



Delivering Successful Local Transport

the City Region Experience



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the City Region Experience

A Report

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0 Executive Summary

PTEs and Combined Authorities: a legacy of success and the shape of the future

This report showcases the success of the English Metropolitan city regions in delivering locally determined, good value, effective investments in our local transport systems. For over 40 years, this has been achieved through the skills and commitment of the Passenger Transport Executives (PTEs). The new models of devolved governance that are now emerging in the 21st Century, including Combined Authorities are now able to harness the experience and knowledge that has been built up over nearly half a century that resides in the PTEs and successor bodies.



*The report highlights the lessons that can be learnt from this experience, and also how important it is that the skills and capacity that have enabled such a successful track record to be achieved be maintained and embedded in these organisations for the continuing benefit of their respective city regions. **For clarity and ease of understanding, throughout the remainder of this report, we will refer to PTEs and successor bodies simply as the PTEs.***

This report – how the PTEs have successfully delivered local transport investment in our city regions

The case for additional investment in local transport and local determination of decision making on those investments, and the additional value that this brings to our national and local economies, has been well made elsewhere in a number of recent reports, notably in the 2011 pteg report, 'Transport Works: the case for investing in the city regions'.



This report seeks therefore to demonstrate that in a world where these devolved opportunities exist, our city regions have in the form of PTEs the existing structures, the skills and experience, the capacity and capability to deliver investment in transport, and to do so in a way that enables the best value to be achieved. PTEs have the established procedures and a track record of successful delivery.

There are important messages for the Department for Transport and others in government in these PTE-led and managed successes in the city regions. The critical success factors that are PTE-specific are as follows:

- Most of the PTEs have a legacy of working beyond their administrative boundary; their approach is rigorously strategic, with the focus on functional rather than administrative areas. In this way their defined objectives reflect travel to work areas and functional economic market areas;*
- The PTE governance structures already have a number of synergies with the key requirements of the DfT's devolved funding proposals. A good example of this is the relationship with the Integrated Transport Authority, which amongst other roles is responsible for the review of the PTEs, providing a robust analysis of integrity and standards and scrutiny of practices and procedures;*
- PTEs have developed their in-house resources to provide specialist teams to deliver key functions ranging from programme development to project delivery and evaluation. These*

specialist teams are focused on key elements of the process and are therefore well placed to incorporate and develop best practice and evolve approaches through lessons learnt;

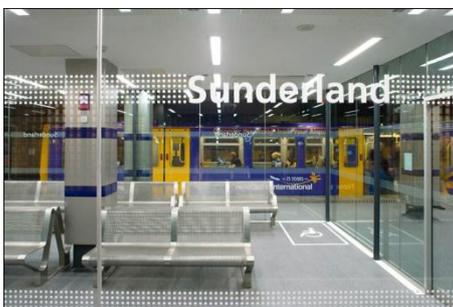
- *As a consequence of their role at the centre of a highly fragmented environment for policy, planning, funding and delivery of transport outside London, the PTEs have developed strong partnerships with key stakeholders such as their respective Local Transport Plan Partnership and transport operators. These partnerships have established comprehensive participation, reporting and feedback structures;*
- *The PTEs are well placed to deliver the government's focus on economic objectives as their multi authority coverage and consequent sub regional focus maps to their economic functional areas, providing the correct level for a strategic approach, enhanced by a local flavour from the constituent authorities;*

- *The PTE areas have developed strong evidence bases, a key feature of which that stands them apart from other areas, is the holistic nature of their approaches to evidence. Areas without a PTE are more likely to be more insular in developing evidence, reflecting their administrative area. PTEs have built up a strategic evidence base that mirrors the functional economic areas within their jurisdiction. This is illustrated by the number of PTEs with coverage by land use and economic models, and strategic transport models. The origin of this approach was, in many cases, the PTEs seeking to understand and substantiate the priorities within their areas in the Regional Funding Allocations process.*



- *In the evolving funding context PTEs have positioned themselves to leverage in the widest possible range of funding sources. Examples include the Transport for Greater Manchester Fund, the West Yorkshire Transport Fund and Sheffield City Region Investment Fund (SCRIF) all of which take a collective view of the potential funding opportunities available to the city region. This approach maximises the value of the devolved spending by combining it with other funding sources. Despite the fragmented nature of transport funding that has existed for many years in England the PTE areas have looked more broadly at a wide range of potential funding streams and mechanisms from national and local, and public and private sources, in order to deliver their ambitions.*

All the PTEs structure their programme delivery approach around best practice in programme management such as the OGC-Cabinet Office suite of guidance. They are particularly well placed to implement these approaches as they have clearly established and defined decision making structures. These structures allow senior management to actively participate in the decision making and programme delivery structures, and form a fundamental part of emerging Combined Authorities as PTE governance evolves.



