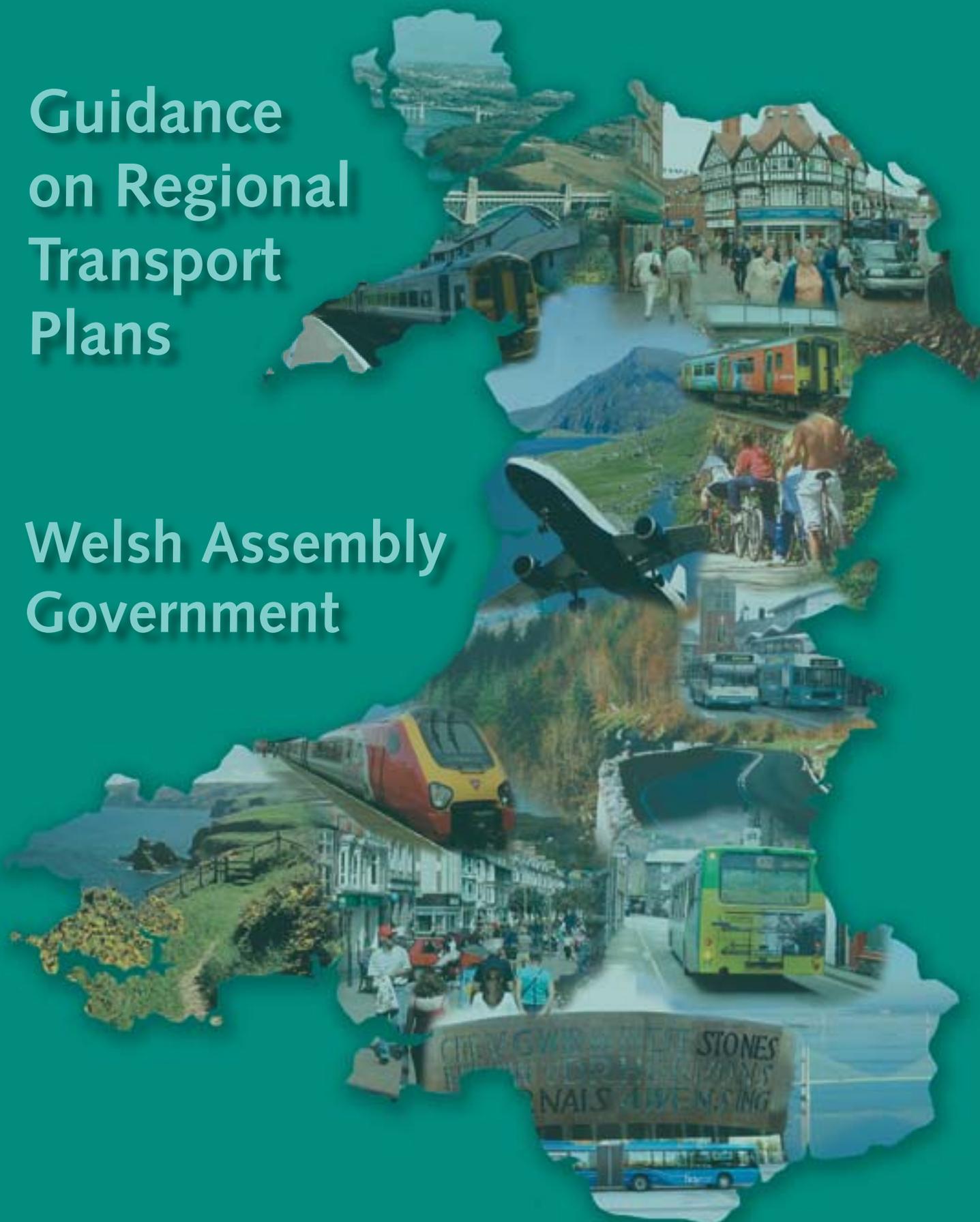


# Guidance on Regional Transport Plans

## Welsh Assembly Government



Version 3  
April 2007



Uywodraeth Cynulliad Cymru  
Welsh Assembly Government

# Contents

<b>Part 1</b>	<b>Setting the scene</b>	<b>1</b>
<b>1.</b>	<b>Purpose of the Guidance</b>	<b>2</b>
	Overall aims	2
<b>2.</b>	<b>Policy Background</b>	<b>4</b>
	Wales Transport Strategy	4
	Wales Spatial Plan	10
	The Transport (Wales) Act 2006	13
<b>3.</b>	<b>Role of Regional Transport Plans</b>	<b>14</b>
	Organisational context	14
	A dynamic plan	15
	Changes from the existing Local Transport Plan system	15
	Working in Partnership	17
<b>Part 2</b>	<b>Form and content of regional transport plans</b>	<b>19</b>
<b>4.</b>	<b>Content, structure and process of RTP's</b>	<b>20</b>
	Transport context	20
	Assessment of transport problems and opportunities (stage 1)	23
	Identification of regional priorities (stage 2)	25
	Option generation (stage 3)	25
	Strategy development and appraisal (stage 4)	28
	5 year implementation programme and longer term strategy (stage 5)	30
	Monitoring and evaluation (stage 6)	31
	Analysis of cross-cutting issues	32
<b>5.</b>	<b>Participation and consultation</b>	<b>34</b>
<b>6.</b>	<b>Transport planning in Local Authorities</b>	<b>38</b>

<b>7.</b>	<b>Legislative requirements</b>	<b>45</b>
<b>Part 3</b>	<b>Delivering the plan</b>	<b>46</b>
<b>8.</b>	<b>Scheme delivery</b>	<b>47</b>
	Appraisal	47
	SEA Regulations for Wales	48
	Implementation	49
<b>9.</b>	<b>Funding mechanism</b>	<b>52</b>
	Overview of funding arrangements	52
	Funding criteria	52
	Development of the funding system	54
<b>10.</b>	<b>Cross Cutting Agenda</b>	<b>57</b>
	Policy Gateway	57
	Cross cutting analysis	58
	Internal Relationships	59
	Wider and external relationships	60
	Proofing the Plan	61
	Health impact Assessment	62
<b>11.</b>	<b>Accessibility Planning</b>	<b>63</b>
	Accessibility planning structure	64
	Scope of Regional Transport Plan accessibility work	67
	Wales Transport Strategy Outcome Monitoring	67
<b>Part 4</b>	<b>Appraisal and monitoring of plans</b>	<b>69</b>
<b>12.</b>	<b>Plan Appraisal</b>	<b>70</b>
	Plan development and WeITAG appraisal	71
<b>13.</b>	<b>Monitoring</b>	<b>80</b>

<b>Part 5 Programme</b>	<b>82</b>
<b>14. RTP development programme</b>	<b>83</b>
Work in 2006	84
Outline RTPs	84
Consultation	85
Transitional arrangements	85
Plan process on track	86
Presentational requirements	86
Annual Progress Reports post 2008	88
Improving efficiency	88
Fine tuning the plan	88

## **Figures**

Figure 1 – Policy context for transport planning in Wales

Figure 2 – Regional Transport Plan development and appraisal process

Figure 3 – Summary of regional priorities and objectives

## **Annexes**

Annex A – Supporting Policy Documents

Annex B – SEA for Regional Transport Plans

Annex C – Legislation of relevance to transport

Annex D – Wales Transport Strategy outcomes and themes

Annex E – Summary of regional priorities and objectives

Annex F – Component strategies

Annex G – Costed implementation programme

Annex H – Regional Indicators

Annex J – Accessibility planning

Annex K – Return details for submissions

Date: April 2007

Regional Transport Plan Guidance (A) main  
Version 3

## **Part 1 - Setting the scene**

**Chapter 1** sets out the purpose of the guidance focusing on the overall **aims** of the Guidance.

**Chapter 2** focuses on the **policy background** to Regional Transport Plans and how Regional Transport Plans fits into the delivery of the Wales Transport Strategy, Wales Spatial Plan and the general requirements of the Transport (Wales) Act 2006.

**Chapter 3** sets out the **role** and the underlying concepts of the Regional Transport Plans.

## Chapter 1 Purpose of the Guidance

### Overall aims

- 1.1 This document sets out the Welsh Assembly Government's guidance to the Regional Transport Consortia (the Consortia) and their constituent Local Authorities on the approaches and methods they should adopt in drawing up the new Regional Transport Plans (RTP).
- 1.2 The Order facilitating the production of RTPs in succession to Local Transport Plans (LTPs) has been passed by the National Assembly for Wales - coming into force on 23<sup>rd</sup> November 2006.
- 1.3 The target audience for this guidance are those responsible for developing RTPs in the Local Authorities and the Consortia. As a public document, it is to be available to the wider stakeholders in the process and the community in general.
- 1.4 The RTP guidance aims to:
- Provide guidance on the Welsh Assembly Government's intentions in developing and establishing the scope of the plans;
  - Provide guidance on the Welsh Assembly Government's detailed requirements concerning the content, format, dates and periodicity of submission and related details of the RTPs to be submitted to it;
  - Provide particular guidance on the monitoring and performance assessment regime the Welsh Assembly Government seeks to see adopted for regional transport planning in Wales.
- 1.5 This guidance is principally concerned with practical process matters faced by the Consortia and Local Authorities in developing their RTP. Transport planning policy guidance is featured in this document, but is largely drawn from the lead given by Welsh Assembly Government policy documents and UK and European legislation.
- 1.6 The guidance will enable the Welsh Assembly Government to provide the Consortia with a clear framework for developing their RTPs, based on a set of Welsh transport outcomes and strategy derived from the Wales Transport Strategy (WTS). This is in essence the same approach to transport policy as applies elsewhere in the UK, although with differences to suit local circumstances.
- 1.7 This guidance document is intended to be a practical guide for those involved in the process and is structured around five main themes.

- a) Part 1 (chapters 1-3) cover the principles and context for the RTPs.
- b) Part 2 (chapters 4-7) cover the expected content of the plans
- c) Part 3 (chapters 8-11) cover the planning and delivery processes
- d) Part 4 (chapters 12 &13) cover the appraisal and monitoring of plans
- e) Part 5 (chapter 14) covers development programme matters.

## Chapter 2 Policy Background

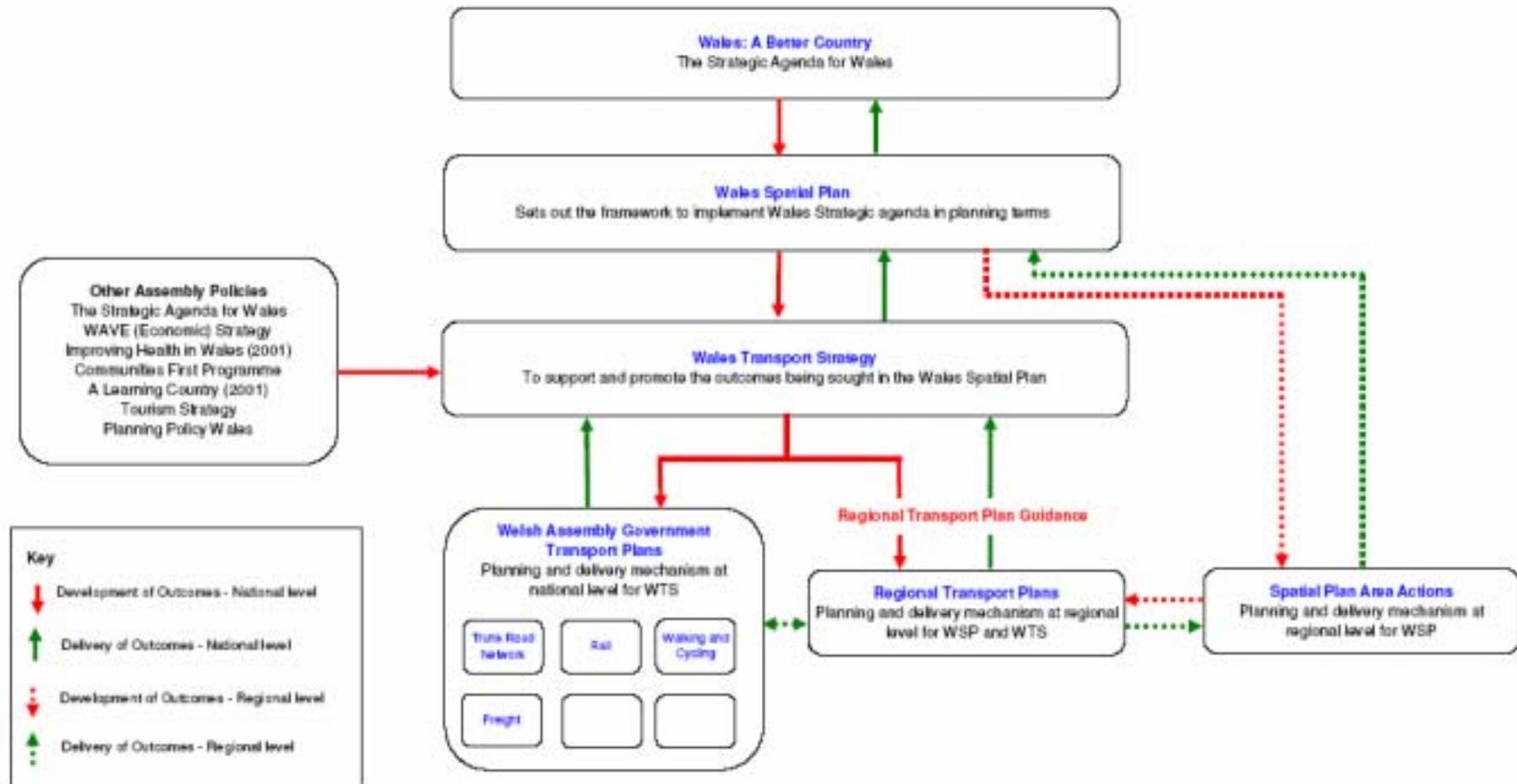
### Introduction

- 2.1 The Transport (Wales) Act 2006 and the Railways Act 2005 give the Welsh Assembly Government powers to plan and improve the transport system in Wales. Amongst the most important provisions are the requirement to produce a Wales Transport Strategy (WTS), new powers to promote regional transport planning and direct control of local and regional rail services in Wales.
- 2.2 The Wales Transport Strategy sets out how the Welsh Assembly Government proposes to deliver its transport duty.
- 2.3 At a national level the Welsh Assembly Government will develop Assembly Government Transport Plans, which include initiatives for the trunk road system, rail services, walking, cycling and freight. Meanwhile, RTPs are the main mechanism for taking forward the WTS at the regional and local level.

### Wales Transport Strategy

- 2.4 The WTS focuses on the role that transport can play in delivering the wider policy agenda of integrating transport with spatial planning, economic development, education, health, social services, environment and tourism, whilst meeting the strategic agenda set out in 'Wales: A Better Country' and the implementation framework of the Wales Spatial Plan. The vision for WTS is *"to provide a framework that connects national, regional and local policy to maximise the contribution that transport can make to achieving a sustainable future for Wales, where actions for social, economic and environmental improvement work together to create positive change."* This is articulated in the form of a series of desired outcomes and themes, explained below.
- 2.5 The relationship between the policy levels and the role of WTS outcomes are set out in Figure 1.

Figure 1 - Policy context for Transport Planning in Wales



## 2.6

The outcomes for the WTS have been developed in accordance with wider Welsh Assembly Government policies. The role of the WTS is to maximise the contribution transport can make to these outcomes and ultimately to contribute to the delivery of the Welsh Assembly Government strategic agenda. Hence, the outcomes have been grouped under the three elements of sustainability and have an accompanying description to set out the role transport can play in helping them to be achieved. The outcomes are set out in Tables 2.1 to 2.3.

**Table 2.1 Social outcomes**

<b>Outcome</b>	<b>Role of transport</b>
1. Improving access to healthcare	To identify and tackle the access barriers which prevent people getting the health services they need (including access to hospitals, GPs, dentists and specialist facilities) at the times they need, and thereby to reduce social exclusion, particularly for the most disadvantaged groups.
2. Improving access to education, training and life-long learning	To identify and tackle the access barriers which prevent people of all ages from being able to increase their skills base, thereby reducing economic inactivity and social exclusion and helping raise their opportunities in the labour market, particularly for the most disadvantaged groups.
3. Improving access to shopping and leisure facilities	To identify and tackle the access barriers which prevent people getting to a reasonable range of shopping and leisure facilities at the times they need to do so, thereby enhancing social interaction and reducing social exclusion, particularly for the most disadvantaged groups.
4. Encouraging healthy lifestyles	To promote higher levels of walking and cycling through the provision of facilities that will encourage greater use, thereby leading to a healthier population and improved quality of life both through reducing obesity levels and associated health impacts and reducing air pollution levels which are harmful to health.
5. Improving the actual and perceived safety of travel	To reduce injury accident rates, particularly for the most vulnerable road users, as well as addressing perceived safety concerns.

**Table 2.2 Economic outcomes**

<b>Outcome</b>	<b>Role of transport</b>
6. Improving connectivity within Wales and internationally	To support economic prosperity by developing improved transport networks within Wales and across its borders.
7. Improving the efficient, reliable and sustainable movement of people	To promote ways of better managing the transport network to increase its overall efficiency, so that people are able to plan journeys reliably and travel more sustainably.
8. Improving the efficient, reliable and sustainable movement of freight	To promote ways of better managing the transport network to increase the overall efficiency and reliable movement of freight. To identify opportunities that will encourage an increase in the more sustainable movement of freight.
9. Improving access to employment opportunities	To identify and tackle the access barriers which prevent people from getting to a reasonable range of employment opportunities at the times they need to do so, again helping to reduce economic inactivity and social exclusion, particularly for the most disadvantaged groups.
10. Improving access to key visitor attractions	To ensure people have the opportunity to experience and enjoy Wales' visitor attractions and appreciate its distinctiveness, thus helping to increase economic prosperity and the social and cultural well-being of people in Wales.
11. Increasing the use of more sustainable materials in the maintenance of Wales' transport assets and in the provision of new transport infrastructure.	It will be critical to consider how transport assets can be maintained and constructed whilst achieving a more sustainable pattern of consumption and production. The focus will be on the efficient use of materials, including minimising waste and maximising reuse of materials, and the use of recycled and secondary materials wherever possible.

**Table 2.3 Environmental outcomes**

<b>Outcome</b>	<b>Role of transport</b>
12. Reducing the contribution of transport to greenhouse gas emissions	To promote the use of transport measures and initiatives that reduce the contribution that transport makes to greenhouse gas emissions.

