monitoring, and managing agreements with developers; there is also a monitoring team with both departmental and corporate interfaces. There are specific officers responsible for liaison between planning and transport divisions.

#### **a) Joint working between transport and land-use planners in the development of transport-related planning policies**

The whole city wide planning team works on the statement of community involvement (SCI). The development of land-use policy was seen to interact iteratively with transport policy. They are always a step ahead or behind each other, in terms of leading policy development, depending on the stage in the LDF/LTP. Policies are exchanged by liaison officers, and are run through the respective teams to make sure they are happy with them. Both land-use and transport people work side-by-side in the drafting of policies for the land-use chapter of the LDF; the transport liaison officer for land-use meets with the LDF team for each draft of the transport chapter, and seeks out specific transport officers for different areas of expertise where necessary. The transport team then relies on the land-use planners for the successful integration of transport aspirations into land-use planning. There is now a second-tier manager responsible for both transport policy and local development plan policy; this has improved managerial and officer-level linkages.

There are currently two elected Members covering the department: one covering strategic land-use planning work, and another covering development control and

transport. This is not seen as a barrier, because of the close working relationship between the two Members. The previous model had once executive Member covering two departments before they were merged during organisational restructuring.

### **b) Engagement with other sectors outside of transport and land-use planning**

There is a lot of internal correspondence from land-use planners with officers from across the council during land-use policy formulation, e.g. during the development of the policy framework for the LDF core strategy. A dual pronged approach was said to work well:

Informal first phase	Scoping relationship – identifying what strategies the LDF needs to take into account
Formal second phase	Document goes back to senior officers in relevant departments and is formally acknowledged and reviewed

PCTs are liaised with regarding land-use requirements, even though the LDF doesn't require engagement with the health sector. Colleagues in transport do detailed work with PCTs on policy implementation (travel plans, parking, delivery arrangements etc.), as well as high level policy work. There is a council officer who co-ordinates the council's interaction with the health sector, although this post has been variable over time, and the optimum arrangement has yet to be found; this is restricted to formal correspondence, and the relationship is not as well developed as compared to the transport sector.

### **c) Involvement of land-use planners in the development of policies in local transport plans**

Transport planners have sought information from land-use planners at their LTP workshops. Due to the high speed of the joint LTP development, land-use planners have not been involved in drafting the LTP; there had been a lot of involvement in the first LTP when it was a single authority plan. During the first LTP, the liaison officer in land-use planning had supplied text for the APR on land-use planning progress with LTP policies and proposals.

On the technical side, land-use planners would not challenge transport planners on their models, as they felt they were "both part of the same organisation", and doing so would be inappropriate. The skills brought by the transport policy side of the organisation were relied upon for these aspects. A previous land-use planner had done option development work for a previous LRT bid. This also involved feasibility studies for the Government Office, and dealing with representations through the Local Plan process, as well as safeguarding land for the track alignment. Workshops were led by a Rapid Transit Team within the transport department.

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## **Example 2: Environmental strategist's perspective**

The **air quality group** in this case study authority was charged with the task of influencing the environmental performance of the PTE-wide LTP, as well as making local improvements to air quality within its own territorial boundaries.

### **a) Interaction of air quality officers with transport planning**

Regular meetings occur between transport planners and air quality officers, and the approach to these issues is said to be much less “siloeed” than in the past; air quality issues had previously been given a very lukewarm response by transport planners. An Air Quality Partnership was set up in the city, involving the Highways Agency, local community groups, and businesses etc.; transport planners' level of engagement in this group was initially limited. Public and media awareness, particularly through independent websites run by the air quality team, was said to have helped to focus everyone’s minds around the key issues of air quality, thus putting pressure on the transport people to take greater heed of air quality issues. In fact, air quality officers are now been approached by transport planners for advice, rather than always instigating contact themselves.

The main interaction occurs between the Principal Air Quality Officer and Head of the Environmental Strategy section with the transport planners. This includes strategic-level meetings where specific needs for closer co-operation between transport and air quality are identified and discussed. Other air quality officers also get involved with transport, depending on the particular issue. There is a day-to-day close working relationship between traffic and air quality modellers. The air quality officers tend to act responsively, e.g. to requests for data from transport planners. The results of NO<sub>2</sub> diffusion tube monitoring by members of local communities was fed-back to transport planners through the air quality team; reports were also produced for DEFRA that were copied to the transport planners. Direct notification occurs with transport officers and Members where important reports are obtained.