In short the structure of decision making and programme management is sound.

At a project management level PTEs base their approach on best practice principles, primarily PRINCE2. From inception to delivery, a project's development is punctuated by gateway reviews which provide thorough and regular checks on project viability, acceptability and deliverability. These checks provide an opportunity for senior management to participate throughout the project

lifecycle. They also provide a clear audit trail and allow scrutiny of a project's development, ensuring that any investment delivers appropriate outcomes.



In summary, our city regions have shown that they have the skills and experience to lead and deliver investment in local transport, and to do so in a way that enables the best value to be achieved. The skills and knowledge of the PTE teams enable investment that works for both customers and transport operators, and these unique skills combined with extensive and deep partnerships in their local areas leave the PTEs well placed to actively lead the transport investment needed to support local growth. Their distinctive

history and background within the passenger transport industry enables them to deliver customer focused investment that works.

1 Introduction

The case for local transport funding

- 1.1 The case has been well made for the benefits that investment in local urban transport can deliver. The evidence base that supports these arguments has never been stronger, and the role of transport in urban and national competitiveness is well documented, particularly by the Eddington Study in 2006 and subsequent government strategies¹.
- 1.2 This case for continued investment in urban local transport has been systematically upgraded since the last spending review, and is summarised in the *pteg* report, *Transport Works: the case for investing in the city regions*. The evidence base is encapsulated on the www.transportworks.org website.

New opportunities for devolution

- 1.3 Government is committed to a policy of devolution of local transport spending powers. This has been a strong theme in the present Government's programme from its initial broad policy commitment to "promote the radical devolution of power and greater financial autonomy to local government and community groups"², through to specific proposals for the devolution of transport spending powers, such as that to create Local Transport Bodies based around the geographies of Local Enterprise Partnership (LEP) areas³.
- 1.4 This rise of localism, and the opportunities that are presented by the creation of Local Enterprise Partnerships, the agreement of City Deals, and the prospect to formalise decision making powers across a number of service areas, including transport, through the creation of Combined Authorities does also however present a number of challenges. Government is clear that delivering investment at a local level "must deliver better value for money than could be achieved through delivering at a national scale"⁴.
- 1.5 And questions of capacity and capability remain. The emergence of Local Enterprise Partnerships (LEPs) has seen a wide range of approaches, covering a significant variation in geography and structure, and engaging a wide range of partners, some from business, some from elected democratic representatives, and some from the third sector. And while LEP geographies may be important in shaping the geography of future delivery structures, Government does not necessarily see LEPs themselves as agents for all aspects of devolved decision making and investment delivery. "LEPs should remain strategic, responsive, small organisations, not (focused on) delivery"⁵. "We don't want LEPs to turn into delivery agencies. We want them to mobilise others"⁶.
- 1.6 So who should be responsible for delivering local transport investment in a devolved environment, and who has the capacity? Many organisations that take up the baton are likely to be on a steep learning curve, as many structures will be new, bringing all of the uncertainty and manoeuvring that new organisations and structures will bring. In the case of Local Transport Bodies for example, this means developing ways of identifying and prioritising investments; and also the need to develop

¹ Transport Works: the case for investing in the city regions, *pteg*, Leeds, 2011

² The Coalition: our programme for government, Cabinet Office, London, May 2010.

³ Devolving local major transport schemes (consultation paper), Department for Transport, London, January 2012, p6.

⁴ Peter Schofield, Director General of Department for Communities and Local Government, speaking at LEP Network Conference, London, 18 April 2013

⁵ Jeremy Pocklington, Director, HMT, speaking at LEP Network Conference, London, 18 April 2013

⁶ Bernadette Kelly, Director General of Department for Business Innovation and Skills speaking at LEP Network Conference, London, 18 April 2013

mechanisms for scrutinising the decision making, programme management and delivery processes.