<b>Outcome</b>	<b>Role of transport</b>
12a. Adapting to the impacts of climate change	To ensure that transport networks (existing and future) are adapted to cope with climate change, specifically temperature increase and flood risk.
12b. Reducing the contribution of transport on to air pollution and other harmful pollutant emissions	To reduce the contribution transport makes to emissions of those pollutants identified within the UK Air Quality Strategy as harmful to human health and the environment.
13. Reducing the negative impact of transport on the local environment - water pollution, soil loss and land contamination, noise and vibration, light pollution and links between communities	To reduce the individual and cumulative impacts of all transport measures on the built and natural environment and their impact on people. This applies to existing and new infrastructure.
14. Reducing the negative impact of transport on our heritage – landscape, townscape, historical environment and Wales' distinctiveness	To promote the choice and design of transport measures that will not degrade Wales' natural and built heritage and where appropriate, seek to actively enhance this heritage. This applies to existing and new infrastructure.
15. Reducing negative impacts of transport on biodiversity and increasing positive impacts.	To protect and if possible enhance biodiversity both on land and in marine environments, when considering improvements to existing transport measures and for new transport measures. Also, with regards to mitigation where transport has had a significant negative effect, to use opportunities to enhance the value of features affected.

2.7 The Consortia are required to use these outcomes to frame and guide the RTP and the ensuing schemes and interventions. The outcomes also form the basis of regional transport planning policy for the horizon of the WTS.

2.8 Each RTP needs to identify how it can best contribute towards meeting the WTS outcomes. It will do this by identifying regional priorities which, although

reflecting local problems and opportunities, are also consistent with the overall WTS framework.

- 2.9 To address current trends in transport and to meet the desired outcomes, the WTS focuses on three key themes. These themes need to be considered throughout the development of RTPs. The themes are:

**Theme 1: To achieve a more effective and efficient transport system**

Greater efficiency in terms of vehicle technology, as well as seeking more efficient use of available infrastructure (for example achieving higher capacity on some existing routes) is promoted. In some cases, provision of new infrastructure will also be required if the effectiveness of the system is to be ensured. The Welsh Assembly Government is also seeking more efficient use of resources and promoting more co-ordinated decision making across different policy areas.

**Theme 2: To achieve greater use of the more sustainable and healthy forms of travel**

Specifically, a reduction in single-occupancy car use is sought, by promoting greater use of car sharing, public transport, walking and cycling. This will reduce the environmental impacts of travel and help to improve opportunities for those without access to a car.

**Theme 3: To minimise the need to travel**

It is recognised that travel can broaden people's horizons. However, if greenhouse gas emissions and congestion are to be reduced there is a need to consider ways in which people could still access services whilst minimising the need for car travel, particularly single-occupancy. This could be by seeking to minimise the number of journeys made (for example by encouraging greater use of teleconferencing and home working), and seeking to reduce the average length of journeys (for example through better land-use planning). The focus will be on car travel, as, for example, higher levels of walking and cycling are beneficial to health.

- 2.10 These themes derive from an assessment of the transport challenges facing the country and the Welsh Assembly Government's consideration of how best to address them. Their importance will vary depending on the specific local circumstances and the particular WTS outcome being sought. For any given situation, the correct balance between the three themes needs to be achieved.

- 2.11 The transport planning causal chain therefore works from the national challenges themes, through the WTS outcomes to the RTP priorities and regional and local policies and initiatives.

- 2.12 It is intended that the Consortia will develop transport priorities that are appropriate to their region, but which also seek address the outcomes identified in the WTS given above.
- 2.13 The WTS summarises its intended influence via a series of key messages and these are detailed in Annex D.

### **Wales Spatial Plan (WSP)**

- 2.14 The Spatial Plan is a 20-year vision for Wales. It seeks to provide a spatial dimension to long term planning that recognises the different needs and challenges experienced in different parts of Wales. It also seeks to achieve a greater degree of **policy integration** through ensuring **collaboration** between sectors and organisations and across geographical boundaries.
- 2.15 Hence, the role of the WSP is to:
- Ensure the Welsh Assembly Government and its partners and agents develop policy in ways which take account of the different challenges and opportunities in the different parts of Wales.
  - Provide a basis and momentum for working together on a shared agenda locally, so that the different parts of Wales can establish their own distinctive approaches to meet the objectives set in the strategic plan and the Welsh Assembly Government's Sustainable Development Scheme.
- 2.16 The plan is structured into national and area level sections. At the national level there is an overarching vision and five policy themes (see Annex A2). The national themes provide a key focus for the development of the WTS outcomes.
- 2.17 At the area level, the WSP divides Wales into 6 spatial areas. This enables different parts of Wales to provide a distinctive response to delivering the national vision. It is at this area level that the Consortia are expected to be involved, through their role in the development and implementation of the RTP.

### WSP Area Work and Collaboration Structures

- 2.18 The current Spatial Plan (adopted 2004) sets out the broad vision and objectives for the 6 spatial plan areas. In order to implement the vision and objectives, spatial plan groups have been established in each area, made up of a partnership between local authorities, Welsh Assembly Government and the environment, equality, voluntary and employment sectors.
- 2.19 Each spatial plan group has embarked on a series of projects that seek to establish the strategic agenda for economic, social and environmental development at a sub regional level in order to meet the area visions. This

work will identify the role and function of places and set the basis for policy and investment in a whole range of sectors. In particular, it will set out the strategic locations for travel generating activities including housing, employment, tourism, leisure, health and retail. The outputs from the work will inform key investment programmes, such as the 2007-2013 (EU) convergence programme, Welsh Assembly Government policy reviews, such as Wales: A Vibrant Economy and the policies and programmes or partners, such as Local Development Plans and Community Strategies.

2.20 It is therefore essential that the Consortia work closely with each spatial plan group in developing this strategic agenda in each area. **Consortia should not regard the WSP and RTPs as separate strategies and the transport content of both ought to originate from the same basis of thinking as far as possible.** The spatial priorities need to inform the strategic transport proposals at regional and local levels, but at the same time be informed by what is realistic in transport terms. The Welsh Assembly Government, in funding key regional transport schemes will look for evidence that this iteration has taken place in practice, assessing schemes for 'fit' with the regional strategic agenda set out in the Spatial Plan.

2.21 The boundaries of the spatial plan areas are necessarily ambiguous to encourage greater cross-boundary working that reflects a complex set of functional relationships and linkages between places. This means that certain Consortia will need to work with one or more spatial plan groups, as set out below:

- **TAITH** – North East Wales, North West Wales and Central Wales
- **TRACC** – Central Wales
- **SWWITCH** – Pembrokeshire Haven, Swansea Bay Western Valleys, and Central Wales
- **SEWTA** – South East Wales

#### Progress

2.22 The spatial plan strategic development work will continue throughout 2007, with a view to the work forming the basis of an update in Autumn 2007. Consultation on the WSP is broadly aimed at taking place in the latter half of 2007, therefore enabling iteration between the WSP, the WTS and RTPs during 2007.

2.23 Preliminary outputs from the WSP will be published in March 2007, in the form of **Interim Statements** for each spatial plan area. This will include draft spatial strategies, strategic policy interventions and the emerging locations for key developments. A more detailed timeline of key milestones and outputs is set out below.

March 2007	Sign-off of Interim Statements at Ministerial WSP meetings
March 2007	Outputs from Interim Statements to inform Strategic Frameworks for Structural Funds
Mar - Sept 2007	Feedback and iteration of Draft Interim Statements from stakeholders (including Regional Consortia)
October 2007	Consultation on updated spatial plan material
January 2008	Publish Spatial Plan Update

2.24

The WSP will directly support transport planning in the regions through feeding spatial considerations into the problems and opportunities and regional prioritisation stages of RTP preparation. It is therefore important that the Consortia and the WSP's area and national reference groups develop a practical working arrangement that enables dialogue in the period of RTP preparation, and WSP and RTP finalisation thereafter.

- The Consortia should seek to contribute facts and thinking around transport constraints and opportunities to inform all Spatial Plan work, for example, the key settlement strategy, economic development opportunities and the location of health and education facilities;
- The Spatial Plan work should set out clear spatial priorities to support the development of the RTPs by the Consortia, based initially on the visions for the areas and then refined as work continues on implementation over the common period of plan development in 2007;
- The two emerging documents to be tested together for consistency and contribution to the agreed wider goals.

2.25

To make this possible, it is proposed that:

- The Consortia should take into account the vision and priorities for the areas as set out in the WSP as part of the consistency checking process;
- The RTPs will be developed in parallel with the priority actions for the spatial plan areas as far as practically possible. A close working relationship between the Consortia and the Spatial Plan groups should be developed through membership on respective groups. This should happen during 2007 as work to develop the RTP takes place, with prioritised area actions;
- The Spatial Plan work to make clear its support for identified transport priorities and their relative importance against other investments for the achievement of the overall aims.

## **The Transport (Wales) Act 2006**

- 2.26 The RTP guidance is ultimately meant to give practical effect to the Welsh Assembly Government's powers over transport planning, which are set out in the Transport Act 2000 as modified by the Transport (Wales) Act 2006.
- 2.27 The provisions of the Act require the Welsh Assembly Government to develop national transport policies and to prepare the WTS setting out those policies. The WTS is the parent document for the RTPs, which therefore need to be consistent with it.
- 2.28 Local Authorities are expected to develop their existing Consortium arrangements as the vehicle for developing an RTP for their region and are referred to this guidance for information on the content of the plans and its development process.
- 2.29 The Act gives extensive powers to the Welsh Assembly Government in the field of transport planning, including powers to issue directions to local authorities and to establish Joint Transport Authorities. The Assembly Government has however made it clear that it would look to establish a Joint Transport Authority only if it felt that the current voluntary arrangements for joint working were not making sufficient progress in delivering integrated transport solutions in any part of Wales. It has also made it clear that the key factor that it would take into account before making a judgement is the ability of the arrangements in place at the time to deliver the Assembly's priorities for improving transport, as set out in the Wales Transport Strategy, in the most effective and efficient manner.
- 2.30 The Consortia will have responsibility for developing and implementing RTPs. Some transport functions will however remain with Local Councils to discharge (see chapter 6).

## Chapter 3 Role of Regional Transport Plans

### Organisational Context

- 3.1 The WTS will provide guidance on the transport challenges, themes, actions and ultimate outcomes sought by the Welsh Assembly Government. These set the context for the Consortia to consider in devising their RTPs, in succession to the former Local Transport Plan (LTP) system.
- 3.2 The Welsh Assembly Government feels that the effectiveness of transport planning and implementation can be improved by being more strongly focused at regional level.
- 3.3 The RTP will facilitate improving the effectiveness of the inter-authority working already demonstrated, whilst helping align local transport planning with the WTS.
- 3.4 The RTP should provide details of the transport policies, schemes and other interventions the Consortia wish to develop in their respective regions, irrespective of immediate authority boundaries. The RTPs are also a means for making progress with cross-Consortia and national scale transport initiatives, which by their nature tend to affect several Local Authority areas.
- 3.5 In each case, plans and proposals will be accompanied by the appropriate justification derived from the WeITAG assessment methodology and set within the policy framework and transport expenditure programme.
- 3.6 The Welsh Assembly Government will use the RTPs to assign funding for transport to the regions and assess the transport priorities against other spending areas.

### A Dynamic Plan

- 3.7 The RTP is envisaged to be a dynamic framework for transport planning and not just a reference map, that once complete, is left until next reviewed five years later.
- 3.8 There are four aspects to this active quality of the RTPs which authorities should bear in mind.
- Monitoring programmes: the relevance and effectiveness of the RTP should be kept under review throughout its currency, by the monitoring systems set up to provide information for the Consortia and Local Authorities, helping them to manage their own performance.
  - Annual reporting: The Annual Progress Report (APR) system will provide details to Welsh Assembly Government on regional progress, enabling

this to be judged on its own terms and in relation to other policy and spending areas. Consortia may also consider the annual report as a good vehicle for circulating details of transport programmes to the general public. Note also that monitoring and reporting of significant effects is a requirement of the SEA (Strategic Environmental Assessment) Regulations for Wales.

- Major projects: The Consortia may be given some responsibility for developing Welsh Assembly Government initiatives in their area. This will require them to make the appropriate project management arrangements amongst the constituent member Local Authorities. The development of the Assembly Government Transport Plans and the funding review referred to in paragraph 9.18 below may require the Consortia to consider priorities for parts of the trunk road network alongside priorities for other transport interventions. Whoever eventually manages the projects the Welsh Assembly Government will be looking for consistent decisions on priorities which will deliver the desired Transport outcomes. The Welsh Assembly Government will discuss this issue further with the Regional Consortia and the WLGA in summer 2007.
- Implementation management: The Consortia will have responsibilities for seeing the RTP implemented in the region. The definition of that responsibility and the details of how it will be handled need to be determined by the Local Authorities in each region. Welsh Assembly Government is concerned to see that the resulting relationships arrived at will enable the respective Consortia to legally and effectively discharge this responsibility.

3.9 The RTP aims to lay down a vision for the medium and longer term to integrate it with the horizons of the WSP and WTS, as well as a five-year detailed programme. Trends or one-off events that challenge this longer term view may require a response in the plan by introducing change as required, either by modifying the longer term view, or the way the plan operates in the shorter term. This may be a significant matter, with transport related issues such as climate change likely to assume a much higher profile during the WTS timescale.

#### **Changes from the Local Transport Plan (LTP) system**

3.10 The current local transport planning system comprises the LTP setting out the local transport policies, scheme development and costing plans and longer term vision, with grants related to various programmes (formerly transport grant TG) and other dedicated funding systems being a parallel mechanism for annually bidding for categories of improvement works. APRs are produced to provide an update on the progress made in achieving the intended LTP schemes.

3.11 The following essential features are preserved in the new RTP system:

- The main LTP and bus strategy is superseded by the RTP, which will cover the same subject areas, but apply to the wider region. The RTP will also subsume the existing cross-boundary transport initiatives, such as the public transport strategies.
- As with the LTP the RTP must cover all transport modes.
- The RTP will apply for a five-year period as now, with APRs to be submitted annually as before.
- Welsh Assembly Government is reviewing the funding mechanism for RTPs.
- The WelTAG scheme assessment system is to be implemented, in direct replacement for the existing appraisal processes used in Wales.

3.12 The main differences for Local Authorities to note are as follows.

- A national framework for regional transport policies, actions and monitoring will be provided, in the form of the WTS.
- The plans, both in policy and practical terms, will have to be significantly 'cross boundary' in nature.
- The development of the Consortium role will need Local Authorities to consider the appropriateness of inter-authority arrangements currently in place, as the Consortia have specific tasks to discharge on behalf of their constituent authorities.
- There is a requirement for a greater emphasis to be placed on monitoring and performance management in the new system.

3.13 A number of issues have risen in importance in transport planning since the original LTPs were produced in 1999/2000. Five particular items that the Consortia and Authorities may have concerns over are:

- Accessibility planning, an agenda that has developed rapidly in recent times, following the publication of the Social Exclusion Unit's report "Making the Connections" in 2003 (see Chapter 11).
- Network Management responsibilities, as derived from the recent traffic management legislation.
- The effect of Strategic Environmental Assessment requirements on RTP development (see Annex B).
- The task of integrating transport and land use planning also needs consideration, with a link-up shown between the RTPs at local level and the respective Local Development Plans and the sub-regional elements of the WSP.

- The Planning system itself is changing, due to the provisions of the Planning and Compulsory Purchase Act 2004, (see Annex C).

### **Working in partnership**

- 3.14 It should be clear that the new system demands a greater degree of local partnership than hitherto, but the main elements of partnership working are still those understood from the first round of LTPs:
- Partnership between authorities
  - Partnership within authorities
  - Partnership with external stakeholders
  - Working with the public
  - Working with the Welsh Assembly Government
- 3.15 The four Regional Consortia have a track record of joint working in producing plans and strategies closely related to the RTPs now sought. The new plans advance the level of co-operation required and it is this aspect of partnership which demands the most of the new arrangements.
- 3.16 The RTPs are to be statutory plans, as they are established pursuant to the Transport Act 2000 as modified by the Transport (Wales) Act 2006. The plans only have effect when they are approved by the Welsh Assembly Government, who have a statutory duty to ensure that they are consistent with the Wales Transport Strategy.
- 3.17 The RTP development task faced by the Consortia is initially a planning task, similar in principle to those undertaken by them previously, albeit larger in scale. The Consortia, will in turn, need to develop the capability to take on greater responsibilities involving spending, employment and project management..
- 3.18 These changes will mean that more clarity and robustness may be needed to govern the co-operative relationships between Local Authorities in their respective Consortia. This will require consideration of whether the respective constitutions are appropriate or in need of strengthening in order to provide the necessary foundations for broadened and more extensive joint working.
- 3.19 As noted above, the Welsh Assembly Government will not prescribe the constitutional arrangements, but will determine if it considers deficiencies become evident, and is also willing in principle to offer support to Consortia to overcome them in that eventuality. The Assembly Government will support the Consortia so that they continue to develop to become an effective vehicle for implementing the RTPs. It has however made it clear that it will consider establishing a Joint Transport Authority if the current voluntary arrangements

are not making sufficient progress in delivering integrated transport solutions in any part of Wales.

- 3.20 Within Local Authorities, the advent of RTPs does not change the fundamental linkages that apply between the transport functions and those other Local Government services where transport is a very relevant consideration. Principally this refers to the Education, Planning, Environmental, Health and Leisure services of the authorities.
- 3.21 These linkages need to be understood and made explicit in the RTPs, particularly in light of the greater importance placed on social inclusion and environmental impacts. The Planning, Education, Environmental, Health and Leisure services should not therefore be treated as external stakeholders, but seen as having a principal role to play in making the RTP as effective as possible within their authority, for their community.
- 3.22 When major changes or developments occur that would be handled by these local government services, a regional transport impact may result. Therefore in circumstances such as major development proposals or changes to LDP-based planning policy arising, the Consortia will need to be informed by Local Authorities of such changes and in turn, the Local Authorities will need to be notified of the potential impact on the RTP of such developments. This means the transport planning service within the Local Authorities will have an important and enhanced liaison role between a variety of Local Authority services and the Consortium role.

## **Part 2 - The form and content of Regional Transport Plans**

This part of the Guidance provides the detail of the content of the Regional Transport Plans and the key process required in developing them.

**Chapter 4** details the content and structure of the Regional Transport Plan and gives an overview of the process involved in developing the Plan.

**Chapter 5** considers the requirements for consultation with stakeholders and the general public.

**Chapter 6** explains the responsibilities remaining with local authorities for transport at a local level and how this relates to and is incorporated into the Regional Transport Plan.