“...particularly with transport planners and politicians – we are direct, if we get a report like the one I referred to, I’ll make sure that the Member for transport and environment gets to know about it pretty soon.”

#### *Environmental Strategy Officer*

Some environment-related posts within transport planning have been funded by central Government, for instance a car club officer was secured using DEFRA funding. The job description was written by the air quality people, and deliberately had an air quality bias. The air quality team also secured funding for a travel plan officer, for managing existing developments; this person worked for one year within the air quality team, and has now been migrated across into the transport planning team – to strengthen working relationships with transport planners. These improved internal links were actually said to have begun to help improve DEFRA’s links with the DfT, and this was seen as being quite rewarding to those involved, as the air quality side of transport planning is DEFRA-led. However, the links between the air quality team and DEFRA was said to be much stronger than with DfT. A number of modes of communication from DEFRA to the air quality officers could be identified:

From DEFRA to LA	Physical visits by DEFRA civil servants to the local authority
	DEFRA website
	DEFRA mailings
From LA to DEFRA	Personal working relationships with DEFRA civil servants
	Participation in national panels (ad hoc)
	Conferences and seminars (both ways)
	National Society for Clean Air (both ways)

### **b) Engagement with other sectors outside of transport planning**

The LSP's Environment group is chaired by a senior air quality officer; the Principal Air Quality Officer, on the other hand, does not get involved aside from occasional workshops. The LSP coordinator sits in the air quality team, reporting to the board of the LSP. Air quality officers also work with PCTs, including with transport officers on the HIA of proposed motorway changes. Area Panels are also set up for, and run by, local councillors, and there are a number of area-based strategy groups each of which include air quality, land-use, and transport planning officers. Some of these meetings are held by a local business body with its Director involved in that group; there are various area forums that have a close relationship with air quality people. Engagement of the private sector occurs through planning agreements and s106 monies procured by transport officers, for example for car clubs in the city centre.

### **c) Involvement of environmental quality officers in the LTP process**

Air quality officers' role is restricted mainly to commenting on drafts of the LTP during its development. The air quality officers tend to receive transport-related official government information (such as guidance and other publications) from DfT via transport officers in the organisation.

The focus of this particular authority is said to be on trying to persuade other authorities in the PTE area that some of the things being worked on in the case study authority could be applicable and replicable across the entire PTE area. The LTP is a PTE-wide plan, therefore local air quality officers try to work with other councils in the PTE area on air quality issues. There are separate working groups for each of the shared priorities. There is a working group of air quality officers, chaired by a transport planner, around the LTP2 development. This includes suggesting and advocating further investigation into Low Emissions Zones; DEFRA funding has recently been received for an LEZ feasibility and scoping study. The air quality working group feeds back to the LTP Executive Group on air quality issues.

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### **Example 3: Public health officer's perspective**

The **Director of Public Health** (DPH) interviewed has both an independent and PCT-related role in relation to public health promotion: The DPH is an independent

advisor to the council on health related matters, and also has a close informal relationship with the head of the transport planning team in terms of pressing for improvements to be made to the transport system. The involvement is said to be interactive, involving the shaping of each other's ideas over a number of years. The relationship with transport planners and engineers is said to be "sparky". However, the possibility of a formal part-time post funded by the council to advise on public health issues is currently being discussed. The interaction between transport and health was generally said to be good at all levels. The PCT also has a dedicated transport and green space worker. The local authority in this example was said to have very "porous" organisational boundaries.

#### **a) Methods of inputs from public health into transport and land-use planning**

The DPHs meet regularly once a month across the conurbation to discuss public health issues. All DPHs within a shared, conurbation-wide LTP area submitted a joint response to the LTP2 consultation. There is talk of possible future workshops to discuss a vision for transport in relation to health. The relationship of the DPH with local LSP groups is said to be more ad hoc. There is also an Accessibility Working Group which meets to discuss issues around access to health care .

Although the DPH engages with land-use planners on transport issues, it was declared to be unclear how strongly existing UDP planning policies (made under the previous planning system) influenced the work of the development control department. The DPH has in the past acted as an expert witness in court against the council with respect to rights of way decisions. However, he 'would not see it as his role to be involved in the design and development of schemes'; his role is restricted to advocacy, rather than design.