- 1.7 Local authorities will remain important local delivery agencies. They have existing formal, and strong, accountability arrangements. And in our conurbations and city regions the Passenger Transport Executives (PTEs) and their associated Authorities are well placed to lead the delivery of locally determined transport investment programmes, building on a successful legacy of delivery in the 45 years since their foundation. Each has its own distinctiveness, and in recent years with the emergence of Integrated Transport Authorities, and in the case of Greater Manchester and shortly elsewhere, of the wider powers of a Combined Authority, has developed its role to meet the needs of its communities within a constantly changing funding and regulatory environment, while retaining the strong governance and accountability so important in delivering effective public services.

Purpose of the Report

- 1.8 Consequently, this report is intended to neither argue for additional funding of local urban transport, nor to advocate that powers to identify how that additional investment should be determined should be devolved to the local communities where the investment is made, though each of these remain important. The case for additional investment and local determination of decision making on those investments, and the additional value that this brings to our national and local economies, is well made elsewhere.
- 1.9 Rather, this report seeks to demonstrate that in a world where these devolved opportunities exist, our city regions have in the form of PTEs the existing structures, the skills and experience, the capacity and capability to deliver investment in transport, and to do so in a way that enables the very best value to be achieved. PTEs have been doing just this for over 40 years, and have established procedures and a track record of successful delivery.
- 1.10 There are important lessons that the Department for Transport and others in government can learn on successful local delivery of transport projects - and the achievement of value for money - from the PTE experiences. This report sets out these lessons.

2 Context

The Passenger Transport Executives

- 2.1 The six Passenger Transport Executives (PTEs) provide, plan, procure and promote public transport in six of England's largest conurbations: Greater Manchester, Merseyside, South Yorkshire, Tyne and Wear, West Midlands and West Yorkshire. They work closely with their constituent local authorities who have the statutory responsibility for land use planning and for the provision and operations of local highways.
- 2.2 Between them, the PTEs serve more than 11 million people and have a combined budget of more than £700 million a year.
- 2.3 The PTEs are funded by a combination of local council tax and grants from national government. They are responsible to Integrated Transport Authorities (ITAs) made up of elected representatives of local councils in the areas they serve. In Greater Manchester, the PTE (known as Transport for Greater Manchester or TfGM) has enhanced responsibilities under a Greater Manchester Combined Authority. TfGM is accountable to the TfGM Committee which is made up of elected representatives of local councils.
- 2.4 PTEs undertake a wide range of functions, many of which reflect their history as passenger transport providers and funders, but also many functions that respond to much broader responsibilities of Combined and Integrated Transport Authorities. PTEs:
- are responsible for city region Local Transport Plans;
 - produce the strategies for the development of local public transport networks;
 - manage and plan local rail services (in partnership with the DfT);
 - plan and fund socially necessary bus routes;
 - work in partnership with private operators to improve bus services - for example through bus priority schemes;
 - run concessionary travel schemes - including those for older, disabled and young people;
 - invest in local public transport networks - including new rail and bus stations;
 - develop and promote new public transport schemes - like light rail and guided bus networks;
 - provide impartial and comprehensive public transport information services - including by phone and internet;
 - manage and maintain bus interchanges, bus stops and shelters.

Integrated Transport Authorities and their role

- 2.5 Prior to 2008, the PTEs were each accountable to their respective Passenger Transport Authorities (PTAs). From 2008 onwards, the structure changed and Integrated Transport Authorities (ITAs) became the bodies which administer the executives. ITAs are constituted of elected councillors representing the areas served by the PTEs. In the six metropolitan counties in England, councillors are appointed to the ITAs by the metropolitan district and borough councils for which they have been elected.

- 2.6 ITAs are responsible for funding the PTEs, and for making the policies which the PTEs carry out on their behalf, through securing transport services, and investing in the transport network. As more areas move to a Combined Authority model (similar to that already established in Greater Manchester) their ITAs will also be abolished and replaced by non-statutory committees which will have oversight and scrutiny powers delegated to them by their respective Combined Authorities.