**Chapter 7** details the legislation that must be taken into consideration in developing the Regional Transport Plan.

## Chapter 4 Content, structure and process of RTPs

### Transport context

- 4.1 The RTPs should seek to meet the transport challenges described in the WTS, guided by and taking account of its desired outcomes. The Consortia should consider the national perspective on transport provided by the WTS as the starting point, assessing what actions they should take and what can be practically achieved, when devising their RTP. The result should be that the Consortia can develop their RTP and judge its success against regional needs and both Welsh Assembly Government and the Consortia can judge the extent to which the RTPs address the WTS outcomes and fulfil national needs.
- 4.2 Purely local transport policies and actions that Local Authorities may develop should be summarised for the region in the RTP. In between the national and Local Authority levels will be a set of issues whose consideration naturally lies at the regional level to start with, such as the regional strategies for public transport.
- 4.3 The RTP should take into consideration actions identified by the Spatial Planning process relating to their region. As the Spatial Plan areas differ from the areas covered by the Regional Consortia this may result in sub regional level issues. In incorporating Spatial Plan issues there is also an overlap between the Consortia areas and, hence, there is a need for co-ordination between adjacent Consortia to enable RTPs to cover the transport requirements of a Spatial Plan area in a consistent manner.
- 4.4 The aim in policy terms is to achieve overall consistency between these national, regional and local approaches, whilst preserving discretion to reflect local conditions within the framework provided by the WTS outcomes.
- 4.5 RTPs aim to provide a similar transport planning vehicle for the Consortia as the previous LTP system provided for local Councils. The RTPs however enable the extension of transport planning activities beyond their previous containment within Local Authority boundaries. Also the WTS provides a much clearer overall framework for transport planning. The strengthening of the Consortia to undertake their expanded remit creates a need for clarity about the respective responsibilities of Local Authorities and Consortia.
- 4.6 The process of plan development should be structured around the stages of the “ROAMEF” cycle. This is consistent with the rationale behind the development of the appraisal process in WelTAG.

- Rationale, setting out the vision and high level outcomes for the plan
- Objective setting for the plan
- Appraisal of the plan,
- Monitoring the outputs and outcomes of the plan
- Evaluation of the results, and
- Feedback to the rationale stage.

4.7 In parallel with this guidance document, Local Authorities and Consortia representatives should understand the WeITAG appraisal guidance and the Welsh Assembly Government /Department for Transport /Scottish Executive guidance on Strategic Environmental Appraisal (SEA), both of which provide more information on the above and how consultation and appraisal need to be seen as integral parts of the RTP's development. Aspects of these documents are also summarised in this guidance.

#### **Structure of RTP document**

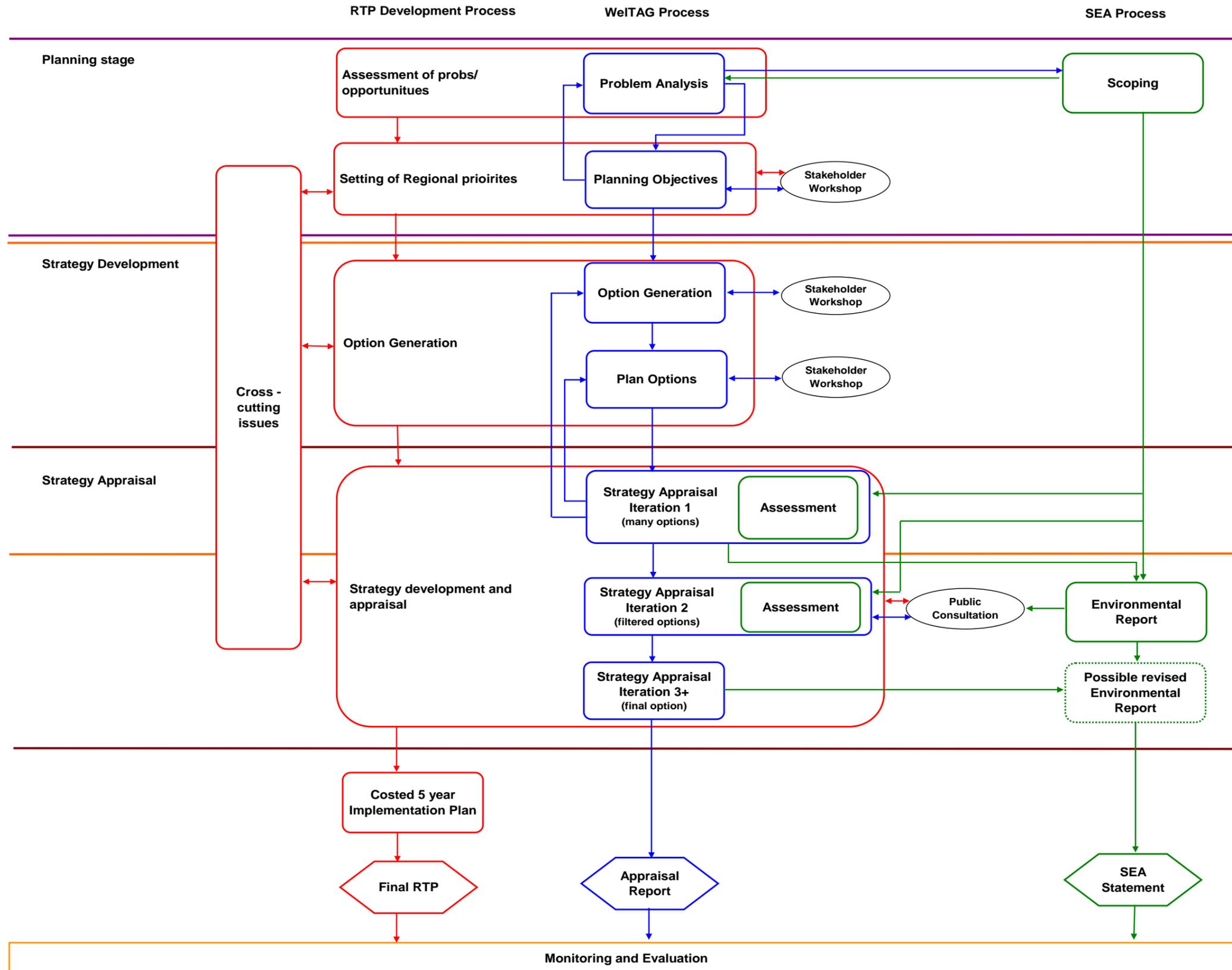
4.8 The RTP document should be set out to include:

- An analysis of transport problems and opportunities (stage 1)
- Identification of regional priorities (stage 2)
- Option Identification and Development (stage 3)
- Strategy development and appraisal (stage 4)
- A 5 year programme of interventions and long term strategy (stage 5)
- A monitoring framework (stage 6)
- An analysis of cross-cutting issues

4.9 An explanation of the intended content in each of the above sections is set out in the chapter below. This is intended to accord with the 'ROAMEF' stages noted above.

4.10 The RTP development process and how it interrelates with the WeITAG appraisal process and SEA requirements is set out in Figure 2 inserted overleaf.

Figure 2 - Plan Development and Appraisal



4.11 As shown in Figure 2 the development of RTP should result in three reports: RTP, supporting WelTAG appraisal report and SEA statement.

#### **Assessment of transport problems and opportunities (stage 1)**

4.12 The Consortia will be expected to identify transport problems in their areas, building upon the work done through the LTPs from 2001, taking account of the WTS, the WSP area work and changes in external circumstances that have also occurred during this time. The analysis should produce a holistic picture of transport in the region and focus in on the areas of greatest concern and interest. This step accords with the initial part of WelTAG's planning stage.

- The term “problem” should be taken to mean any transport issue identified as causing economic, environmental or social problems in a community, which could be addressed by an RTP response. Welsh Assembly Government does not seek to provide a more restrictive definition of the nature of ‘transport problems’, which is best left for local definition.
- The “opportunities” logically follow on as the potential means of addressing these problems, by actions promoted through the RTP and/or other strategies as may be appropriate. The range of interventions will encompass physical works, services and policy actions.

4.13 The analysis should be undertaken against the background of the outcomes and themes set out in the WTS which are the national transport policy guidance for the RTP.

4.14 In carrying out the analysis, the Consortia should be mindful of the initial and detailed levels needed within any investigation. Preliminary identification and definition of issues can be carried out satisfactorily through consultative and inspection methods, but subsequent analysis will require matters to be looked at in more depth, to scope the problems in a more quantifiable manner. At all times, the level of analysis should be proportionate to the scale of the problem.

4.15 The analysis must naturally consider the importance of scale, trends and policy consistency, and be conducted in a systematic manner. It is advised that analysis proceeds stepwise according to the stages set out in Figure 2.

4.16 Analysis should not be confined to existing problems, but should anticipate emerging challenges as far as possible, as the RTP has a forward planning aspect. It should be aligned as far as possible with other similar plans in parallel areas, particularly WSP Area Plans and Local Development Plans (LDP). RTP funding itself is primarily a means of addressing existing problems but there may also be opportunities to facilitate future change by public or private sector agencies.

- 4.17 The RTP development process must also pay attention to identifying and avoiding possible side effects of plan actions, which might undermine the intended consequences. Typical examples would be traffic management schemes that may have negative safety impacts outside the treated area, or highway capacity improvements spurring development which may make outturn conditions worse than before.
- 4.18 Three ‘tests of reasonableness’ could be applied to RTP interventions faced with the possibility of uncontrolled changes in external conditions, particularly if the plan is promoting a major improvement scheme of £5m or over.
- Is action by others entirely or largely dependent on transport interventions originating with the RTP? If yes, arguably the change should be promoted by those bodies in the first instance, with RTP support being a secondary consideration.
  - Are there good reciprocal arrangements in place to ensure the policy framework is consistent across the public sector, or is the RTP exposed to internal pressures? If so, remedial actions may be needed to address this.
  - Are changes brought about by outside parties likely to undermine RTP actions? If so, the RTP intervention should seek to ‘lock-in’ its benefits, by appropriate design and other mitigation measures as far as possible.
- 4.19 Arguably a negative response to any of the above points could cause the justification of the affected RTP actions to be re-examined, as the option testing would need to be extended to cover a wider range of context possibilities than originally envisaged.
- 4.20 The Consortia should show they have considered all the services and facilities provided for transport users by the public sector as being potential “opportunities” to address any problems identified. Major private sector actions (e.g. development contributions), may be considered in the analysis as well, as either a transport problem or an opportunity, or both. Revisions to the planning system are likely to bring about major changes in development funding mechanisms during the lifespan of the first RTP.
- 4.21 The combination of the problems and opportunities analysis is the springboard for working up the short, medium and longer term policy responses and scheme programme. Plan development will require option generation, impact scoping, consultation and appraisal processes. This also accords with the requirements of the Strategic Environmental Assessment (SEA) Regulations for Wales and the reporting milestones in the SEA process must be tied into the stages of plan development and approval. Full details are provided in Annex B.

## **Identification of RTP priorities and objectives (stage 2)**

- 4.22 Taking the identified problems and initiatives from stage 1, the RTP should set out a series of priorities and objectives against which they can be assessed. WeITAG classes these as the transport planning objectives (TPOs) and their formulation forms the concluding element of the WeITAG planning stage. Note, these are different from the WTS outcomes and recommendations on how to approach formulation of these objectives is given in chapter 12.
- 4.23 The RTP priorities should link the national, regional and local perspectives on transport, using the WTS outcomes as the overall guide and aligning the regional approach accordingly. Regional transport priorities must be consistent with WTS outcomes.
- 4.24 The RTP should take account of the schemes which the Welsh Assembly Government itself will be taking forward as part of its strategic programme. These are contained in the Trunk Road Forward Programme (TRFP) March 2002 as amended in December 2004. Parts of this are likely to be reviewed later this year. The Welsh Assembly Government will carry out SEAs of any proposed amendment to the TRFP if needed.
- 4.25 Considering the source of the RTP's priorities, there are three main points of reference:
- National statements of policy guidance relating to transport, including the WTS and WSP
  - Local Council statements of their community's priorities in general terms
  - The assessment of local transport issues covered in stage 1 above
- Consortia may give consideration to synthesising a vision statement (or statements) from these diverse sources, as they may find it useful as a starting point for developing strategy options at the next stage of the process
- 4.26 In setting the regional priorities the Consortia should be mindful of the longer term vision of the plan. Adopting priorities which are likely to have long term relevance would help align RTPs better with the WTS over the longer term. This will support the establishment of a consistent longer term strategy for the region in keeping with the 2030 timescale of the WTS, to harmonise with the WSP outputs and timescale, as well as the 5 year programme, which should be the main subject of WeITAG appraisals.
- 4.27 The Welsh Assembly Government sees that continuity and consistency are also valuable attributes in facilitating long term assessment of their activities, without the frame of reference changing part way through the period being measured. Care taken at this stage of the RTP development process will therefore stand the plan in good stead over its lifespan and beyond, as appropriate to long term relationships with the WTS.

### **Option Generation (stage 3)**

- 4.28 The next step involves the identification of options that in combination address the regional priorities set in stage 2. The generation of options should result in at least three identified plan options i.e. a 'do-minimum', a 'preferred' and a 'best counter-proposal'.
- 4.29 The 'preferred' option should be based on the transport vision for the future that the Consortia believe could be realised over the plan period to 2030, bearing in mind context changes, particularly climate change and the possible policy and funding responses to it. The extent to which actions are needed now to address this picture may therefore inform the first five years of regional transport planning. Conceiving a longer term vision at a time of change such as the present may not be easy, but it is necessary and it is the advice of the Welsh Assembly Government that the environment in which transport operates in 2030 is likely to be significantly different from today.
- 4.30 In respect of 'counter proposals', any development option falling below the above would be a counter proposal. There may well be more than one of these in reality because of funding and/or programming uncertainty over major schemes and proposals such as major road or rail schemes or road user charging or congestion charging. However one is the smallest number of such counter options. They should be based on a generally conservative view of funding availability, but not to the extent that no developments at all are possible, unless the Consortia have a very pessimistic view on the possibilities for the future.
- 4.31 Careful consideration is needed of what constitutes the 'do-minimum' plan option. Whilst individual schemes may have 'do-nothing' as a counterpart, this is not a realistic assumption for the plan as a whole, as RTPs should assume continuing availability of some resources for transport in the region. In the absence of firm information on funding levels, the safest 'do-minimum' assumption is a continuation of funding at generally the same level as at present.
- 4.32 There is a very fine line between these ranges of options, particularly those with developments included within them. There are no firm rules on what divides one from another, so Consortia will need to devise their own key criteria.
- 4.33 If Consortia wish to put forward plan options that include a major scheme (over £5m), they should also consider a plan option without the major scheme(s).
- 4.34 Option generation should consider the full range of transport interventions. The option generation process should include a 'consistency check' assessment of each plan option against the regional priorities. It should also

include a separate assessment at a similar level of detail of any major schemes against the regional priorities. This is consistent with the requirements of WeITAG. Note this does not mean appraising all the options in detail. Stage 3 is the point at which ideas are identified and sifted and this sifting is a matter of reducing the number of options to a practical level for more detailed work later.

- 4.35 Note also that the SEA process requires the development and assessment of alternative plan options, with a legal requirement to provide reasons for choosing the option adopted in the light of other reasonable alternatives considered in an SEA statement once the RTP is adopted. The SEA guidance recommends using a matrix form of consistency checking in option development (see annex B), so the same method is entirely appropriate to use for the sifting noted above. WeITAG proposes exactly the same approach.
- 4.36 The plan options should cover the short, medium and long term to fit with the requirements for a 5 year costed plan, the WSP (up to 2021) and WTS (up to 2030). It is likely that, whereas component options for the short term will be well defined, for the longer timescale options may well be more conceptual.
- 4.37 In developing the plan options the Consortia should incorporate the following:
- In identifying schemes for incorporation into the plan there is a requirement to consider the contribution of the Welsh Assembly Government's Transport Plans (ATPs) in meeting the regional priorities, which could be significant in certain locations. The Welsh Assembly Government is continually developing and reviewing national schemes and interventions included in the ATPs and the Consortia should consult with the Welsh Assembly Government for latest details.
  - For national schemes that fall outside the funded programme, the RTP should consider their merits relative to each other and to other schemes Consortia may wish to promote themselves via the RTP. Such consideration may therefore influence Welsh Assembly Government scheme and spending prioritisation.
  - The RTP should consider the long term implications and transport consequences of the Wales Spatial Plan area projects.
  - Local initiatives and programmes, as may be promoted or undertaken by Local Authorities. Some may be significant in their own right, e.g. road user charging proposals.
  - Matters originating from the UK Department for Transport and European Union, affecting transport. Rail, airport and port development strategies could fall into this domain.

- The interactions between the different elements of the strategy should be identified. These interactions may be in terms of phasing, funding opportunities, cost implications or public/stakeholder acceptability.
- Development proposals and other cross-cutting proposals which have a transport impact.
- Other major issues that may be encountered in developing the longer term strategy, e.g. climate change. In addition uncertainties over timescales and funding may also necessitate the need for consideration of alternative strategies.

4.38 Option generation is covered by the planning stage in WelTAG. Advice on the application of WelTAG for this stage of the development of the RTP is given in Chapter 12. Annex E summarises the relationship between the regional priorities and transport planning objectives.

#### **Strategy Appraisal (Stage 4)**

4.39 The next step concerns the process of testing the identified alternative plan options against the social, economic and environmental criteria set out in WelTAG. This process is essential in identifying the most appropriate plan options to take forward to public consultation.

4.40 The WTS should be used to guide the development of the RTP strategy and WelTAG should be used for its appraisal. The use of WelTAG should help ensure that the emerging Strategy is focused on achieving the objectives and that the combination of component schemes is the most appropriate way of achieving these objectives. More information appears in Chapter 12.

4.41 Appraisal is required for each of the alternative plan options identified in stage 3 in accordance with the guidance given in WelTAG. As part of this the RTP needs to contain at least a full WelTAG 'stage 1' for any major scheme proposals and option assessments for the RTP which omit the major scheme.

4.42 The appraisal process and the development of the final plan option is an iterative process. The RTP appraisal report should cover the conclusions of the appraisal for the final plan option/s and any component major schemes. The WelTAG Appraisal Report supporting the RTP should include the supporting information on the strategy development and appraisal process.

4.43 In undertaking the appraisal for the plan options it is envisaged that works intended for the immediate 5 year plan period need to be covered to the level of detail indicated by the WelTAG plan assessment methodology, whereas proposals that mainly commence beyond the short term can be considered in a more indicative manner.

### Forecasting

- 4.44 Attention is drawn to the need for the plan as well as individual schemes to include a robust look forward to prospective future conditions, as a partial analysis could result in the wrong directions being chosen in the present and regretted in later years. It is for this reason that predictions are necessary and it is the forecasts of traffic levels and in use made of other modes that are a major factor determining the overall shape of RTPs.
- 4.45 Note that projections of trend are not the same as predictions of what will actually happen. A true forecast will need to assess the likelihood of an event happening, taking account of known constraints and considerations of policy, as well as views of unconstrained growth based ultimately on population and location factors and existing trends.
- 4.46 Traffic forecasts simply based on trend growth projections may well be unrealistic in existing congested areas due to the constraints imposed by lack of capacity compared to demand.
- 4.47 Forecasts for other modes and for the results of development scenarios would be useful for informing development of the RTP. This requires good information on current mode use and development trends. Consortia should consider undertaking this type of forecasting, on grounds of practicality and potential impact on the RTP.
- 4.48 The production of forecasts is needed from Consortia as part of their response to the Road Traffic Reduction Act. Note that the provisions of this Act are based on an understanding that that making a prediction is not an invitation to a 'predict and provide' approach in respect of road traffic.