Other involvement in transport issues occurs as part of the conurbation-wide Neighbourhood Road Safety Initiative. The PCT is also involved in the shaping of Health Impact Assessments (HIAs) for a major road scheme, as well as the LTP itself. There are no direct resources in terms of funding that the PCT can bring to aid monitoring programmes such as for walking, however.

#### **b) The council's inputs into Public Health promotion**

The council produces a formal response to the DPH's Annual Public Health Report (APHR); this is a document that has been written independently by the DPH for the PCT. The council also has a Public Health Leadership Group which is co-chaired by the DPH with the council's Executive Member for Public Health.

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### **Example 4: Corporate policy officer's perspective**

One local authority was particularly concerned with being at the heart of the development of regional policy for economic development. The role of the **Regional Policy Unit** within the Chief Executive's department had evolved into a team which provides links from the local authority into external regional policy forums, and develops regional policy links to other service sectors within the authority.

#### **a) Development of regional policy**

*External Links*

The Regional Policy Unit acts as an intermediary to influence external players' perception and thinking about cities, as well as providing policy support and encouraging alignment of policies towards the regional agenda. Three supra-local bodies governing the development of city-oriented regional policies were in existence: a group of eight prominent English cities (Core Cities Group), a grouping of cities within the regional area (Key Cities Group), and a wider grouping of local authorities focussing on economic development in the area surrounding the case local authority (City Region). The latter was being taken forward as a wider development strategy covering three city regions. It is through these networks that the Regional Policy Unit was able to take its work forward. Transport was said to play a key role in the thinking and policy development of all these work streams.

The City Region work had led to the growth of the Regional Policy Unit over time. The regional and urban policy agenda has grown incrementally, initially with increasing workload surrounding the Core Cities, and latterly through the commitment to City Region working. The case city provides the secretariat for City Region working, as well as leading its policy development and thinking. The case city had led on some transport work for the DfT on behalf the Core Cities; this transport policy group included DfT, SRA, ODPM, PTEG, HA, airports, RDAs, and Government Offices for the Regions. This work focussed on how current transport policy did, or did not, support cities. A working group of local transport authorities (also including a PTE and some public transport operators) was also set up to look at transport connectivity within the City Region.

The city council's Chief Executive is honorary secretary to the Regional Assembly, and the Leader of the council attends Regional Assembly meetings and is the Regional Assembly's representative on the Regional Transport Board. The Head of Transport Policy also sits on the officer group that supports the RTB. The case city could not be the City Region representative for transport on the multi-regional strategy work, however, as it was already on the Steering Group for that body. The transport planners from each city region talk to each other to ensure that there is a consensus to take into the multi-regional work.

Involvement in the Regional Spatial Strategy was on an informal and ongoing basis, rather than relying on public consultation "at the end", but a formal response was also submitted during the consultation. The Key Cities Group use a Virtual Knowledge Park, hosted by a local university, although this is not used generally for the regional policy agenda.

### *Internal Links*

There were said to be close links between the Regional Policy Unit and the Transport Policy Division within the local authority. This was exemplified in the transport work for the Core Cities (above) where both teams were involved in pulling this work together. This included inputs from both Heads of Service as part of a national review of issues associated with transport and economic competitiveness. The Transport Policy Team was, again, very much plugged into City Region work around connectivity, with its Head of Service taking forward these ideas as the transport 'compact' representative for all three City Regions in multi-regional strategy development. Learning on transport-related issues was therefore circulated, and fed back from all three city regions into the city's local transport planning. There is a close relationship between Regional Policy and Transport Policy divisions, so that transport planners will send across anything that is

relevant to regional/economic policy, e.g. with regards to development of the Airports Masterplan.

Close working between transport and regional policy also occurred in order to adequately brief the council's Chief Executive and Leader for regional meetings. Interaction mainly occurred between Heads of Service, but there was also interaction between the Regional Policy Unit and specific teams in Transport Policy. Meetings were also being set up within the council for all those involved in the regional agenda, such as the Regional Transport Board, Regional Housing Board, etc. This was in order to present a common and consistent corporate voice to the different forums that exist at the regional level (i.e. RTB, RHB, RA, RDA, GOR).