The Passenger Transport Executive Group (*pteg*)

- 2.7 *Pteg* - the Passenger Transport Executive Group - brings together and promotes the interests of the six Passenger Transport Executives (PTEs) in England. Bristol and the West of England, Leicester City Council, Nottingham City Council, Strathclyde Partnership for Transport, and Transport for London are associate members.

National Funding for Transport

- 2.8 PTEs, along with all other local delivery agencies, are working within the context of widespread austerity measures as the UK addresses its budget deficit as it seeks to emerge from the global recession that has affected economies across the world. Managing the deficit in a way that supports UK economic growth has been the key topic of debate since the Coalition took office in May 2010.
- 2.9 And yet, public spending on infrastructure is vital for supporting future economic growth. In spite of the acknowledged benefit of this type of expenditure initial government plans showed that net investment was due to fall from 2.9% of GDP in 2010/11 to 1.3% in 2014/15 .
- 2.10 These plans included a strategy for growth and enterprise, rebalancing the economy and implementing £81 billion of reductions in annual public spending by 2014/15. These reductions in public spending have now been confirmed to continue into 2015/16 as the 2013 Spending Round reaffirmed the government's commitment to ring fence spending for health and schools in 2015/16, leaving other spending departments, including transport, vulnerable to future reductions. While capital investment in transport receives a 5.5% increase, resource spending is to be cut by 9.3%. This increase in capital investment in transport is however within the wider context that capital across government will not increase, at least until 2017/18.
- 2.11 Underpinning the increase in capital for transport is a small number of very large, high profile transport infrastructure projects. HS2 will see investment of £50bn in the construction of a high speed rail link from London to the Midlands, Manchester and Leeds. It is notable that this includes a £10bn increase in the estimated cost, announced as part of the Spending Round in June 2013. Crossrail will see £16bn invested in new cross-city services in London. There is also significant investment in roads, with the Highways Agency seeing its investment rise from £1.9bn in 2015/16 to £3.7bn in 2020/21; and £10bn being earmarked for highway maintenance on local and Trunk roads over the same period .

Funding for local transport

- 2.12 There is a multiplicity of funding 'pots' for local transport which have increased over the last three years as a consequence of a series of targeted investment in local transport such as the programmes to invest in *Pinch Point* projects to unblock constraints on the road network that are slowing economic growth, both on the strategic Highways Agency trunk road network, and on local roads. In local areas, this Pinch Point funding stream is aimed at transport capital investments that

unlock key pinch points on the local highway network that are holding back economic growth. Initial funding has been approved for 72 schemes which, with local contributions, total over £300m.

- 2.13 Another source has been through the *Local Sustainable Transport Fund (LSTF)* which is aimed at sustainable transport projects. There have been two rounds of bidding for this fund, and options to bid for large and small projects for delivery before 2015. There are many projects in delivery at present across England, including a mix of capital and revenue projects. A total of 96 projects have been funded with a total investment of around £600m from DfT. An additional £42 million for the Sustainable Transport Fund for cycling infrastructure, including cycling safety, was announced as part of the Chancellor's autumn statement. This is to support infrastructure improvements that make it easier to get around a local area by bike, maintaining a focus on economic growth and carbon reduction.
- 2.14 The *Better Bus* fund was a further complement to the LSTF, and provided £50m for local authorities, evenly split between capital and revenue, to support bus patronage growth with the aim of boosting the economy and reducing carbon.
- 2.15 These investments supplement long standing funding for local capital investment in transport, including the *Highways Maintenance block grant* for highways and structures maintenance. Additional capital funding for highways maintenance was announced as part of the autumn statement in December 2012. This amounted to £333m across England, of which £215m was for local authorities. This was distributed on a basis proportional to baseline allocations.
- 2.16 The *integrated block grant* for capital investment schemes on local roads, covering packages of investments that individually cost less than £5m has traditionally been used to fund highways safety and accident reduction schemes, minor road improvements, public transport infrastructure, bus priority measures, signals, cycling infrastructure, walking infrastructure, and other minor measures. Recently however the DfT has commenced a consultation with local transport authorities on the allocation process and formula for the integrated block, appearing to favour an approach that shifts funding from cities to rural areas.
- 2.17 Finally, a significant source of local transport funding is for "*major schemes*", traditionally those costing at least £5m. In January 2012 the Department for Transport (DfT) published the consultation paper *Devolving Local Major Transport Schemes*. The consultation paper outlined proposals for the devolution of local major transport scheme funding and decision making to locally accountable bodies, to be known as local transport bodies (LTBs). The consultation related specifically to major schemes for the government spending review period 2015/16 – 2018/19 and proposed to utilise the Local Enterprise Partnership (LEP) geography as the starting point at which funding will be allocated. Funding allocations at the LEP level have been issued and local transport bodies agreed their prioritised programmes of investment in July 2013.