### Strategy components

- 4.49 Welsh Assembly Government wishes to see 'component strategies' included within the RTP on road safety and car parking, to accompany the public transport strategy work undertaken previously. The underlying purpose of these elements is to provide specific detail to the RTP's priorities and applicable scheme proposals in these areas and as such, they should not stand apart from the rest of the plan. These component strategies should also keep in mind the WTS outcomes and demonstrate how they will contribute to their delivery.
- 4.50 The rationale for component strategies is to organise thinking and actions on the topics in a focussed way. For instance in the case of parking, this should lead towards providing a framework on which to base local parking strategies. This should not be taken to mean a need to commission or undertake detailed work to establish a new freestanding strategy. Welsh Assembly Government is not looking for major research or survey-based work to establish new strategies. The minimum aim in each case is to identify by a series of simple

statements, what the regional aspects of the subject are, what the RTP may beneficially achieve and what the Consortia would seek to achieve using their RTP as the vehicle for developing a regional approach.

- 4.51 There are a number of potential topics that could be dealt with using a “component strategy” approach:
- a) Traffic management – to address the Network Management Duty
  - b) Walking and Cycling – in response to Welsh Assembly Government policy
  - c) Smarter Choices – as above
  - d) Accessibility – progressing analysis from a strategic to a local focus
  - e) Freight – in response to Welsh Assembly Government policy
  - f) Maintenance, linked to actions sought by other strategies
  - g) Others – equestrians, powered 2-wheelers, countryside etc.
- 4.52 Welsh Assembly Government is expecting the Consortia to set out a regional approach to subjects (a) to (f) and to adopt as many other category (g) strategies as suit their purpose.
- 4.53 It is accepted that to fully realise a regional approach with some of these topic areas, more detailed work may be needed, with accessibility planning being a clear example. It is therefore left to the Consortia to determine the extent to which they can develop the details and the timescale and to advise Welsh Assembly Government within the January 2007 outline RTP.
- 4.54 Note that in many instances, activities associated with these component strategies is strongly local. The extent of the RTP’s role in these areas would vary and is covered more in chapter 6.
- 4.55 In addition to the categories noted, public transport, road safety and parking have been highlighted by the Welsh Assembly Government where a regional view should be taken. Public transport has already been the subject of this type of approach. More discussion on the component strategies appears in Annex F.

### **5 year programme and longer term strategy (stage 5)**

- 4.56 The Welsh Assembly Government wishes to gauge the likely overall scope of RTP programmes at the start of the process and to understand the Consortia’s view of the importance of third party funding to their plan. This view can be amended over the course of the plan, particularly if new funding system arrangements are adopted.
- 4.57 The Consortia are therefore requested to submit an indicative costed programme of transport expenditure for the five year period 2008-2013 to the

Welsh Assembly Government. Presumed revenue spending by the Consortia on activities such as maintenance and bus service support should also be indicated.

- 4.58 The RTP will by necessity tend to replicate the form of capital spending content presented in LTPs and APRs, however summary details of likely revenue spending levels and application of third party funding should be estimated as far as possible. The Welsh Assembly Government is mainly concerned by this exercise to understand the overall scope of transport related programmes conducted at regional and local level when set against the transport needs identified in the WTS and RTP strategy.
- 4.59 More transport programme details are given in Annex G.
- 4.60 The longer term strategy should seek to produce companion details to the longer term views emerging from Welsh Assembly Government's ATPs, the WTS, the WSP, and Local Development Plans. Producing a spending programme far into the future is not realistic, so Consortia should concentrate on any major schemes that may emerge and significant policy challenges and initiatives they foresee having to address over these longer periods.
- 4.61 As the WSP has a time horizon of 2021 and the WTS horizon year is 2030, it is likely that major changes affecting the context of transport will become evident within this period. This presents the opportunity for the Consortia to consider more 'blue sky' thinking about transport and the issues to be faced. The traditional focus on operational issues and systems has recently been added to by increasing concern about climate change and the social aspects of transport. The WTS (and UK Government) approach highlights technological fixes, behavioural change and better governance as the means to address this future context and the Consortia will need to consider what this type of thinking means for their own situation. These points are part of the outcomes and tools for delivery and therefore should be central to the RTP.

#### **Monitoring and evaluation (stage 6)**

- 4.62 The RTPs must incorporate an effective and comprehensive monitoring framework. This equates to the monitoring and evaluation plan required by WeITAG. In respect of monitoring indicators themselves, there are several points to note about the structure and sources of these. Part 4 and Annex H of this guidance includes details of the Wales Transport Monitoring Strategy and how it relates to the RTPs.
- 4.63 It is envisaged that the Consortia will wish to develop indicators at a number of levels which could include core regional indicators, sub-regional indicators and secondary indicators. These indicators should relate to the regional priorities developed in stage 2. These indicators are additional to the National Transport

Indicators identified for monitoring the WTS, although the National Indicators could perform a dual purpose.

- The development of core indicators is mandatory and will focus on the regional priorities for the region as a whole. These indicators will form the basis for evaluating the effectiveness in delivering the RTP.
- Beneath these core regional indicators the Consortia may wish to develop a series of sub-regional indicators that are focused on specific issues that are of considerable importance to part of the region. These indicators will help the Consortia and the local authorities identify how well they are meeting particular issues. For those Consortia regions that cover more than one Spatial Plan action area, transport indicators for monitoring the Spatial Plan actions could be at this level.
- Secondary regional indicators will be additional indicators that aid the Consortia in evaluating the effectiveness of their RTP. They may be indicators that the consortia would ideally like to have as a core indicator but due to practicality or resourcing reasons this is not feasible in the RTP 1 period.

4.64 The Welsh Assembly Government accepts that it may not be possible to commence monitoring of all the indicators at the start of the RTP period. The RTP should include an indicative programme on the commencement of monitoring for each indicator. Monitoring for all the indicators should commence before the end of the RTP period.

4.65 It is desirable that the monitoring of the core regional indicators will commence at the start of the RTP period and hence this is the expectation. If this is not possible the reasoning should be set out in the RTP and a timescale for commencement presented.

4.66 The RTP should incorporate base line information where available.

4.67 In determining indicators the Consortia should also consider the need for associated targets. One danger of setting targets is that the drive to achieve the target becomes the focus of activity rather than addressing the underlying outcome. For this reason it is suggested that targets are only set for indicators where there is a need to meet a defined standard.

#### **Analysis of cross cutting issues**

4.68 A major feature in transport planning is the need to gain a fuller understanding of the series of mutual impacts between transport initiatives on related policy fields and vice versa. This interaction with non-transport topics is increasingly recognised as an important element in planning, in order to maximise benefits without them being undermined by decisions taken elsewhere and in ensuring consistency in public policy making across the full range of these activities.

4.69 The RTPs need to take note of the main national and local policy initiatives peripheral to the local transport planning sphere but which could have a direct bearing on transport in their region and the RTP, for example:

- Wales-wide and regional spatial planning
- Unitary Development Plans and LDPs
- Car parking policies
- Locational policies of public sector health and education providers
- Locational policies of major private sector organisations (employment, retail, leisure)
- Environmental policy
- Cross-boundary policies and developments

4.70 Assessing the linkages between the above will enable the Consortia to direct efforts to areas where there is evidence of the benefits to be achieved by an evolved approach compared to current practice.

4.71 Chapter 10 provides more details of this important aspect of the regional transport plans.

## Chapter 5 Participation and Consultation

- 5.1 The Consortia need to consult with their communities in developing their RTP. Details of the process is not highly prescribed, however it is important that a realistic and meaningful engagement takes place. Wider and deeper involvement of the public and by stakeholders in decision making (participation) may form a part of outward engagement needed in developing the RTP. The following inputs are recommended:
- Into priority setting and strategy development, particularly with stakeholders, including the statutory consultees, but also corporate, institutional, community-based and voluntary sector organisations. This could be described as more participative activities as stakeholders would be doing more than responding to propositions placed before them.
  - Into strategy development and prior to plan adoption, particularly with the general community. This is similar to a conventional view of consultation, although the public should not be deliberately kept away from the RTP development process.
- 5.2 The degree of weight given to organisational stakeholders as against the community at large is ultimately a matter for the Consortia to determine, as are the consultation methods to be adopted. It is the Welsh Assembly Government's experience that the general public are easier to engage once firm details are available to them, whilst institutions are as likely to grasp policy implications as they are the details. This means that the balance of involvement is likely to shift over the course of plan development, with greater input by stakeholders to begin with and more community involvement later. This does not imply that the process excludes anyone at any time, as it is straightforward to provide opportunities for the transmission of views from interested persons without necessarily engaging in large scale consultation exercises.
- 5.3 Note that the SEA process also requires consultation to take place, fully integrated with development of the RTP.
- 5.4 Within the RTP the Consortia are required to set out the consultation undertaken to develop the RTP.
- 5.5 There are several points within the RTP development process where a particular consultation focus is evident.
1. At the outset, to advertise that the process is commencing, outlining what is to happen and when;

2. At the point where overall objectives are being determined, to seek views on alternatives, or on the Consortia's suggestions;
3. At the point where detail is available, particularly on schemes or programmes;
4. Prior to formal adoption by the Consortia, to lend weight to the final submission.

- 5.6 The process of consultation in each case will involve making available the consultation subject source information, identifying consultees, establishing the means of dialogue, conducting that dialogue, evaluating the views received and setting out conclusions, amending actions, giving feedback to stakeholders and supporting ongoing consultation activities.
- 5.7 Points 1 and 2 should have been carried out prior to outline RTP submission (31<sup>st</sup> January 2007), point 3 relates to the period prior to draft plan submission (5<sup>th</sup> October 2007) and point 4 to the period prior to final submission (30<sup>th</sup> March, 2008). Note that the SEA scoping report is associated with point 1, consultation on the environmental report should occur prior to point 3 and the revised environmental report (if needed) is equated with point 4.
- 5.8 The importance of internal local authority stakeholders should be apparent. The Consortia will need to engage with Council planners, education bodies and others (e.g. town centre management) in preparing the RTP.
- 5.9 External stakeholders in both public and private sectors have an interest in transport matters and their involvement in the development of the RTP should be facilitated and encouraged. Of particular importance amongst these organisations are transport operators, the Health Service, larger employers and trade unions, national agencies (Countryside Commission for Wales, Cadw, Environment Agency), the Voluntary sector (National Council for Voluntary Organisations) and where applicable, neighbouring authorities. The adjoining English Regional Assemblies should be consulted.
- 5.10 In respect of neighbouring authorities, consultation with adjacent Consortia on their RTP should take place, in lieu of consulting with each of the separate constituent authorities. LTP authorities in England should also be approached.
- 5.11 As a result of plan rationalisation, local authorities now have only to produce 4 statutory local strategies. The Community Strategy is the overarching strategy and this is complemented by the Health, Social Care and Well-Being Strategy (HSCWBS), the Children and Young Persons Plan (CYPP), and the Local Development Plan (LDP). All four of these should pay heed to the overall transport context and the RTPs should take these into account. Consortia should look to relate their RTPs to these strategies to enhance consistency within the policy development process

- 5.12 Development of the overarching strategies is viewed by the Welsh Assembly Government as a potentially valuable mechanism for developing a forum for stakeholder participation and a channel for stakeholder and public views. It is also considered as a good starting point for setting out the longer term transport vision and bringing it together with the WTS and WSP initiatives, and with the locally generated strategies and plans.
- 5.13 As with the external stakeholders, the views of the public are to be engaged in developing the plan and ideally, in reviewing its progress, once adopted. It is important that information on the RTP is made available to the public by a variety of means of access during its development period and that there are opportunities for the transmission of public views built into the process.
- 5.14 A useful form of evidence gathering which draws in the public, is that of data collection on transport related problems and perceptions. The data can be used not only to highlight areas of concern, but also to illustrate the value of good transport in relation to other aspects, such as quality of life and environmental issues.
- 5.15 Community participation requires the Consortia to be clear about how the plan is to be produced in detail and who is to do it. The involvement of community representatives would then be factored in at the appropriate stages of the work programme and into the management arrangements, if a stakeholder group is involved in steering the process. What is important at the end of the day is that:
- (i) The community has been made aware of how the RTP is important to them, and that they have been able to respond to the process of its development.
  - (ii) The drafting of the plan can be influenced by the views of the community.
  - (iii) An avoidance of an 'announce and defend' approach to consultation.
- 5.16 The Consortia should develop the consultation process to allow timely and effective opportunities for all interested parties to contribute to the development of the final plan.
- 5.17 There are benefits to be gained from co-ordinating public involvement, as far as possible, with similar exercises as may be underway with other local government services. The Consortia should ascertain the scope for doing this and gain as much value as possible from combining efforts with those concerning planning, quality of life and other social research.
- 5.18 Maintaining longer term contact with the public and stakeholders will be important, so this activity preferably should not stop once the plan has been finalised and submitted. These activities can make a valuable contribution to

RTP monitoring and assist the gathering of data on key trends, as well as flagging up changing public views as the plan unfolds.

- 5.19 Note that consultation is an activity than occurs throughout the RTP development process. It is not just a matter for stage 1 and should inform work as it takes place from the outset to its conclusion.
- 5.20 WeITAG provides good advice on principles and methods of consultation.

## Chapter 6 Transport planning in Local Authorities

- 6.1 The development of RTPs raises important issues of how the range of transport activities undertaken by Local Authorities currently may be changed by the advent of RTPs. A large number of tasks will remain with Local Authorities to undertake directly rather than working through the Consortia. There will be no requirement upon Councils to submit an LTP or Annual Progress Report (APR). Note that the former LTP responsibilities relating to the Road Traffic Reduction Act will transfer to the Consortia, as being responsible for producing the formal transport plan for Local Authorities in succession to the LTP.
- 6.2 The Consortia and constituent Local Authorities need to consider whether they need a transport programme covering local issues for their own purposes.
- 6.3 The system of transport funding will continue in its present form for the immediate future. The Welsh Assembly Government is undertaking a review of this system in the period prior to the RTP commencing.
- 6.4 In recognition of the important role fulfilled by Local Authorities in the new system, the RTP will need to summarise those transport related activities to be delivered directly by Local Authorities. The Welsh Assembly Government is looking for the RTP to report on Local Authorities' future intentions in respect of transport and retrospectively, on what has been achieved and spent in the process, in the APR.
- 6.5 The RTP and subsequent APR reports will need to show:
- Summary of highway/transport activities related to the RTP
  - Summary of forward planning for the RTP
  - Summary of monitoring relevant to the RTP
- 6.6 Local Authorities retain Highway Authority and Environmental Health responsibilities, hence there will be a large number of related activities which must remain with them, including much of the survey-based monitoring effort, which is concerned with either highway matters, passenger transport or transport-related environmental surveying.
- 6.7 Local Authorities also retain a key role in local development planning and car parking management, both of which occupy important positions in the local and regional transport context. Responsibility for these activities is usually separate from highways and public transport management within Local Authorities, so factoring them into RTP development may raise the need for cross-service aspects to be considered.



	Regional transport policy / action plan development	As above – components of RTP, such as road safety or bus strategies.
	Transport plan and scheme appraisal	Mainstream task of Regional Consortia, as required to raise funds for proposals.
	Accessibility planning	New element sought for RTPs. Major cross-cutting issue linking Consortia, Local Authorities and wider stakeholders. Access schemes fall into various RTP, other regional and local categories.
	Road Safety Strategy	New element sought for RTPs, drawing together individual local plans, as far as practicable.
	Car parking strategy	New element sought for RTPs, aimed at setting framework for existing local strategies and eliminating inconsistencies as far as practicable.
	Other component strategies, e.g. traffic management, walking & cycling etc.	RTP involvement aimed at improving regional consistency.
	Responses to WAG initiatives of regional importance	Various matters, action required if relevant to transport issues or RTP – e.g. responding to WTS/WSP proposals.
	New major transport schemes – all types	Large scheme development proposals, to be led by Consortia via RTP.
	Agency tasks for WAG	Ad-hoc matters, including project planning and management, as WAG may wish to undertake using regional resources. An organisation issue for Consortia and reporting matter for RTP.
	Road User Charging	Initiative may be locally developed, but schemes must be promoted through RTP. Some impact on RTP is likely for all but very small schemes. Revenue raising and traffic management consequences, plus progress should be reported.
	Road Traffic Reduction Act	Response to requirements sought for RTP. Actions covered by other regional and local scheme categories.
	Through ticketing initiatives	Integration with public transport strategy. Promotion of initiatives could be via RTP.
	Market research and forecasting	Mainstream task of Regional Consortia.
	Monitoring	Integration of national, regional and local monitoring for greatest efficiency
<b>C</b>	<b>National (Assembly Government and commercial) issues</b>	
	Consortium as consultee	
	<i>Activity</i>	<i>Regional interest</i>
	New policy initiatives	Formal consultation based on impact on RTPs – land use and/or service implications

	WAG national transport schemes (ATP)	As above.
	Rail passenger franchise control	Integration with public transport strategies. Promotion of improvements through the RTPs.
	Concessionary fares (national scheme)	Consortium interest in use of public transport, accessibility impacts and perception monitoring.
	Road user charging (national scheme)	Consortium interest in effect on traffic levels, trip rates and modal split, revenue raising and perception monitoring.
	Strategic port and airport development	Access issues to ports and airport(s)
	Commercial transport developments	Formal consultation based on impact on RTPs – land use and service proposals
	Passenger air services	Economic value and environmental impact of air services
	Road freight	Impacts on highway development (incl. trunk roads), interaction with other RTP areas and monitoring.
	Air / sea freight	No obvious regional interest
	Rail freight	Access issues to facilities. Monitoring impacts.
	Monitoring	Integration of national, regional and local monitoring for greatest efficiency
<b>D</b>	<b>Major local issues</b>	
	Could need regional involvement to assist delivery	
	<i>Activity</i>	<i>Regional interest</i>
	Decriminalised Parking Enforcement	Integration with road safety strategy. Could be economies of scale from a regional approach.
	Highways detrunking	Impact on RTP development proposals, particularly maintenance requirements.
	Large-scale traffic management schemes, including ITS/UTC/UTMC proposals	Development and funding could be via RTP.
	Quality Partnerships (all categories)	Integration with public transport strategies. Improvements (partnership contributions) could be promoted via the RTP.
	Smarter Choices work (promotion of sustainable travel choices)	Potential regional lead on activities, due to interface with many other local and regional initiatives and complex funding make-up.
	Environmental monitoring	Reporting significant effects in APRs, particularly relevant to air quality and noise relating to transport.
	Safety Cameras	Integrated into road safety strategy.