Regular email contact occurs between the Regional Policy Unit and other departments. The council also has its own intranet, including regional policy and transport/development pages; this is used mainly as an archive rather than for real-time information. The Development Department also produces monthly bulletins which the Regional Policy Unit contributes to, badged as a publication of the LSP. The level of involvement with other departments was overwhelmingly focussed on the policy side; more detailed aspects of urban design and the public realm are carried out by a civic architect. Most regional policy work interfaces with the Development Department (through the provision of elements of strategy and direction) or the LSP, but the following services also lend expert advice:

- Housing and neighbourhoods – on regional housing matters
- Learning and leisure – on skills issues

The council is currently working on a project management framework to ensure that projects are developed in a similar way across different departments.

#### **b) Engagement of Corporate Policy Officers in the development of the local transport plan**

Transport-related interaction occurs mainly around the Regional Spatial Strategy, the Core Cities' transport policy, and inputs into the LTP. The Head of Regional Policy claimed not to be involved in the development of the LTP, aside from commenting on drafts to input views on how well it joins up with regional/city region policy and economic competitiveness objectives. The Regional Policy Unit did not submit a formal response to the public consultation on the LTP; involvement with the transport planning team was more on an informal basis as the plan developed. The Regional Policy Unit is not involved at all in the detail of individual projects or schemes.

<p>“It is more about ensuring that priorities are reflected in plan documents [rather] than being involved in individual schemes.”</p>
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#### *Corporate Policy Officer*

The Regional Policy team provides evidence to the Transport Policy division on regional policy, where it can be used to support specific schemes, e.g. a major scheme bid for LRT, or arguments presented to government at the strategic level. In turn, the Transport Policy people were able to provide information on a proposed LRT scheme so that the Regional Policy team could effectively put forward the case during a Ministerial visit.

### **c) Development of local corporate priorities**

The Corporate Plan and Council Plan were produced by the Performance and Improvement Team within the Chief Executive's Office. The work of this team includes performance assessment and making sure that services are delivering what the public wants, and that service is improving. All departments across the council are involved in the development of the Corporate Plan and the identification of priorities within that, fed from the Local Strategic Partnership's 'Vision' document.

The Corporate Plan involves agencies such as the police, the health authority, and the private sector, and all those partners involved in the development of the LSP's Vision. Partnership working within the case study local authority setting was said to be well developed and very mature, with a clear sense of priorities shared between the LSP Vision, Corporate Plan, and the PTE. At the LSP level, two executives (Going Up A League, and Narrowing the Gap) existed, with regional and transport policy represented strongly in the former and feeding back out into the LTP.

The service planning element was very strong in this authority. Teams developed service plans during away days, and then in one to one meetings the Head of Service takes the plan to other services that regional policy impacts upon. Particularly strong links existed with policy experts in these areas. Expertise was pulled in from other policy areas to join policies up at the sub-regional and regional level. A number of Corporate Policy Boards also exist which relate to the Corporate Plan, to ensure objectives are being met and that the council's policy was joined up. This includes a City Development board with representation from both regional policy and transport.

There are no 'corporate' representatives within individual divisions of the local authority, but many service functions are "corporate facing", particularly at a senior level.

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### **Example 5: Transport planner's perspective**

The **highways and transport department** in this authority is charged with delivering a cross-cutting transport agenda through its own Local Transport Plan. It is divided into two groups – one for transport and development (transport planning), and one for passenger transport; both of these groups are equally engaged in policy-level work. As a whole, the highways and transport department covers the maintenance and management of the authority's transport network (including road safety, slow modes, public rights of way, school journeys, congestion, plus travel planning coverage for over 300 employees), and public transport (i.e. interchanges, Quality Bus Partnerships, community transport).

Seminar sessions were run for new graduates working in the department, to exchange views on the transport planning approach used in the local authority. Four local transport area offices attached to the council are in charge of implementing 'hard' engineering works up to £1M in cost, and also to attend to the maintenance of built structures, gully emptying, and pothole repairs. The budget of these offices stands at over £100Mpa (c. 80% for network maintenance and

operation, 5% on carriageway and bridge maintenance, and 15% on integrated transport works in the LTP).