The implications of the 2013 spending round on local transport

- 2.18 The June 2013 Spending Round provides additional capital investment across the transport sector, and introduces the *Local Growth Fund*. This represents the early implementation of recommendations from the Heseltine review⁷ which identified that "*Central government should identify the budgets administered by different departments which support growth. These should be brought together into a single funding pot for local areas, without internal ring fences.*" The *Local*

⁷ No stone unturned: in pursuit of growth - Lord Heseltine review, Department for Business, Innovation & Skills, London March 2013

Growth Fund, which represents just over £2bn per year, including £1.5bn of capital investment, is that single funding pot.

- 2.19 The capital element of the Fund absorbs over £1bn of the local transport funds described above, including local major schemes, capital elements of the Local Sustainable Transport Fund, and part of the integrated transport block formerly allocated directly to local authorities. The Local Growth Fund therefore represents a significant opportunity for investment in transport. Area based Strategic Economic Plans, based on Local Enterprise Partnership (LEP) geographies and to be developed by LEPs, will form the basis of the allocation of this Fund to stimulate growth, and it is intended that this investment is allocated on a competitive basis related to the quality of Strategic Economic Plans. Bids will be for a minimum of five years starting from 2015/16.
- 2.20 Not all of this investment formerly targeted on local transport need necessarily be retained in transport, as the single pot will also fund wider growth and regeneration investment, including in jobs, housing and skills. Transport will need to make a strong case within these Plans to ensure that its role in stimulating growth is recognised, and that the opportunity for further investment in our city region transport networks is captured.

The role of Local Enterprise Partnerships

- 2.21 The creation of LEPs as the instruments for driving this route to local growth is at the heart of government proposals for regeneration and economic growth. Their creation was sign-posted in the Localism Bill in December 2010, and the latest adoption of Lord Heseltine's recommendations, even if not as comprehensive as he might have outlined, reflects the Government desire for alignment between LEPs and transport delivery as part of comprehensive growth plans. LEPs have already had significant involvement in other aspects of local growth investment, including through initiatives such as the *Regional Growth Fund* - a joint initiative of BIS and CLG to support projects and programmes that lever private sector investment to create economic growth and sustainable employment – and the *Growing Places Fund* - a CLG and DfT funded programme that creates a recyclable revolving fund, with recipients repaying the funding once economic growth has been stimulated.
- 2.22 LEPs have played a leadership role in bidding for these funds, prioritising the infrastructure they identify as necessary for growth. However, issues remain over the capacity and resources of LEPs, which vary widely across England, to deliver a wider portfolio of investment, and the accountability of such bodies to take on a more prominent role in such significant public investment in local transport networks.

Combined Authorities and City Deals

- 2.23 A further recent development which has had a major impact on the role of PTEs in delivering local transport has been the creation of Combined Authorities, initially in Manchester but now planned for most of the PTE areas. The Association of Greater Manchester Authorities was created in 1986 as a voluntary association to represent the ten Greater Manchester local authorities. In 2008, a new legal framework was introduced to better manage strategic development and pooled financial resources. The Executive Board became the focus for coordinating economic development, transport, planning and housing policies, with the support of seven Commissions. In 2009 a city agreement was signed which included: Government endorsement for the Greater Manchester Strategy; a statutory Employment and Skills Board; a single revenue pot for post-16 skills provision in Greater Manchester; and a commitment from Government to examine how transport powers could be devolved to Greater Manchester consistent with Transport for London (TfL).