<b>E</b>	<b>Local Authority activity – I</b> Regional guidance and/or RTP reporting	
	<i>Activity</i>	<i>Regional interest</i>
	Network Management Duty	New national requirement. Legally, a Local Authority responsibility, but with major cross-boundary (regional) liaison and management implications.
	Smaller scale traffic management and road safety schemes	Development and funding could be assisted via RTP. Integration with safety strategy important.
	Speed management plan (i.e. road hierarchy, speed limits etc.)	Integrated into road safety strategy. Improvements could be promoted/assisted through RTP.
	Highways and bridges condition monitoring	Improvements could be promoted/assisted through RTP.
	Highway and bridge structural maintenance / TAMP (if developed)	Implications for improvement initiatives promoted through RTP.
	Cycling and walking initiatives	Improvements could be promoted/assisted through RTP.
	Supported bus service contracts	Integration with public transport strategies. Promotion of improvements through the RTPs.
	Bus stop facility development	As above.
	Public transport, information, publicity and promotion	As above.
	Air Quality and Noise (implications of Env. Act and European Directive)	Responses may need promotion through RTP.
<b>F</b>	<b>Local Authority issues – II</b> Possible guidance or proactive support from Consortium	
	<i>Activity</i>	<i>Regional interest</i>
	Cycle and pedestrian training for children	Integration with safety strategy, as appropriate. Possible support through
	Road safety education and publicity	As above.
	Company Travel Plans	Support for measures included in GTPs as may be promoted via RTP.
	School Travel Plans	As above.
	Asset condition monitoring (excl. highway/car parking)	Implications for improvement initiatives promoted through RTP.
	Operations and management of community transport, dial-a-ride etc.	Needs to be integrated with public transport strategy, as appropriate
	Signing strategy	Improvements could be promoted/assisted through RTP.

<b>G</b>	<b>Local Authority issues – III</b> Consortium as formal consultee	
	<i>Activity</i>	<i>Regional interest</i>
	Local Development Plans	Consortia should be consulted on transport policies and major proposals relevant to the RTP.
	Supplementary Planning Guidance on relevant issues such as car parking	Consortia should be consulted for compatibility with regional parking strategies.
	Planning applications	Consortia should be aware of major applications with clear transport implications. Responses would be dependent on prospective impact on RTP.
	Regeneration initiatives	As above, for initiatives developed as part of local planning policy.
	Pedestrianisation initiatives	Implications for walking, cycling, public transport and accessibility planning. Beneficial synergies could be promoted through the RTP.
<b>H</b>	<b>Local Authority issues – IV</b> No major regional dimension – informal consultation / liaison if useful	
	<i>Activity</i>	<i>Regional interest</i>
	Taxi & private hire regulation	Integration with community transport provision.
	Shopmobility	Integration with community transport provision.
	Schools and Social Services transport	Integration with public transport strategy
	Public Rights of Way, incl. RoWIPs	RTP may assist with funding, planning and cross-border initiatives.
	Traffic Orders (all categories)	Impact on RTP proposals (if any).
	Street lighting	If capital expenditure via RTP is called upon for renewals / improvement.
	Canal issues	Support of PRow development as part of transport networks.
	Parking management, on street and off-street (all categories), excluding P & R.	Fit within regional framework. NB Park & Ride mainly seen as a regional issue.
	Traffic signals management	Important only where major improvement requires additional funding to be promoted via RTP.
	Powered two-wheelers	Importance to safety strategy, otherwise a local issue.
	Parking assets maintenance – includes sites, equipment hardware, software, information and on-street signage and markings.	No obvious regional interest.

	Highways routine maintenance	As above.
	Bus stop maintenance	As above.
	Winter maintenance	As above.
	Operating centre licensing	As above.
	School crossing patrols	As above.
	Land charges and searches	As above.
	Adoptions	As above.
	Streetworks permissions	As above.
	Surplus highway land	As above.

## Chapter 7 Legislative requirements

7.1 In addition to the Transport Act 2000, as modified by the Transport (Wales) Act 2006, which is the main legislative foundation for transport planning, the RTPs are affected by several other pieces of legislation, the principal items of which are as follows:

- Traffic Management Act 2004
- Planning and Compulsory Purchase Act 2004
- Countryside and Rights of Way Act 1990
- Strategic Environmental Assessment Directive 2001
- Environmental Noise Directive 2002
- Habitats Directive 1992 (as amended)
- Environment Act 1995 (and others)
- Disability Discrimination Act 1995 (and 2005)
- Road Traffic Reduction Act 1997
- Local Government Act 2000
- Education Acts 1996 and 2002

7.2 This list is not intended to be exhaustive and there are other legislative or regulatory elements that could be included, which have been omitted for the sake of simplicity. Consortia are encouraged to gain as good an understanding of the legal context as possible and the Welsh Assembly Government is willing to assist such efforts.

7.3 A discussion of the requirements of and significance to transport stemming from these is provided in Annex C.

### **Part 3 - Delivering the plan**

Part 3 focuses on the key issues relating to delivery of the Regional Transport Plans.

**Chapter 8** considers the process involved in delivering schemes looking at appraisal, SEA regulations and issues affecting the ability to implement schemes.

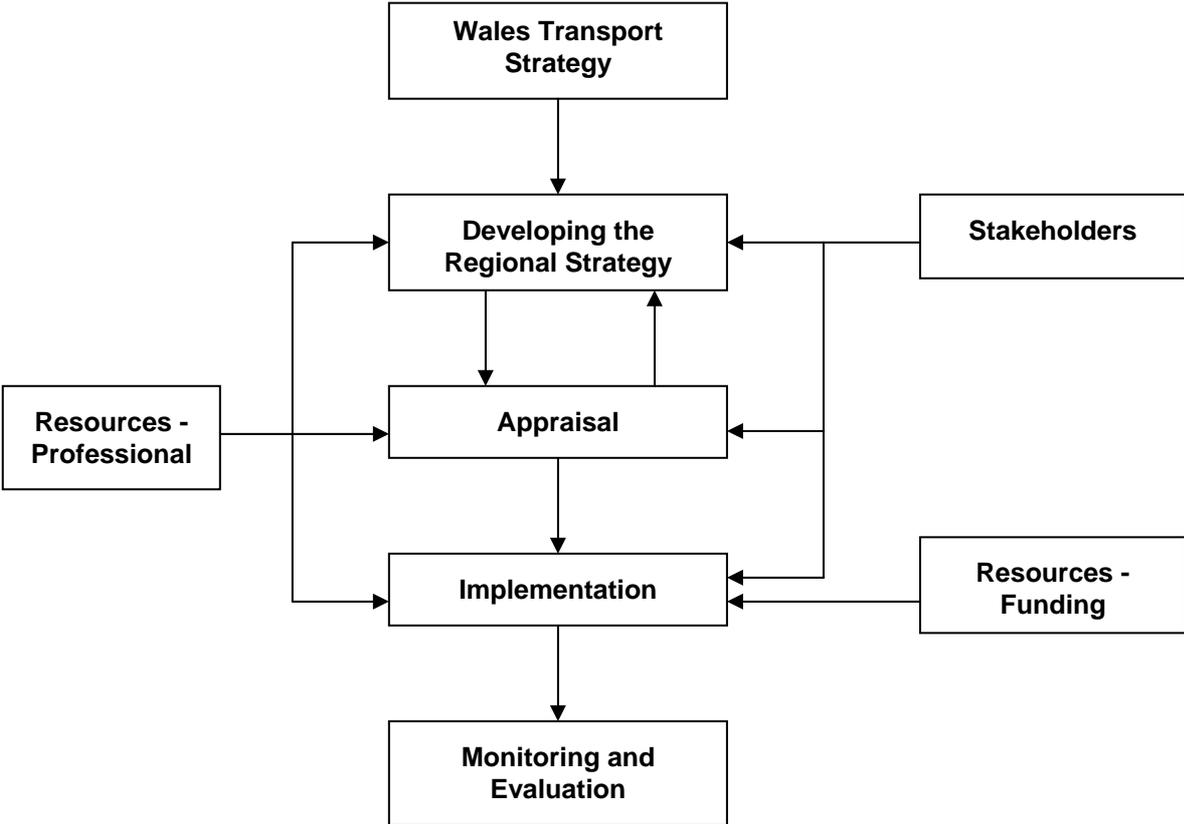
**Chapter 9** focuses specifically on funding

**Chapter 10** provides advice on dealing with cross cutting issues and the need to establish relationships with other related service areas.

**Chapter 11** sets out the concept of Accessibility Planning and the role this can play in identifying the need for improvements. The Chapter then sets out the requirements for Accessibility Planning in the Regional Transport Plans.

**Chapter 8 Scheme Delivery**

8.1 The delivery of transport improvements is a process which starts with the development of the Strategy and results in implementation. As part of the process there is a need for appraisal and a need to involve the public. As a follow up there is the need to assess the effectiveness through focused monitoring and evaluation. The flow chart below shows the scheme delivery process graphically.



**Appraisal**

8.2 Major transport schemes for which the Consortia are seeking funding are required to undergo appraisal. Appraisal is required to be undertaken using WeITAG (Welsh Transport Planning Appraisal Guidance). Consortia are also expected to appraise their own RTPs using WeITAG. Information on the requirements for this is given in Chapter 12.

8.3 The WeITAG appraisal process breaks down into three main activity stages, (1) planning, (2) appraisal and (3) monitoring / evaluation and a separately published detailed guidance document is available. Consortia are advised to consult the main WeITAG guidance itself for full information.

8.4 The use of WelTAG is intended to assist and support decision making, by identifying the best transport option out of a list of possibles and providing structured and quantified information on the costs and benefits of the proposals. The appraisal process is objectives led and hence identifies the contribution to the region's transport priorities and the WTS outcomes. As such it is a useful management tool for assessing any transport proposals, but note that if the Consortia are not seeking Welsh Assembly Government funding, WelTAG appraisal for **individual** schemes is not a formal requirement.

8.5 In considering the application of WelTAG to individual construction-based schemes, packages of such schemes, or other transport strategies requiring funding contained within the RTP, the following advice is given.

- Scheme proposals of £5m and over: Application of all of the above three WelTAG stages is mandatory;
- Scheme proposals of less than £5m: Non-mandatory application of the above, with user-determination of the need for appraisal elements and depth of assessment undertaken;
- Low cost scheme proposals: WelTAG appraisal unnecessary, with cost threshold determined by user;
- RTPs (plans): WelTAG planning stage and stage 1 methodology used to appraise 5 year plan;
- RTP longer term strategy: As above. In both cases, user has discretion on depth of assessment undertaken;
- RTP component strategies (parking etc): WelTAG appraisal unnecessary.

#### **The Strategic Environmental Assessment Regulations for Wales**

8.6 In addition to WelTAG, development of the RTPs should also be undertaken in accordance with the Environmental Assessment of Plans and Programmes (Wales) Regulations 2004 – commonly referred to as the Strategic Environmental Assessment (SEA) Regulations. These stipulate that environmental assessment is required for plans and programmes where it is determined there are likely to be significant environmental impacts. SEA is required for the RTP. The SEA must be treated as an integral and useful part of RTP production and not an optional add-on.

8.7 Valuable guidance on how to undertake an SEA is provided in *A Practical Guide to the Strategic Environmental Assessment Directive* (ODPM 2005)<sup>1</sup>, published by the (then) Office of the Deputy Prime Minister, the Welsh Assembly Government, the Scottish Executive and the Department of the

---

<sup>1</sup> <http://www.communities.gov.uk/index.asp?id=1143275>

Environment for Northern Ireland September 2005. The overarching aim of SEA is “to provide for a high level of protection of the environment and to contribute to the integration of environmental considerations into the preparation and adoption of plans and programmes with a view to promoting sustainable development” (SEA Directive). SEA helps organisations consider the effects of plans and programmes in a structured way to demonstrate that policy development has considered environmental and other effects. Broadly, SEA involves:

- Consulting the Statutory bodies<sup>2</sup> and other key stakeholders on the proposed scope of the assessment process, commonly in the form of a Scoping Report;
- The production of an Environmental Report identifying the likely significant environmental effects of the draft plan or programme and of reasonable alternatives to the draft plan or programme;
- Consultation of the statutory environmental bodies and the public on the draft plan and the accompanying Environmental Report, ensuring that they have an “early and effective” opportunity to comment;
- Taking the Environmental report and the results of consultation into account in decision-making, and;
- Providing information when the plan or programme is adopted in an SEA Statement, including how environmental considerations, the Environmental Report and the result of consultation have been taken into account during plan preparation and the reasons for selecting the plan or programme adopted as adopted in the light of reasonable alternatives.

8.8 The SEA Regulations for Wales also require the significant environmental effects of plan or programme implementation to be monitored, and for appropriate remedial action to be considered in order to reduce or offset adverse environmental effects.

8.9 Consortia also need to consider when SEA is not required. A screening process is indicated, with the critical factors being:

- Whether the plan or programme is legally required,
- Whether the plan or programme sets a framework for future development consents of projects, and

---

<sup>2</sup> These are referred to as Consultation Bodies, and in Wales these are: Environment Agency; Countryside Council for Wales; and CADW. Where there may be significant environmental effects in other countries (England or Ireland for example), consideration should be given to consulting statutory environmental bodies in these countries.

- Whether the plan or programme has “significant environmental effects”. This has two aspects:
  - The wider implications of the plan or programme, and;
  - The characteristics of the effects and the area affected.

8.10 Determining whether the plan could have such significant effects is a matter for the sponsoring body<sup>3</sup>, with reference to relevant established standards and consultation responses. When forming a view on whether SEA is needed the sponsoring body must consult the statutory environmental authorities. Figure 2 of the Practical Guide contains a useful flow chart to help bodies determine whether or not the plan or programme should be subject to SEA. If there is any doubt,. More information on the SEA approach can be found in Annex B.

## **Implementation**

### Implementation resources

8.11 Delivery of the RTP requires the use of finite resources, in terms of people and funding. To maximise the success of the RTP, it is imperative that these finite resources are used in the most effective way. It also means that transport providers need to be realistic in what can be achieved and when with the available resources. Hence, the Consortia need to apply a combination of realism and effective use of resources and this must be reflected in the development of the RTP and the bidding for funding. Consideration by the Consortia of how their capabilities may be improved, maybe with Welsh Assembly Government support, is also recommended.

### Project management and cost control

8.12 Delivery of the RTP is the responsibility of the Consortia. It is up to the Consortia to organise themselves in a manner that enables the effective delivery of the Strategy.

### Procurement

8.13 The Consortia are advised to adopt best practice in all aspects of procurement as it affects plan delivery. As the regional bodies are a significantly new creation, clarity on the equivalent of local authority Standing Orders and attention to expenditure Audit requirements are particularly important.

8.14 The Welsh Assembly Government Transport Wales Procurement Strategy makes reference to the essential principles of best practice, and though this

---

<sup>3</sup> Referred to the “Responsible Authority” in the Directive

was drawn up with construction contracts in mind, much is of relevance to the wider remit of the Consortia:

- Early involvement of contractor (of most relevance in construction contracts).
- Selection of contractors on the basis of both quality and price.
- Recognition and use of sustainable procurement principles.
- A fair allocation of risk, between client and contractor and amongst contractors.
- The importance of design quality and sustainability.
- Gaining value through establishing long-term arrangements with contractors.
- Using e-procurement effectively.
- Development of Key Performance Measures for scheme and plan delivery.

8.15 In addition to the above, the role of existing Local Authority design teams and any established contractor relationships they may have, should be taken account of. The Consortia may additionally consider:

- Establishing Agency Agreements with Local Councils for delivering work in particular areas.
- Setting up Framework or Partnering Agreements for delivery of additional consultancy support.
- Advertise job-by-job support contracts as may be needed.

8.16 Delivery of smaller design and construction work is best undertaken via established relationships and local authorities should be well placed to take on this task as a follow-on from existing practices. Larger schemes or those of a cross-boundary nature will require specific arrangements to be set up although use of Local Authority resources is by no means unacceptable. Ensuring an adequate project management capability may be the most pressing requirement for Consortia for such schemes.

#### Programme integration

8.17 The quality achieved by RTP schemes may benefit from combining complementary programmes where possible. For instance, it may be possible to combine improvement or safety works with planned structural maintenance and/or street lighting work in the same area. Value can arise from the integration of design, tendering and contracting, whilst the impact of a complete holistically - treated area or corridor can be very substantial. The

costs and quality of programme management that are needed are similarly in proportion.

- 8.18 Development of initiatives of this type only arise where planned revenue spending, (usually the primary concern) coincides with a desired improvement scheme in the same area. Despite the possibly limited number of openings, the benefits are large enough to warrant consideration. Such action will also tend to require Consortia and Authorities to work closely together. Therefore the Welsh Assembly Government is happy to encourage examples of such programme integration as Consortia may wish to bring forward.

## Chapter 9 Funding mechanisms

### Overview of Funding Arrangements

- 9.1 Under the current system capital funding to support the LTPs is allocated to Local Authorities in the form of specific grants related to programme areas (formerly Transport Grant {TG}). The grants are for capital expenditure items only and bidding sits outside the un-hypothecated (revenue) funding allocations for maintenance, bus service support etc.
- 9.2 Currently, resources are likely to be focused on funding existing project commitments, rather than expanding the programme to accept new schemes. The Welsh Assembly Government is considering the point at which bids for new expenditure will be invited and will advise Consortia when it is in a position to accept new scheme bids.
- 9.3 The Welsh Assembly Government wishes to honour its commitment to fund schemes already accepted for expenditure. Consortia will need to submit roll-forward funding applications for projects that have been accepted for support to comply with the formal allocation process.

### Funding Criteria

- 9.4 Subject to additional resources being approved, support of new major schemes (over £5m) will be considered for specific measures which demonstrate a positive contribution to meeting the regional transport priorities and WTS outcomes and a clear need for the investment in achieving this contribution.
- 9.5 Bids for new major schemes will need to identify their importance in achieving the RTP objectives and evidence of how they will help achieve these. This assessment must be done in accordance with WelTAG. The RTP should include a summary of the results of the WelTAG process with supporting documents comprising the WelTAG appraisal.
- 9.6 Welsh Assembly Government will be looking for evidence that the Consortia are using other funding means, including local authority resources to complement grants.
- 9.7 The Consortia are required to satisfy themselves that the relevant local authority can meet the revenue consequences of the capital investment for which funding is requested. The Consortia are therefore asked to identify the revenue implications of these types of schemes, and the resources they plan to commit.