### **a) Structure of transport delivery**

The transport and development group has two teams with different remits (below):

1) *policy, strategic policy, and direction*. This consists of two sub-teams each of 6 people, divided territorially:

- a. sustainable community growth areas
- b. rest of local authority

Each sub-team has at least two principal transport planners, and a number of graduates.

2) *development control* (relating to housing growth, ports, and Local Development Documents).

A separate passenger transport group is charged with the development and delivery of major schemes, including working on business cases, compulsory purchase and statutory order processes for development, plus detailed costing and planning of schemes.

### **b) Processes of transport delivery**

Meetings occur internally between group managers (transport planning and passenger transport) and section heads (e.g. strategic transport policy and major schemes). Monthly meetings also occur within sections between principal managers to ensure that work is being spread evenly, and to assess which pieces of work are 'hot' and which have 'cooled off'. The transport planners have to respond to issues arising such as working on finalising the Local Transport Plan, as well as addressing Member concerns arising from written letters from members of the public.

Other areas of the authority tended to use internal forums such as the LTP Working Group or Steering Group, rather than taking formal consultations as an opportunity to respond to the LTP. Accessibility Planning, as part of the LTP process, involved partners in other sectors. It had been initiated in the transport planning group, but had now moved into the passenger transport group for implementation. The focus of schemes was said to be much more detailed and less specific, potentially limiting other sectors' involvement at the level of scheme development.

“Senior officers do now have built into their performances what are they going to do to reduce congestion, whether it is through education, social services, community transport issues and such-like; there is now a requirement for Heads of Service to consider what are they going to do to deliver Highways and Transportation targets – especially the congestion one....”

*Transport Planner*

There was a developing relationship in terms of successes with the education department within the authority.

“You can only expect education departments to support and facilitate our ideas around transport. Their role is to deliver education services ultimately.”

### *Transport Planner*

Additionally, other sectors were involved in the development of the LTP through meetings, working groups, steering groups, emails, and the building of relationships with external bodies such as the RDA, HA, SRA/DfT Rail, DfT, GOR, RA etc.). On completion of the LTP, copies were sent to the Government Office, DfT, and DEFRA (for PRoW and air quality checks). Specialist contractors are used to manage the implementation schemes above £1M. All other work at the local level is done by locally-based Area Officers; this is largely necessary because of the large areal extent of the authority. Regional Assembly sub-regional areas were used to try to plan in a way that makes sense in transport planning terms.

#### **c) Engagement with land-use planners**

Historically, there has been a close relationship with planning teams, situated in a different department/service area, in developing strategic responses to the Regional Spatial Strategy, e.g. with respect to airports and housing growth, and long-term impacts upon surface transport. The transport planning department also help develop some of the transport-related elements in Local Development Documents. Close working between transport planners, land-use planners, and economic development people is also said to occur in sub-regional working groups, bringing together ‘strengths, skills, and priorities’ within the levels of funding available.

#### **d) Engagement with environmental strategists**

Close working with the council’s environmental team in a different department of the local authority was said to occur for both the development of strategy and schemes. Strategic Environmental Assessment was conducted in-house by the environmental strategy team. Environmental officers also give presentations to communicate with transport planners, and feed into the processes of scheme delivery. Consultants were used to ‘major in’ on assessing environmental impacts, risks, and impact mitigation work for schemes.

#### **e) Engagement with public health issues and corporate policy**

Interaction with health and corporate policy agendas was said to occur through the development of the Local Area Agreement by partners in the Local Strategic Partnership. Total investment (including LTP and revenue funding) into the LAA by partners was predicted to be greater than £<sup>3</sup>/<sub>4</sub>M.

Involvement of transport planners in the design of this agreement was restricted to specific groups within the departments involved in the delivery of existing Public Service Agreements (PSAs), which were similar to and closely linked with the LAA. Specific teams are involved in delivering the LAA targets, for example on journey time reliability, road casualty reduction etc., and negotiating with other partners as to their financial contribution to the agreement (for example, the level of investment by the Police in Road Camera Safety Partnerships).

The LSP was said to be valuable for identifying who transport people should be talking to in the development of the LTP, or in the development of specific schemes which were said to be the 'right ones' to take forward. Community Strategy teams were involved early-on in the LTP, and transport planners were able to use the opinion polling carried out by the LSP for investigating perceptions of transport-related issues.