2.24 The key benefit of the Combined Authority is that the strategic, corporate body has powers in its own right, so is not dependent on delegations from its constituent authorities, and decisions to pursue a particular policy are binding, providing long-term stability. The Combined Authority was a major factor in Greater Manchester agreeing a City Deal with government in which they negotiated a number of devolved powers and funding commitments, in return for delivering added value across their areas. Further City Deals have followed elsewhere in England and have included assurances over the continuity of transport funding beyond traditional spending period timescales. For example, Leeds and Sheffield each have agreed a commitment to funding over a ten year period as part of their respective City Deals. A further 20 cities are bidding for City Deals at present.

Summary: Key Messages on Funding & the PTEs

2.25 PTEs, along with all other local delivery agencies, are working within the context of widespread austerity measures as the UK addresses its budget deficit. Managing the deficit in a way that supports UK economic growth has been the key topic of debate since the Coalition took office in May 2010:

- Transport is recognised as a potential enabler of growth and various competitive funds have been set up which recognise this role;
- Nevertheless, transport funding is not protected and a small number of committed mega projects draw heavily on available funds;
- Historically local transport funding has been drawn from a large number of pots, something which has added to the complexity and often offers limited stability for the continuity of funding;
- Proposals for consolidation of some of these pots into a Single Local Growth Fund carry the risk that funds may be diverted away from transport;
- Against this backdrop and a stated government intention to devolve decision making, the PTEs have been seeking to gain greater certainty and reliability of funding through the creation of Combined Authorities and agreeing City Deals with government that will enable them to develop and deliver the projects on the ground that will support the government growth agenda.

3 From Scheme Inception to Delivery – A Brief Overview

Introduction

- 3.1 How do local transport projects therefore emerge and get taken through to delivery amidst this highly fragmented statutory, organisational and funding backdrop? Inevitably, given the plethora of funding sources and organisations involved, transport schemes can arise from a number of different sources, often aimed at meeting a variety of specific objectives as defined by the funding programmes. In the metropolitan areas a key role that the PTE's have performed in partnership with their Local Authority counterparts and other stakeholders, has been to provide a focus on the needs of the area and then draw the various potential interventions into a coherent programme that addresses these needs.
- 3.2 In the next three chapters we describe how PTEs go about this and the lessons that can be learned from their activities, beginning with this short overview.

Preparing a Programme (Chapter 4)

- 3.3 All of the English PTEs follow a broadly similar process to scheme development. This starts with some form of high level statement of aims and objectives, accompanied by a long list of possible schemes or interventions that theoretically could assist in meeting these objectives. This includes both 'ready-to-go' schemes right through to outline concepts. The long list is gradually whittled down using some form of prioritisation framework until there is an agreed set of projects that address the needs of the area, which in turn forms the basis for a programme commensurate with expected funding.

Programme and Project Delivery (Chapter 5)

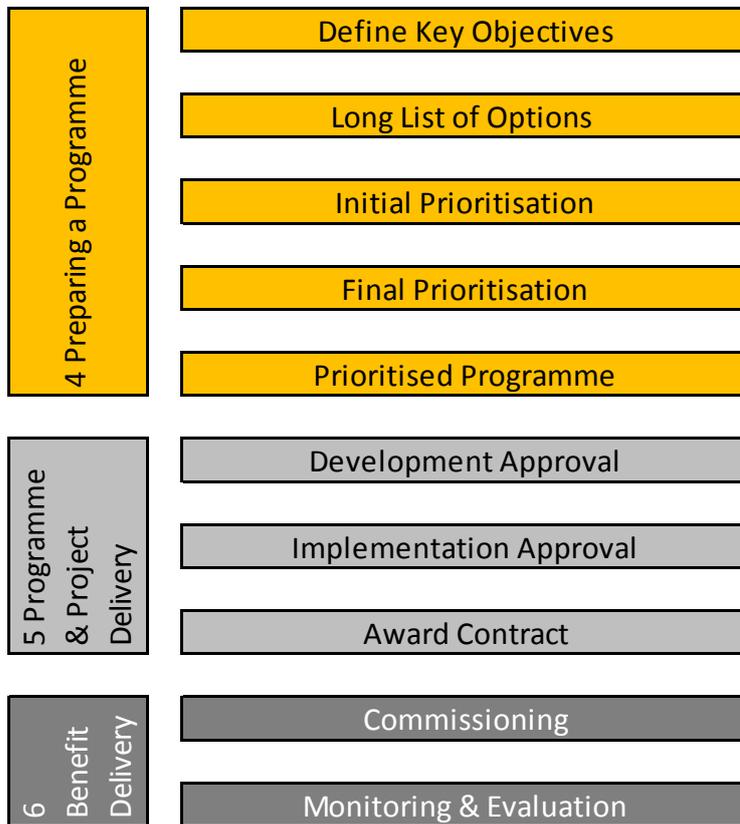
- 3.4 The programme is then managed, with individual projects developed to a state of readiness in line with the programme requirements. Management of both the programme and the individual projects is a highly technical activity, requiring the adoption of project and programme management best practices and procedures to ensure that projects remain aligned to the programme's overall objectives. It also requires a well developed and rigorous scrutiny process. Projects will pass through various 'Gateways' where the costs, business case and risks are reviewed at each stage of the development of the project.
- 3.5 The actual construction and implementation of the project will often be by a contractor or other third party, for example Network Rail. Depending on the type of project and the specific contractual arrangement in place the PTE will either retain the project management and site supervision functions through to completion, or will hand over this responsibility to the contractor.