- 9.8 The RTP should provide evidence of the constituent local authorities' financial commitment to delivering the RTP. It should demonstrate the consideration of funding from other sources.
- 9.9 Wherever possible the costs of investment in public transport services should be recovered from the beneficiaries – both providers and users of improved public transport services, and where appropriate, the owners of property served by new infrastructure. It is important that projects maximise the opportunities for local partnerships and the Consortia will be expected to show that options for recovering the costs of the investment have been fully explored.
- 9.10 The Consortia are encouraged to be creative in seeking additional funding for transport spending. Other than EU funds, there are a number of other funding avenues that should also be explored. Failure to do so will not count against the Welsh Assembly Government's view of an RTP, but an explanation of what has been done, funds raised and their use should be included in Consortia APRs.
- 9.11 Local Authorities should provide evidence of their own financial commitment to delivering improvements to transport provision. They should also demonstrate how they have actively considered the scope for undertaking schemes in partnership with the private sector, including the possibility of utilising private finance.
- 9.12 Consortia are advised to maximise funding through Development Agreements, to mitigate any negative effects upon transport facilities of new development in an area. Such mitigation can typically be in the form of capital improvements to highways or other facilities, revenue contributions towards bus services and information, or innovation such as funding travel planning initiatives. Technical Advice Note (TAN) 18 provides more information on this topic. Consultation on TAN 18 ended last October and the prospective release of the new version is march 2007.
- 9.13 The application of funds raised from additional sources is not constrained by Welsh Assembly Government policy, but should at all times be consistent with the RTP. The Welsh Assembly Government is not in a position to guarantee match funding for schemes, however it would be possible for Consortia to progress schemes of over £5m without recourse to a major scheme bid, providing use of partnership funding limited the need for other public funding available to the Consortia to less than £5m.
- 9.14 Partnership with private sector organisations to develop transport proposals may be considered. Such agreements may be attractive in cases where an attractive revenue stream is available to the commercial partner, whose input may offset the initial capital outlay required. Such schemes must be consistent

with the RTP. Formal assessment of Public/Private Partnerships (PPP) proposals will be required, with public sector scheme costs and benefits addressed using WeITAG, with supplementary commercial analysis of the private sector business plan at a comparable level of detail to the WeITAG process. An assessment of the public sector's exposure to risk will form a critical element of the commercial analysis. Consortia are advised that the Welsh Assembly Government is not in a position to underwrite commercial risks entered into by them with private sector organisations and it is for the Consortia themselves to ensure that all commercial estimates are robust and realistic.

- 9.15 Welsh Assembly Government will not prescribe the make-up of schemes to be included in any funding bid. The intention is to give the responsibility to the Consortia to determine which schemes to progress in order to achieve the objectives. The measures and the interaction between measures should be set out in the long-term strategy that forms part of the RTP.
- 9.16 The Consortia will be expected to be the sole source of bids and applications for continuation funding from now on. They will be expected to allocate funding so received in accordance with the priorities set out in the RTP and as noted, this funding is already on-stream for existing schemes accepted for TG.
- 9.17 Initially at least, the Consortia will not submit bids for those elements of revenue funding which are part of the Standard Spending Assessment. This will be awarded on the same basis as currently to Local Authorities directly and is principally intended to be used for highway maintenance and bus service support. The use made of these resources for transport applications by Local Authorities should be summarised in the APRs submitted by the Consortia. However the Consortia should take full account of the revenue implications of their plans as set out in detail in Annex G. For example if a priority in the plan was support of buses or community transport then the revenue implications of this need to be explicit.

#### **Development of the funding system**

- 9.18 The Welsh Assembly Government is considering how the funding system's various elements may be developed to best suit the RTP system. Options are being looked at in a collaborative approach with the Welsh Local Government Association (WLGA) The WLGA/Welsh Assembly Government Transport Funding Group's Terms of Reference covers:
- To determine a sustainable, suitable and simplified funding model for delivery of RTPs and local authority transport and highways services through:
  - Determining which specific grants and funding streams are to be examined

- Determining additional funding streams i.e. structural funds
- Determining how other budgets can be utilised to assist in RTP and transport and highway service delivery e.g. health care, police. There was recognition that there would need to be evidence of the benefits to Health and Social Justice and this then fed into the spending review in 2007.

Consultees comprise:

- Welsh Assembly Government – Local Government Finance
- Transport Consortia Chairs, members and Lead officers
- Local Authority Chief Executives
- Local Authority Finance Directors
- CSS Wales
- Local Authority Transport/Highways Directors
- Local Authority Transport Plan officers
- ATCO
- CPT
- Transport Operators
- CTA
- CECA – Construction Industry

9.19 With the new transport planning system, the RTP will be the bidding framework for Welsh Assembly Government funding and will cover a 5 year period.

9.20 The Welsh Assembly Government is looking to develop the existing funding mechanisms, to suit the wider remit of RTPs and to allow the Consortia as much flexibility as possible in the use of available funding to progress their RTP.

9.21 Future levels of funding are dependent upon the outcome of the UK Comprehensive Spending Review and Welsh Assembly Government budget allocations. Indications of future funding will be provided to the Consortia once details are available.

9.22 The Welsh Assembly Government will be issuing separate detailed bidding guidance for 2007-08.

### **EU funding programmes**

9.23 European funding mechanisms for the period 2007 – 2013 are at an advanced stage of development, with programmes intended to commence later in 2007.

9.24 There are three funding streams included in the EU regional programme.

- Convergence Programme (formerly Objective 1)
- Competitiveness and Employment Programme (formerly Objective 2)
- Inter-regional Programmes (the “Interreg” programme)

The sums (in euros) likely to be available over the 2007-13 period are:

- |                                 |         |
|---------------------------------|---------|
| ▪ Convergence:                  | 1.85 bn |
| ▪ Competitiveness & Employment: | 121m    |
| ▪ Inter-regional:               | 48m     |

9.25 Projects in West Wales and the Valleys will qualify for consideration under the Convergence Programme. This includes all authorities except for Flintshire and Wrexham (Taith), Powys (TraCC) and Monmouthshire, Newport, Cardiff and Vale of Glamorgan (Sewta), all of which fall into the Competitiveness Programme area. Transport is a specific theme in the Convergence Programme but is unlikely to feature as such in the Competitiveness programme. The Strategic Frameworks are being considered in detail with Local Authorities, the Welsh Local Government Association and Regional Consortia. More details will be available soon.

9.26 The basic principles of match funding, partnership and scheme alignment within a framework of objectives defined at a European level apply to supported schemes

9.27 Management of the programmes and of work on their development is handled by the Welsh Assembly Government through the Welsh European Funding Office (WEFO), who invite approaches from local government in identifying prospective schemes. Consortia should consult the WEFO website for latest details of programme development.

## Chapter 10 Cross Cutting Agenda

- 10.1 The Welsh Assembly Government views the interactions between transport and related service areas as critical to the success of the RTPs in meeting the needs of the respective regions. A process of information sharing, joined-up thinking and integration with the aim of a consistent policy approach across services should take place. How well this is done will be a touchstone of quality in planning generally and in what is achieved in practice by the transport plans.
- 10.2 A major feature in transport planning is the need to gain a fuller understanding of the series of mutual impacts between initiatives affecting transport in related policy fields and vice versa. This interaction with non-transport policies is increasingly recognised as an important element in scheme assessment, in order to maximise benefits without them being undermined by decisions taken elsewhere and in ensuring consistency in public policy making across the full range of activities.
- 10.3 Policy integration will encompass how the RTPs relate to service planning within the member authorities and with other service delivery agencies such as those dealing with health care and health improvement, post 16 education, air quality management and economic regeneration. A cross cutting assessment will identify potential issues arising from a consideration of these inter-linkages of policy and RTPs should therefore look to incorporate a qualitative assessment of the main aspects.
- 10.4 Transport policy should ideally have a bearing on the parallel strategies and policies as well as reacting to them. This underlines the central role of consultation, partnership working and joined-up thinking, as essential features of RTP development.
- 10.5 Aspects of the cross-cutting agenda are captured through techniques such as accessibility planning, SEA and the use of the WeITAG methodology. However these assessments are generally concerned more with the wider distribution of impacts flowing out from the transport initiative (plan), than the reverse impacts on the plan from outside sources.

### **Policy Gateway**

- 10.6 The Welsh Assembly Government utilises a procedure called the Policy Gateway to ensure that policy development takes place in a manner consistent with established national strategies. In essence the stakeholders in any particular new plan or policy contribute to a mutual assessment of it, following structured principles of discussion. Plans considered as being deficient in any aspects can thereby be identified, the problems highlighted and overt management decisions on the appropriate remedial action taken.

10.7 It is not suggested that Consortia develop their RTPs using this particular methodology, as it was not devised to deal with same type of cross-cutting relationships the Consortia face. However the process of RTP stakeholder consultation does need to address cross-service consistency issues and this will need to be addressed by the Consortia.

#### **Cross-cutting analysis**

10.8 RTP cross cutting assessment should contain a basic, cross-tabulation of RTP policy areas against transport-related content of the parallel strategies, along with a simple weighting of the importance of the relationship.

10.9 The intention of the cross-cutting assessment is to identify and assess the importance of the mutual plan impacts and to determine and manage the way forward from that point.

- A. Firstly, Consortia should identify what the cross-cutting issues are. For this, the scope of the RTP as expressed in its priorities, objectives and more detailed aspects and the relevant policy areas of other services need to be identified. The Consortia should therefore compile a schedule of these policies from the constituent authorities and external agencies.
- B. Secondly, the mutual impacts should be assessed by mapping the cross-cutting impacts. There are two aspects to this:
  - The possible impacts of the RTP upon other strategies
  - The possible reverse impacts of other strategies upon the RTP
- C. Finally, considering how to deal with any issues revealed by the analysis may present key challenges to the Consortia, which may need to be addressed by appropriate management action. The issues and how they might be dealt with need to be identified.

10.10 The policy consistency tables used for SEA scoping are a useful model of how to approach item B. A simple check between likely RTP impacts, and those arising from external policies is recommended with the importance of the interaction expressed using a subjective scale. A hypothetical table in this form is shown below. As the list of potential conjunctions could be endless, a concentration on the most important in each region is necessary.

### Model compatibility matrix between RTP priorities and parallel plan objectives

(Sample) RTP priorities	(Sample) parallel plan objectives					
	Primary health review	16-19 transport economies	Car park charge reduction	AQMA Declaration	Noise mapping criteria	Major retail proposal
Minimise transport effects on air quality	-	-	?	C	-	?
Promote healthier lifestyles	-	?	N	-	-	?
Protect cultural heritage	-	-	-	C	C	-
Improve access to healthcare	?	-	-	-	-	-
Efficient movement of freight	-	-	-	?	?	-
Improve access to education	-	N	-	-	-	-
Improving public transport use	-	N	N	C	?	?
<b>C</b> Policies compatible	?	Uncertain relationship	N	Policies not compatible	-	No Inter - relation

10.11 It is not the Welsh Assembly Government's intention to offer guidance or instructions to all potential Council services and other delivery agencies on the cross-cutting agenda. However it wishes to ensure that the benefits of concerted action are taken into account. The Consortia will therefore be expected to show how they have responded to matters arising from the analysis and to provide a commentary on the importance of the impacts, particularly the reverse impacts, as they might affect the RTP.

#### Internal relationships

10.12 When considering the list of stakeholders, those within Local Authorities should be the first to be consulted, being 'internal' to the RTP and its process of development. A mechanism of participative consultation should be devised by the Consortia to involve the constituent Authorities in plan development.

10.13 The substantial role of Local Authorities in RTP development and implementation should encourage the Consortia to take full account of internal interactions between services at local level. Viewed from a Local Authorities position, the Consortia should be a useful reference organisation when dealing with challenging cross-cutting issues. From the Consortia's standpoint, the same issues may justify providing comments, advice or formal feedback to Local Authorities.

10.14 The process of devising detailed working arrangements for the Consortia provides the ideal opportunity for the Local Authorities and Consortia to set up appropriately structured relationships to handle the cross-cutting agenda. The solution may be different for each region and there is no universal template available to use.

10.15 A principal area of a cross-cutting nature is planning policy, including development control and forward land use planning policies. These are matters with strong local significance and are primarily dealt with by Local Authorities. They are a major part in the communities' common experience of transport, where any problems revealed ought to be reflected in an RTP response. This illustrates perfectly the need for a joined-up approach to policy at local and regional level. Regional Consortia may wish to discuss the Community Involvement Schemes for the Local Development Plan with their constituent Local Authorities so that they can engage with LTP processes for their areas. Other major cross-cutting areas are environmental policy and accessibility planning, both covered separately in this document.

#### **Wider and external relationships**

10.16 The RTPs need to take note of the main national and local policy initiatives that have a direct bearing on transport in their region:

- Wales-wide and regional spatial planning
- Existing transport strategies
- Service delivery and locational policies in relation to health care and education provision
- Locational policies of major private sector organisations (employment, retail, leisure)
- Cross-boundary policies and developments
- Statutory consultees
- Commercial partners

10.17 Securing the input of purely internal stakeholders should be paralleled by a wider consultative approach to engage bodies outside the Consortium. The cross-cutting agenda covers matters that are equally sensitive to external transport stakeholders as they are to the Consortia themselves. The role of the RTP in this wider domain needs to be more focused on influencing wider decision making, than making direct interventions.

10.18 The process of developing Community Strategies could provide a forum for discussion on this wider context over the lifetime of the RTP. The Community Strategy partnerships are well placed to provide a consultative role in RTP development and in the monitoring of outcomes.

10.19 There are strong links between local and regional perspectives in respect of locational decisions. These policies often emerge into the public domain through local consultations originating from the service provider, or simply, the receipt of planning applications which are dealt with locally. The Consortia should therefore seek to:

- Identify a comprehensive list of wider stakeholders
- Reveal as full a picture as possible of changes likely to take place
- Assess the importance of the changes
- Provide feedback to consultation responses received

10.20 Neighbouring Consortia should be regarded as single consultees although there is nothing to prevent consultation with individual authorities within those regions in addition. Consortia should also make contact with any contiguous transport planning bodies in England. This will include County and Unitary Councils, Regional Assemblies, Passenger Transport Executives and the Highways Agency.

#### **Proofing the plan**

10.21 In certain cases, 'proofing tools' are available for undertaking cross cutting analysis, which can capture a picture of the wider patterns of impacts. The concept of proofing can extend to cover social, economic or environmental aspects of a plan. The SEA process is believed to comprehensively provide for environmental proofing for instance.

10.22 Economic proofing is less systematically covered by existing methodologies, although WelTAG economic appraisal, and accessibility analysis, if conducted in sufficient depth, would enable the cross cutting impacts to be covered. As these are not spreadsheet-type analyses, there is an argument that the detail of work required may be such as to only support full economic proofing over the life of the RTP, rather than to attempt it at the start.

10.23 The subject of proofing is most often encountered in respect of social inclusion, i.e. the social category of inter relationships. For example the Welsh Assembly Government is concerned that the particular needs of the Welsh speaking community (wherever located and however defined) and of rural areas are properly reflected. National and local policy applies with this subject and in a number of other areas such as race equality, disability, gender and health impacts.

10.24 The Welsh Assembly Government does not make the use of such techniques mandatory in every case. In addition, the advisory proofing tools may not be suitable or may not exist in some cases. There is no agreed set of wider cross-cutting topics, although the Welsh Assembly Government's Voluntary Quality of Life indicators do offer a useful informal reference list. The advice is

therefore to undertake such proofing to add quality to the plan process if practical opportunities to do so arise. This may be likely in respect of health impacts, which ties in with the cross cutting consistency assessment and could be a useful step in establishing partnerships with health agencies.

### Health Impact Assessment

10.26 The Welsh Assembly Government's most developed tool in this field concerns Health Impact Assessments (HIAs), which is aimed at gauging the likely impacts of a policy or programme upon the health of the populations it will affect. The HIA process is a way of mitigating the potential negative impacts on health and well-being, and it is also a way of identifying and maximising positive impacts. The 'determinants' which should be considered when preparing to conduct an HIA overlap to a considerable extent with the appraisal topics set out in the WelTAG document and with the WTS outcomes. It should be noted that they cut across the three central headings of social, environmental and economic impacts.

10.27 In the following table, some of the more pertinent determinants for HIAs are set out, together with their closest equivalents in WelTAG.

<b>HIA determinant</b>	<b>Equivalent WelTAG impacts and indicators</b>
Physical exercise	Physical fitness (Social impact)
Social isolation	Social inclusion (Social)
Built environment	Landscape & townscape (Environmental impact)
Noise	Noise (Environmental)
Air & water quality	Local air quality & water environmental (Environmental)
Community safety	Personal security (Social)
Road hazards	Transport safety (Social)
<b><i>Accessibility topics</i></b>	
Health & caring	Access to health facility (Social)
Shops & services	Access to food store (Social)
Public amenities	Access to leisure facility (Social)
Transport services	Efficient and reliable movement (Economic impact)
Education & training	Access to education & lifelong learning (Social)

10.28 HIA is currently a voluntary technique, however in appraising the RTP using WelTAG, many of the determinants will be looked at anyway, meaning that

Consortia would be in a good position to undertake an HIA should that prove to be of value.

## Chapter 11 Accessibility Planning

11.1 The concept of accessibility planning arose from the Social Exclusion Unit report entitled *Making the Connections (2003)*, and is centred on the goal of improving access to life opportunities to allow people to achieve their potential. A major objective in the use of accessibility planning is to facilitate access to key facilities such as:

- Health care
- Education and learning
- Employment
- Fresh food
- Leisure and cultural destinations

11.2 Accessibility planning has arisen as a way of determining the ease (or difficulty) with which people can access the services they require. It is centred around but not exclusively related to social inclusion.

- Supporting economic regeneration
- Facilitating the transition from welfare to work
- Reducing health inequalities
- Improving participation and attendance in education.

11.3 The early identification of this wider context is key to both the identification of issues and the wider solutions to the problems facing the regions. Whilst the primary responsibility lies with the transport authority, other local organisations and bodies also have an important role to play. Such organisations may include:

- Local Planning Authorities
- Local Health Boards
- Local Education Authorities
- Learning and Skill Councils
- Job Centre Plus
- Local employers
- Voluntary organisations
- Public transport operators

11.4 The WSP and WTS stress the desirability of developing improved accessibility through planning mechanisms. The WSP notes the transport and land use planning aspects of accessibility, showing that changes to either can have an impact on the other and that this impact can be beneficial or the opposite.

11.5 The WTS goes further, breaking down the overall aim of securing improvements into several outcomes, those of better access to healthcare, employment opportunities, education and lifelong learning opportunities, key tourist sites and shopping and leisure facilities.

11.6 The concept of accessibility focuses on the relative ease by which people can reach the facilities and services they need and/or desire. This can mean either physically being able to move to particular locations, or being able to secure access remotely, through communications media. Deficiencies equate to poor access quality, and in practice this means the community is experiencing one or more of these problems:

1. that the desired facilities are not delivered in a manner convenient to users,
2. that the community of users face transport barriers preventing access,
3. that other, social barriers might be evident.

The first point refers to the geographical spread of services and facilities relative to their presumed catchment areas.

Point 2 refers to the quality of transport and communications systems.

Point 3 covers the social make up of communities and how this is reflected in underlying patterns of demand for access.

11.7 The analysis of problems must therefore take a wider view than just looking at transport issues and delivery of better accessibility needs to take account of development of the other factors and the interactions between all three.

11.8 The accessibility planning exercise recommended for RTPs takes its lead from the work undertaken for the WTS and is intended to produce an enhanced interpretation of the WTS analysis and place the Consortia in the correct orientation to conduct more detailed analysis subsequently.

#### **Accessibility planning structure**

11.9 The overall approach to accessibility planning breaks down into five stages, which should not be seen as stand alone, but rather as iterative and interactive. The stages can be summarised as:

1. Strategic Accessibility Assessment
2. Local Accessibility Assessment
3. Option Appraisal and Identification
4. Accessibility Action Plan
5. Monitoring and Evaluation

### Stage 1: Strategic Accessibility Assessment.

11.10 This stage should be concerned with identifying accessibility issues in the region. Accessibility analysis should consider access to the following services:

- Hospitals
- GP's
- Dentists
- Pharmacies
- Primary schools
- Secondary schools
- Further education
- Employment
- Local centres
- Supermarkets
- Tourism

The identification of accessibility issues could be identified through a variety of methods:

- Partnership working
- Workshops – stakeholder/theme specific
- Strategic accessibility mapping undertaken using GIS based software.

11.11 Issues identified in the process can then be addressed through the 4 other stages. Initially it is suggested that the RTP focuses on identifying and understanding the strategic accessibility issues before trying to develop solutions.

### Stage 2: Local Accessibility Assessment/Detailed Analysis

11.12 Having completed stage 1, and identified strategic problems and issues, the local accessibility assessment stage will enable the Consortia to pursue an approach whereby they can explore the identified issues at a more local level. This could include consideration of access to facilities during specific time periods or considering access to specific types of facilities offering different standards of activities (i.e. personal choice). In some case this could focus on the effect of planned growth and how this may contribute to the accessibility of both planned and existing development. This presents an opportunity to ensure that new development is planned in an accessible manner thus fitting in with the sustainability agenda.

### Stage 3: Option appraisal and identification of resources

- 11.13 This stage begins to explore the ability to improve/resolve identified access issues. As solutions are identified they should be tested for comparison to establish likely impacts and benefits to the area as a whole.
- 11.14 The evolving options should be formally appraised during this stage of the accessibility planning process. It will also identify the type and level of resources necessary to deliver options for improvement. Good practice suggests that this should be approached from a multi agency angle identifying the role that each agency has to play in delivery of specific schemes and initiatives.
- 11.15 The objectives of addressing identifying accessibility issues should be guided by:
- Integrating and mainstreaming accessibility considerations into wider transport strategies, policies and programmes
  - Implementing specific accessibility-related transport schemes and initiatives through planning, delivering and managing the local public transport, highways, cycle, footway and rights of way networks
  - Integrating and mainstreaming accessibility objectives across the planning and delivery of the constituent authorities' wider policy areas
  - Influencing partners' (other agency/service providers) policy and scheme delivery so that accessibility considerations are taken into account.

### Stage 4: Development of an Accessibility Action Plan

- 11.16 Following the evaluation of the options in stage 3, this stage will identify an action plan for the delivery of the accessibility plan. The actions should form part of the ongoing work stemming from the RTP, and be integrated with it. It should also identify the necessary actions required from other agencies and highlight the timeframe for delivery.

### Stage 5: Monitoring and Evaluation

- 11.17 The fifth stage of accessibility planning is concerned with monitoring and evaluation. It is essential that such processes are undertaken and this will enable the Consortia to consider the effectiveness of the accessibility plan as a whole and to identify new and emerging accessibility issues in addition to those that have not been fully/adequately addressed.
- 11.18 In the longer term, it will present the Consortia with the ability to determine which types of schemes are effective and resource efficient and those that aren't. This will facilitate the development of a good practice guide for accessibility planning.

### **Scope of RTP accessibility work**

- 11.19 The Welsh Assembly Government's view is that a strategic assessment is the most important element for Consortia to concentrate on pre-submission. This should seek to explain the Consortia's approach to accessibility planning, what the main issues and priorities are and how developing a solution may be linked into Local Authority and partner organisations' objectives, such as for developing education and health facilities, as a cross-cutting item. The Welsh Assembly Government does not wish to see a separate stand-alone accessibility plan emerge from this work, as it should be interwoven into the plan's overall structure.
- 11.20 Note that the strategic assessment naturally sits with the "problems and opportunities" stage of RTP development. Problems and options for addressing them may be revealed, which would be dealt with at later stages of the RTP, both as a plan and an ongoing set of actions. This corresponds to stages 2-5 in the above structure. The priority to be placed upon accessibility initiatives would be at the discretion of the Consortium, but the interventions could apply across all possible categories of RTP action.
- 11.21 The Welsh Assembly Government does not prescribe the methodology by which accessibility assessments should be undertaken. The Accession software provides a powerful tool for thinking about and investigating accessibility matters and helping define solutions, but this product will not always be the most appropriate to use in every case. Accession was bought by the Welsh Assembly Government for the Consortia to assess, inter alia, the RTPs' contribution towards the accessibility-related outcomes of the WTS.
- 11.22 Consortia should be aware that the resource inputs for detailed work can be large, so striking the right balance between the amount of detailed work undertaken and the benefits to be gained, needs careful thought.

### **WTS outcome monitoring**

- 11.23 The WTS proposes that Consortia should lead monitoring and assessment of accessibility outcomes. This should focus on the regional priorities. Access issues could cover concerns in relation to:
- Hospitals
  - Places of further education
  - Key centres of Employment
  - Key centres for leisure activities
  - Key centres for retail facilities
  - Access to a range of other retail and leisure facilities
  - Access to visitor attractions
  - National and international connectivity

11.24 The Welsh Assembly Government expects accessibility planning work will be undertaken by the Consortia and to use Accession to produce results in a standard format across all regions and accessibility categories. As part of the task the Welsh Assembly Government would like the Consortia to undertake the Accession work relating to the Welsh Transport Indicators in addition to the work identified by the Consortia as being of particular importance to their region. Chapter 13 and Annex H provide details of the Accession requirements for the Welsh Transport Indicators.

#### Cross-cutting view of accessibility

11.25 The Consortia will have direct influence on the transport delivery side of accessibility matters, but less so as far as the spatial planning, service location or social aspects of the picture. The involvement of stakeholders provides an approach to dialogue on such wider context issues, with the aim being to establish a co-operative framework for action set up to support the desired actions.

11.26 Any accessibility-based RTP priorities can be included in the compatibility matrix of cross-cutting issues described in chapter 10.

#### Accessibility interventions

11.27 The underlying intention of accessibility planning is, having identified key problems and priority areas, locally appropriate solutions can be identified, developed and promoted through the RTP and other mechanisms. The strategic assessment on its own does not provide sufficient justification for interventions, but is a necessary step down that pathway. There is no commonly-agreed list of reference interventions and these should emerge from the investigation and joint working with other stakeholders.

11.28 More details on the strategic assessment and possible follow-on work are provided in Annex J.

## **Part 4 – Appraisal and monitoring of plans**

Part 4 focuses specifically on the requirements for appraisal of the Regional Transport Plan and the subsequent monitoring of progress of the Plan.

**Chapter 12** looks at appraisal and sets out the how a WelTAG appraisal of the Regional Transport Plan is undertaken.

**Chapter 13** considers the requirements of monitoring and provides advice on identifying indicators.

## Chapter 12 Plan appraisal

- 12.1 The Welsh Assembly Government wishes the Consortia to undertake transport appraisal of their plans using the WelTAG guidance, to assess likely plan performance against regional priorities and contributions toward WTS outcomes. This chapter concentrates on the use of WelTAG for the specific purpose of plan appraisal, although WelTAG also has the more familiar purpose of project appraisal in connection with scheme funding bids to be submitted to Welsh Assembly Government. As the methodology is closely tied to the process of RTP development itself, this guidance also serves to explain the series of tasks and the order they should be dealt with. Figure 2 in Chapter 4 shows how the RTP development process and WelTAG appraisal process can interact.
- 12.2 A Consultation draft of WelTAG was circulated in July 2006. A final draft is due in summer 2007.
- 12.3 The appraisal should concentrate on the 5 year RTP programme but also cover the medium and longer term horizon.
- 12.4 In respect of plan appraisal, WelTAG defines a three stage process, the first being a planning stage incorporating problem definition and objective setting. This is followed by a strategy development stage covering option generation. Following this is the appraisal stage, to narrow down the range of options and investigate them in more depth. Monitoring and evaluation would follow this.
- 12.5 There are significant differences of emphasis between the application of WelTAG for strategy or plan and for scheme appraisal. WelTAG separates the appraisal part of the process in two stages, with stage 2 providing a more detailed assessment. A Stage 1 appraisal is always required whereas Stage 2 is only required for schemes. WelTAG acknowledges that “the appraisal of a whole strategy will normally only be undertaken at a broad level”.
- 12.6 For schemes, WelTAG includes a second stage of detailed appraisal, requiring quantified parameters derived from modelling, surveys and cost assessments where appropriate. The WelTAG document provides a full explanation of how plan and scheme appraisals interrelate, the main aspects of which are also dealt with below.
- 12.7 WelTAG is also clear on the level of effort required. Stating that “the level of effort, depth and detail required for appraisal has to be in keeping with the costs, risks, appraisal stage (ie Stage 1 or 2) and the size of the proposal.” Hence for appraising the RTP it is accepted that the appraisal for the medium and longer term will be undertaken at a broad level, whereas it should be possible to provide more detail for the short term.

## **Plan development and WelTAG appraisal**

- 12.8 WelTAG informs the process of plan development in three main ways.
- It suggests an overall structure for the process
  - It sets out work stages integrating plan development and appraisal
  - It assists the necessary value judgement decision making tasks
- 12.9 Consideration of plan appraisal cannot be divorced from the tasks of plan development and SEA, so the description below effectively covers all three topics (see Figure 2).
- 12.10 The application of WelTAG to an RTP is straightforward in principle, but users should keep in mind the need to make the planning process objectives-driven in respect of development and appraisal.
- 12.11 The development of objectives for a plan will be more top-down or strategically driven than with the equivalent scheme-based appraisal. The broad vision for an area is captured by the physical planning of the WSP and UDP/LDP and the WTS and RTP long term strategy. The vision could include broader aspirations such as quality of life, prosperity, community values and so on.
- 12.12 The overall vision is interpreted regionally in transport terms to develop the RTP priorities. Below these would sit the lower level planning objectives which flesh out the priorities and define practical outputs to be delivered by the RTP and its major sub elements. In WelTAG, these lower-level objectives are described as the transport planning objectives (TPOs).
- 12.13 The initial work of problems analysis and developing TPOs is termed the “planning stage” in WelTAG.

### **The WelTAG Planning Stage**

- 12.14 The purpose of the planning stage is to generate a picture of the area’s conditions, its transport problems and possible solutions, and to generate objectives for the appraisal that follows.
- 12.15 The planning stage should incorporate the definition of problems and opportunities (the evidence base), and cross reference these against the regional priorities. Structured consideration of the above reinforced by stakeholder input then enables the setting of detailed objectives (the TPOs). The defining of problems and opportunities and setting of TPOs is an iterative one and requires consultation to take place.
- 12.16 Consortia should consider the relative merits of stakeholder and public consultation rounds in this context. The greatest value from consulting with the public may be gained when seeking views on the scale of problems and when

clear proposals are available for discussion. Stakeholder input may be more productive in the context of option generation. This is not meant to favour exclusion of the public from the initial stages of consultation.

- 12.17 The planning stage consultation should tie-in with initial work on the SEA. This is concerned with collecting and considering environmental baseline and policy context information relevant to the plan and consulting with statutory consultees on the scope of the SEA as it applies to the plan. A key element of the scoping stage is that of setting the SEA objectives. These will relate closely to the general objective setting and monitoring aspects of the RTP. A two-way exchange of information between this work and the WeITAG planning stage would enable environmental considerations to be input from the start and be very useful to informing the discussion when many issues will still exist in a relatively undefined form.

#### Setting the Transport Planning Objectives (TPOs)

- 12.18 Transport planning objectives express those specifically transport-related aims that transport planners are seeking to achieve for whatever spatial area or social groups they are concerned with. TPOs can mirror the WTS outcomes and themes and they should express something which if not achieved, would constitute sub-optimal performance (failure being relative) of the RTP.
- 12.19 These TPOs should, as far as possible, conform to the SMART principles mentioned in chapter 13 of the guidance. As the TPOs measure performance, they will need to be accompanied by performance indicators, so TPO-setting will be closely bound up with the issue of RTP monitoring (see Chapter 13). Setting SMART objectives enables the development of meaningful indicators for monitoring and evaluation purposes.
- 12.20 There is no optimum number of TPOs, but clearly they should be comprehensive but at the same time manageable in number. Too few or too many would make it difficult to compare the performance of different options.
- 12.21 As there are 15 outcomes and 3 themes within the WTS, some rationalisation may be necessary. Consortia should consider which of the outcomes and themes plus any others they may wish to transform into 'hard' performance measures. Welsh Assembly Government guidance on this is covered in the following chapter.
- 12.22 After the TPOs have been defined, planners should verify how they can contribute to resolving problems and how they address the regional priorities and WTS outcomes. WeITAG sets out a proposed Table format (WeITAG Tables 3.2 and 3.3) and provides a worked example (WeITAG Appendix B). The proposed Table format is reproduced below.

**(WelTAG Table 3.2 & App. B)**

Transport Planning Objectives (TPOs)	Potential problems and Constraints		
	Problem 1	Problem 2	Problem..... N
TPO 1			
TPO 2			
TPO 3			
TPO..... N			

**(WelTAG Table 3.3)**

	Transport Planning Objectives (TPOs)			
Regional priorities / WTS outcomes	TPO1	TPO2	TPO3	TPO.....N
Economic <i>e.g. income growth</i>				
Environmental <i>e.g. air quality</i>				
Social <i>e.g. encouraging healthy lifestyles</i>				

12.23 The intention in each case is to demonstrate the ‘goodness of fit’ between the TPOs and either problems or priorities, using a simple qualitative scale.

12.24 Transport planners should check that the TPOs do relate to the identified problems and if gaps are evident, it would be sensible to revisit them. Similarly it is useful to see how the TPOs nest within the national impact areas.

### **The Strategy Development Stage**

12.25 The output of the planning stage should provide a firm basis for developing the plan. Strategy development incorporates work to generate options for intervention and combinations of these into overall RTP options.

12.24 Stakeholder input is critical at this stage for identifying the measures most likely to address the problems. Interventions can encompass schemes, component strategies, policies, timescale and funding variations.

12.25 The RTP comprises a mixture of various categories of scheme, the internal balance between which may be varied. Altering this balance, when taken in aggregate, changes the character of the plan itself and provides different options for the overall RTP. The following simple hypothetical model produces three plan options.

	<b>Typical RTP scheme categories (funding balance)</b>			
RTP Options	Road Safety	Traffic Management	Public transport	other
1	40%	25%	20%	15%
2	30%	40%	20%	10%
3	10%	25%	45%	20%

12.26 Scheme option rationalisation to generate the RTP options can be carried out by scoring the options against how well they perform against the TPOs, as in table 3.4 above. The TPOs themselves could also be given weights so that the most important is given greater significance. As far as possible, scores should be based on an objective assessment; for example, the results of consultation.

12.27 It is recommended that RTP option development be based on a consistent and structured approach to ensure that the problems and TPOs are all properly taken into account when sifting options.

12.28 WeITAG Appendix C recommends a table format to summarise the performance of plan options against TPOs and this should be used as a selection tool for initially identifying preferred options. The Table format is reproduced below.

**(WeITAG App. C.3)**

	<b>RTP Options</b>			
	A	B	C	D
TPO 1				
TPO 2				
TPO 3				
TPO.....N				
	<b>Practicality of implementation</b>			
Technical				
Operational				
Financial				
Public				

- The 'practicality of implementation' cells should be used to score these aspects using a 7 point qualitative scale. Much of the content translates directly into the Appraisal Summary Table (AST), described below.
- The 'technical' and 'operational implementability' assessment should show whether there are any barriers associated with to bringing in and 'running' the plan option, which will either be advantageous or otherwise when compared to other options.
- Funding and affordability assessment should indicate whether costs can be realistically funded. Evidence of difficulties will aid discarding unrealistic options. These table entries illustrate the importance of treating project management issues within WeITAG.
- Public acceptability refers to the outcome of public and stakeholder consultation, particularly the former. This shows how iterative the processes of option generation, testing and appraisal need to be, with reference to stakeholders and the public interwoven in the RTP development timetable.

12.29 How many options can be screened out during the planning stage is a matter of judgement. Appraising a large number of options would require resources in proportion, so they should be kept to a practical level. Consortia should note that a do-minimum option is essential and the SEA regulations imply having at least two 'do something' options, a preferred and a next best alternative.

#### **The WeITAG plan appraisal stage**

12.30 Plan appraisal is intended to test options developed in the preceding stage. In practice, there is a large degree of overlap between appraisal and generating scheme and plan options and a practical feedback mechanism needs to be established between appraisal and strategy development to handle this.

12.31 It is as part of the appraisal stage that a more detailed test of deliverability is performed, risks (and how they are managed and mitigated) are first evaluated and the degree of support from the public and other stakeholders is assessed.

#### Appraisal Technique

12.32 It is accepted that at plan level, a quantitative appraisal may not be wholly appropriate or even possible due to lack of data or of modelling tools capable of quantifying the plan's impacts. The main criterion of plan appraisal should be that the work is sufficiently accurate to be able to identify and differentiate the most promising plan option(s).

12.33 A qualitative appraisal should aim at providing sufficient information to complete a summary Appraisal Summary Table (AST) over the successive iterations. The WeITAG document provides information on techniques, so only a brief discussion is provided here.

- 12.34 Qualitative appraisal requires a subjective rating of individual interventions against the criteria as positive, negative or neutral. WeITAG uses a 7 point scale in keeping with other UK guidance. Ranking can be used to weight criteria and compare options against one another. The availability of some quantitative data may be possible for certain criteria and would help highlight distinctions between options.
- 12.35 The WeITAG criteria are structured around the 'Economy', 'Environment' and 'Society' categories.
- 'Economy' incorporates analysis of transport economic efficiency (TEE) and economic activity and location impacts (EALI).
  - 'Environment' incorporates analysis of air quality, built and natural environment, biodiversity and heritage
  - 'Society' incorporates analysis of transport safety and security, permeability, physical fitness and social inclusion
- 12.36 Under 'economy', a TEE analysis would normally demand consideration of the capital and revenue costs associated with a scheme to produce monetary values. Considered over a plan area, this level of detail is unlikely to be available, so instead an approach based on the 'Economy' category of the WTS could be used. This requires a view to be taken of 6 measures which can be quantified or assessed qualitatively much more readily. The EALI analysis within WeITAG is intended for application to larger schemes and would be difficult to apply to the RTP. A qualitative comment on the likely impact should be sufficient. However, note that the foregoing WTS-based approach should cover some locational issues through accessibility assessment anyway and this can be reinforced by a consistency check against regeneration policies in the region.
- 12.37 Under 'environment', the SEA Regulations prescribe consideration of a range of environmental categories, which are built into the WeITAG system and the AST. Many of the assessments again have to be qualitative, although it may be possible to estimate certain parameters, such as greenhouse gas emissions from vehicle flows, or numbers of sensitive areas and sites potentially affected by a plan (e.g. biodiversity, air quality, noise, cultural sites).
- 12.38 Under 'society', WeITAG specifies a social inclusion report, based on an accessibility assessment. Whilst a social inclusion report is not required for this RTP in essence much of the work will probably already be undertaken in considering accessibility. This can therefore be taken as the fundamental element of the social appraisal and more information on accessibility can be found in chapter 11. Four other categories of social impact are included in WeITAG (safety, security, permeability and physical fitness), but it may not be practically possible to undertake an assessment of these at a regional level.

12.39 Consortia should note three final points of orientation:

- Though there may appear to be a preponderance of value-judgements in the above, remember that the basic requirement is that one option can be differentiated from another. Establishing a scoring system in a wholly qualitative framework can be problematic but this can be eased where there are some harder measures also included in the appraisal mix. Value judgements backed up with logic and consensus agreement of the judgement may provide sufficient information.
- The inclusion of major schemes demands a greater depth of appraisal under the overall umbrella of the plan assessment. This will mean that plan options including major schemes will necessarily include more quantitative data.
- A final consideration is that, if due to either a lack of resources or for policy reasons, the RTP is mainly about small, local interventions, appraisal will be particularly challenging as the 'do minimum' and 'preferred' options are effectively the same thing.

#### First appraisal iteration

12.40 The initial work should bridge the gap between strategy development and appraisal proper.

- The starting point is a potentially large number of options produced by the previous stage.
- This round should aim to filter the options and reduce them to a minimum of three, although more may be needed.
- Feedback to scheme options may be needed, if interventions appraise either very poorly or very well. This is particularly relevant where major schemes are included.
- Feedback to plan options may be suggested, to recombine the interventions, and produce new plan options.
- Major scheme proposals will need greater depth of appraisal (see below).
- Interworking with the SEA process is necessary.
- The work is envisaged as being mainly desktop in nature.
- Initial AST drafts for the plan options should be produced by this round.

#### Major scheme proposals

12.41 If major schemes (£5m+) are proposed, the appraisal needs to go beyond purely qualitative plan approach. Users are advised to apply WeITAG's stage 1 scheme appraisal to all major scheme proposals, once plan development reaches the first iteration of the appraisal process. Consortia should ensure that amongst the RTP options are tests omitting the major scheme(s).

### Second iteration

12.42 This round should aim to prepare the options for full public consultation, which should accompany this stage, soliciting views on an easy to understand set of proposals

- Reconsideration of the contents of each plan option is possible
- Greater depth of appraisal should be attempted, as far as practically possible in terms of available data for example
- Interworking with the SEA process is necessary. Information from this element should feed production of the Environmental Report
- Draft ASTs for the plan options should be produced by this round and it should be possible to incorporate more detail on each option than previously.

### Third iteration

12.43 This round should consolidate the plan around a selected option

- The results of public consultation should be central to arriving at a decision on the final option
- Final consideration of the plan contents is possible, taken from the proposals put to consultation
- Any changes should be fed into a revised SEA Environmental Report
- The work is envisaged as being mainly desktop in nature
- A final AST for the selected plan option should be produced by this round

### **Appraisal Report and The Appraisal Summary Table (AST)**

12.44 The results of the appraisal should be presented in a clear and structured document highlighting the principal outcomes. WelTAG recommends use of ASTs to summarise the key economic, environmental and social impacts from each proposal in a table against the WelTAG appraisal criteria, which are related to the WTS high level outcomes. The relationship between the TPOs and WelTAG criteria will be apparent from the exploration in table 3.2 above.

12.45 The AST is intended to summarise the conclusions of appraisal carried out, not be the appraisal process itself. Underlying each AST entry will be work in the form of data gathering and interpretation, discussion and consultation and WelTAG recommends the Consortia to produce a short report summarising this work. This underlying work can be fully incorporated into the RTP or included as a technical annex, as best suits each Consortium.

12.46 The AST should set out the effect of plan options for each appraisal criterion against three types of impact:

- Assessment
- Distribution
- Significance

The proposed format of the AST is given in WeITAG Table 8.1.

- 12.47 'Assessment' refers to a qualitative description of how the plan option performs against its TPO's.
- 12.48 'Distribution' describes who benefits or disbenefits from each impact of the plan. Consortia are asked to consider how subsections of the community are affected, including geographic areas or socio-demographic groups, users of transport schemes or modes, society as a whole, and private and public sector interests. Identification of a relationship is reinforced by the significance impact.
- 12.49 'Significance' refers to an indication of the magnitude of the impact, on a seven point scale. This derives directly from the appraisal technique discussed above. It is accepted that the scoring will be subjective to an extent and when considered over a plan area, scores that are positive in one area may be negative in another. Despite this, an attempt should be made to provide an overall score and annotate any serious problems which can be properly covered in the appraisal report.
- 12.50 The AST also contains the technical feasibility and finance 'implementability' entries from table C.3 plus a consideration of the TPOs, specifically, the extent to which these are met, also as shown in WeITAG table C.3 (reproduced in Appendix E).
- 12.51 Details of the Appraisal Report are provided in WeITAG, section 4.6.

## Chapter 13 Monitoring the Regional Transport Plans

- 13.1 If Wales is to benchmark itself in key areas of transport and show a commitment to improving transport then there is a need to demonstrate progress. The Welsh Assembly Government is developing a Wales Transport Monitoring Strategy (WTMS) that will provide a framework for a joined up and integrated system for monitoring undertaken by the Welsh Assembly Government, the Consortia and the Local Authorities.
- 13.2 The WTMS sets out the National Transport Indicators for monitoring the WTS, provides advice on the setting of indicators for measuring RTPs and provides advice on the monitoring of individual schemes.
- 13.3 The WTMS provides information on the current monitoring at a national, Regional and Local levels and provides an useful source of information on data available and sources of information. It including details of the Local Government Data Unit (Wales) which currently undertakes monitoring on behalf of the Welsh Assembly Government and the Local Authorities and for this purpose collates data form a number of public and private sources.
- 13.4 Monitoring and evaluation is a tool that assists in the management and development of relevant issues. Monitoring can be used to inform on the following:
- Track and evaluate trends
  - Evaluate the effectiveness of policy interventions
  - Validate assumptions
  - Identify success factors of interventions
- 13.5 Monitoring of various aspects of transport is undertaken by a wide variety of organisations including the Welsh Assembly Government, the Local Authorities, transport operators. Not surprisingly most of the monitoring activity is undertaken at a local authority level.
- 13.6 The National Transport Indicators have been identified for monitoring the WTS. The Welsh Assembly Government wish the Consortia to undertake the monitoring of the accessibility indicators requiring use of Accession. For this reason the Welsh Assembly Government has purchased the software for the Consortia.
- 13.7 The responsibility is with the Consortia to identify appropriate indicators for the monitoring of the RTP in keeping with the guidance set out in the WTMS and summarised in Annex H.

- 13.8 Annex H sets out in more detail the monitoring requirements being placed on the Consortia as part of the RTP process.
- 13.9 In identifying indicators and developing indicators the Consortia should make a number of considerations:
- Relate to specific regional priorities
  - Recognise spatial and temporal requirements
  - Be feasible, realistic and affordable
  - Use best available protocols to collect and evaluate data
  - Emphasis on evaluation as much as collection of data
- 13.10 A smaller range of indicators which could be monitored comprehensively would produce more useful data than a larger range which can not be handled effectively. Each indicator needs to be backed by data gathering which will have resource implications for the Consortia.
- 13.11 The opportunity exists for a tier of purely local indicators to be considered, at local authority level. The Local Authorities still have transport activities to manage and local priorities for their actions. The RTP must recognise these, even where they don't directly relate to RTP programmes.
- 13.12 The Welsh Assembly Government advises the use of SMART objectives as the proper foundation for the whole monitoring framework. As a reminder, the SMART acronym refers to the Specific, Measureable, Achievable, Relevant and Time limited characteristics of ideal plan objectives, which if followed, would clearly assist in the development of indicators.
- 13.13 Note that the SEA process requires the setting of objectives, which in turn should be accompanied by indicators and targets as necessary.
- 13.14 It is intended that monitoring and evaluation is reported on an annual basis in the APR. Details of the reporting requirements will be provided in due course.

## **Part 5 – Regional Transport Plan programme**

**Chapter 14** sets out the programme for delivering the Regional Transport Plans with the identification of key milestones. The Chapter also sets out the transitional arrangements and presentational requirements.

## Chapter 14 RTP development programme

14.1 The key dates in the Welsh Assembly Governments programme are shown in the table below. The critical path to be followed by RTP preparation by the Consortia has four milestones:

- 31<sup>st</sup> January 2007: Submission of regional transport priorities and outline RTPs
- 5<sup>th</sup> October 2007: Submission of final draft RTPs
- 31<sup>st</sup> March 2008: Submission of full RTPs
- 30<sup>th</sup> June 2008: date by which Welsh Ministers will need to agree RTPs

14.2 The Welsh Assembly Government will consider the RTP drafts submitted in January and October 2007 and provide feedback to the Consortia. All such comments should be reflected in the March 2008 submission, which the Welsh Assembly Government envisages should not require further feedback or work by the Consortia. This will enable the Welsh Assembly Government to approve the plans, and this approval, under the terms of the Transport (Wales) Act, causes them to replace the previous LTPs.

14.3 A backstop date of 30<sup>th</sup> June 2008 exist by which the LTPs must be replaced and this places a time limit of three months for Welsh Ministers to approve the plans. Note that the Consortia and Local Authorities will need to have approved the RTP prior to the March 2008 submission date and will not need to formally adopt it thereafter. Arrangements within Consortia and Local Authorities therefore must enable this form of policy adoption to take place Note that the SEA Statement must be published by Consortia at the same time that the RTPs commence.

Dates	Main tasks
30 <sup>th</sup> June 2008 (latest date)	Replacement of LTPs by new plan (i.e. approval of Regional Transport Plans). SEA statement
31 <sup>st</sup> March 2008	Submission of Full RTPs and supporting WelTAG Appraisal Report Revised Environmental Report (if needed)
Dec 07 – Mar 08	Work by consortia on final RTPs
Oct – Dec 07 (assumed)	Consideration of draft RTPs by Welsh Assembly Government, working with Consortia.

5 <sup>th</sup> Oct 2007	Submission of final draft RTPs by Consortia and supporting WelTAG Appraisal Report Submission of Environmental Report
Feb – Oct 2007	Work by Consortia on draft RTPs Liaison with Welsh Assembly Government as required by the Consortia
March 2007	Revised RTP Guidance issued
Feb – Mar 2007	Welsh Assembly Government consideration of outline RTPs, with response to Consortia
31 <sup>st</sup> Jan 2007	Submission by Consortia of outline RTPs, including draft regional transport priorities, also giving details of progress and constitutional arrangements. SEA Scoping report
To Jan 2007	Work by Consortia on regional priorities. SEA stakeholder consultation and baselining work.
July 2006	Welsh Assembly Government first version RTP Guidance issued
13 <sup>th</sup> July 2006	Consultation draft of WTS issued
First half of 2006	Early consultation on WTS by Welsh Assembly Government
February 2006	Royal Assent of Transport (Wales) Bill

### Outline RTPs

- 14.4 The information on the plans and objectives submitted in January 2007 are intended to be an outline containing a clear picture of the regional priorities, RTP objectives and structure, the basic elements of the problems and opportunities analysis and optional approaches being considered.
- 14.5 A summary of the emerging longer term vision for the region and the programme for ongoing stakeholder and public consultation processes should also be produced at the outline stage.
- 14.6 The Consortia will then have a period of 8 months to produce a final draft of the RTPs, tying together the consultation and analysis and WelTAG assessments. The Welsh Assembly Government will provide commentary and views on the outline plan by the end of March 2007.
- 14.7 Liaison between the Welsh Assembly Government and the Consortia is sought by the Welsh Assembly Government throughout the RTP development period.

## **Consultation**

14.8 Consultation work by the Consortia on RTPs needs to commence during 2006. The start of work and the scope of the plan can form the subject of initial discussions with organisational stakeholders. The first milestone will be submission of the outline plan, preceded by SEA scoping with the statutory consultees. Consortia are advised that as no significant details will be available before that point, a major outreach effort to the community at large may well be a waste of effort, although public comment can be invited by providing suitable forums for debate and making plan and programme details available as soon as available.

14.9 The Welsh Assembly Government released the first version of the RTP guidance to Consortia in July 2006. The Consortia are the principal stakeholders as far as the latter are concerned, although the Guidance is a public document.

## **Transitional arrangements 2006-2008**

14.10 The RTP programme should see submission of outline RTPs in January 2007. The Welsh Assembly Government confirms that there will be no requirement for Local Authorities to submit formal APRs in 2006 or subsequently, until the after RTPs are adopted and become operative.

14.11 The Welsh Assembly Government is interested in receiving an update on three aspects of progress during the period up to 2008.

- Scheme outputs and expenditure during the period
- Progress of RTP development
- Progress in developing the regional organisations and preparing the RTPs

14.12 The first item covers TG and Safety Grant funded schemes and major maintenance schemes, whilst the latter two points are essentially position statements on timetable matters, work in progress and major issues to be resolved. The Welsh Assembly Government would be happy to receive a short report on these items, however an alternative approach would be to involve Transport Wales representatives in any regular management forums set up to steer the process, thereby obviating the need to produce annual reports on progress.

14.13 As RTP work by the Consortia will be underway from this year, information on the above should be made available by the Consortia and not by individual authorities.

14.14 Funding during this period for schemes already underway will be maintained, however the Welsh Assembly Government does not wish any new bids to be submitted prior to the RTPs commencing in the 2008-09 financial year.

#### **Plan process on track**

14.15 The Welsh Assembly Government intends to engage with Local Authorities, Consortia and the WLGA during the period of RTP development, in order to remain in contact with the process of plan development and to review the Consortia's progress in responding to the organisational challenges of the Transport (Wales) Act. The Welsh Assembly Government also welcomes dialogue with Local Authorities on progress outside of the set reporting regime and wishes to support development with timely guidance as necessary throughout the process.

14.16 The Welsh Assembly Government is also looking at how to develop the current financial system for supporting transport plans, to better suit the wider remit of regional transport planning. Discussions have been taking place and should be completed prior to the start date of the plans in 2008.

#### **Presentational Requirements**

14.17 The outline RTPs incorporating draft regional priorities were submitted to the Welsh Assembly Government on 31<sup>st</sup> January 2007.

14.18 The final draft RTPs and SEA Environmental Reports are to be submitted to the Welsh Assembly Government by 5<sup>th</sup> October 2007.

14.19 Full RTPs plus any revised versions of Environmental Report are to be submitted by March 31<sup>st</sup> 2008. The SEA Statement must be submitted no later than 30<sup>th</sup> June 2008.

14.20 12 hard copies plus one electronic copy (pdf file) of each of the above are to be submitted to the Welsh Assembly Government address shown in Annex K. Consortia must also submit a Welsh language version of the final RTP document in hard copy and electronic format.

14.21 The Welsh Assembly Government's preference is that the main RTP document should be no more than 120 printed sides of A4 in length, covering the primary content but excluding maps, tables etc.

14.22 Making technical and supportive details, including maps, tables, diagrams and text available in the form of separate appendices is acceptable and their length is not prescribed. However the relegation of primary content to this

appendix is to be avoided by Consortia. Presentation of aspects solely by 'electronic' means is only acceptable if this is the only way of providing this content.

- 14.23 In previous LTP guidance the Welsh Assembly Government required the provision of LTP 'key diagrams' which were considered useful. Therefore Consortia are asked to include a diagram within each RTP summarising the main transport issues and proposals for the regional area, showing how they relate to land use policies. Welsh Assembly Government should be supplied with an electronic form of this map.
- 14.24 Consortia are advised that as a public document, RTPs should be made available to the public in a variety of media. Consideration should be given to making hard copy and web-accessible versions publicly available. Note that the Disability Discrimination Act 1995 applies to RTP document accessibility. To address this point, Consortia should ensure they have the facility to produce multi-lingual versions and copy suitable for the visually impaired. Welsh and English versions of the RTP are definitely required, but catering for other languages may also be needed.
- 14.25 Actions to highlight availability of the final RTP documents should be incorporated into the consultation procedures for the plan. As part of these procedures, being open to questions and able to respond should be an integral part. This should apply to the finalised document as much as to the development stages which preceded it.
- 14.26 Responsibility for making the RTP available lies firstly with the Consortia, but they will be expected to work through their Member Authorities to make use of local outlets and co-operate with local e-government strategies to best effect.
- 14.27 The UK Department for Transport has published guidance on accessibility best practice in producing transport planning documents, which Consortia may wish to refer to and which Transport Wales can endorse in this case.

### **Annual Progress Reports, post 2008**

- 14.28 There will be continuity with the previous LTP system, in that APRs will be required on progress of the RTPs. There are three distinct purposes for the Consortia to be aware of:
- To provide the Welsh Assembly Government with a picture of what progress is being made, particularly in respect of the WTS.
  - To enable the Consortia to compile a picture for their own management purposes and for the benefit of the local communities.
  - To enable the RTP to be reviewed and amended in the face of circumstances as appropriate.

14.29 The first APR will not be required until summer 2009, reporting on the financial year 2008-09, the first full year of the RTP system.

14.30 A guidance note giving full details of the expected content will be issued by the Welsh Assembly Government in the period prior to the APR being required.

#### **Improving effectiveness**

14.31 As the Consortia learn from their experience, the Welsh Assembly Government is interested in improving its stewardship of the overall process of RTPs and WTS development from the information provided by the Consortia. The aspects of feedback within the RTP are mentioned above, however it is just as important that the Guidance issued by the Welsh Assembly Government on annual reports and other matters retains currency and effectiveness in order to support the delivery of transport schemes and policy development.

14.32 The feedback hitherto given to 22 Local Authorities on their APRs could be both simplified (through there being only 4 RTPs) and made more useful by preparation of a Wales-wide RTP report. Consideration is being given to this by the Welsh Assembly Government.

#### **Fine tuning the plan**

14.33 It is possible that as Consortia become familiar with implementing the RTP, a greater understanding of the strengths and limitations of the plan could lead to a desire to fine-tune aspects of its objectives, programme or monitoring system.

14.34 The Welsh Assembly Government encourages the Consortia to take a proactive view of the possibilities although it would not be advisable for wholesale changes to take place frequently, as this undermines long-term stability sought from RTPs. The test of reasonableness is whether the balance of gain and loss from the alteration favours a change, although the 'stability' ethos of the plan means there is a general presumption of avoiding major changes. In other words the case must be strong enough to justify overriding the original intentions.

14.35 Consortia should bear in mind that substantial changes to an RTP may warrant a second SEA consultation process to be undertaken if the fundamentals are challenged by a sufficient degree of alterations.