Delivery of the Project Benefits (Chapter 6)

- 3.6 This is not however the end of the PTE role. Once a scheme is completed and operational, the realisation of the full range of benefits that it can provide will usually involve the implementation of complementary activities by the PTE whether through marketing, promotion, ticketing or coordination of other transport services, or the actual operation of the facility.

- 3.7 Throughout the project management process the PTE will continue to refine its estimates of the benefits that the project is expected to deliver and in a number of cases will also undertake a post implementation evaluation of the impacts.
- 3.8 The figure below provides a summary of the key activities at each stage.

Figure 3.1 Overview



4 Preparing a Programme

Introduction

4.1 The PTEs develop their programmes of projects and schemes in a manner that would be recognisable to anyone who has been involved in the Local Transport Plan or Regional Funding Allocation process over the last few years in England and Wales, namely:

- Identification of objectives;
- Development of a prioritisation framework;
- Assessment of potential schemes using the frameworks;
- Prioritisation of them against objectives and available budgets, and;
- Political scrutiny and sign-off.

4.2 Figure 4.1 later in this chapter illustrates how this approach is implemented in West Yorkshire.

Defining Objectives

4.3 In most cases the broad objectives for the PTE areas have been defined through the Local Transport Plan (LTP) process. Typically, objectives are derived through a process of challenge identification, initially around the economic, social and environmental ambitions for the area. From these flow the transport challenges, or the role that transport can play in supporting the wider policy ambitions. This is a fundamental tenet of the approach, ensuring that the focus is upon the wider outcomes for the area and not simply a 'transport for transport's-sake' approach. While there is a strong emphasis on the needs of the area, the LTP objectives sit within a framework which is consistent with delivering national goals.

4.4 The collaborative nature of such activity means that well developed frameworks have emerged over the years to guide the process. While the LTP work is generally led by the PTEs it is undertaken within the framework of a partnership (known as the Local Transport Plan partnership in South Yorkshire, West Yorkshire and Tyne and Wear; and the Merseyside Transport Partnership in Merseyside). A strong record of stakeholder engagement provides robustness to the challenge identification.

Greater Manchester - Challenges and Objectives

Greater Manchester provides a good example of how the challenges facing the area have informed their transport objectives⁸

“the following challenges will very much shape and determine all our approaches to meeting our objectives in the coming years.

- *Supporting economic growth and tackling deprivation*
- *Delivering a low carbon economy*
- *Protecting and enhancing public health and safety*
- *Supporting national transport and spending priorities”*

These challenges clearly frame the LTP3 objectives that emerged from the process, which are to:

- *ensure that the transport network supports the Greater Manchester economy to improve the life chances of residents and the success of business;*
- *ensure that carbon emissions from transport are reduced in line with UK Government targets in order to minimise the impact of climate change;*
- *ensure that the transport system facilitates active, healthy lifestyles and a reduction in the number of casualties and that other adverse health impacts are minimised;*
- *ensure that the design and maintenance of the transport network and provision of services supports sustainable neighbourhoods and public spaces and provides equality of transport opportunities; and*
- *maximise value for money in the provision and maintenance of transport infrastructure and services.*

An appropriate spatial and economic area

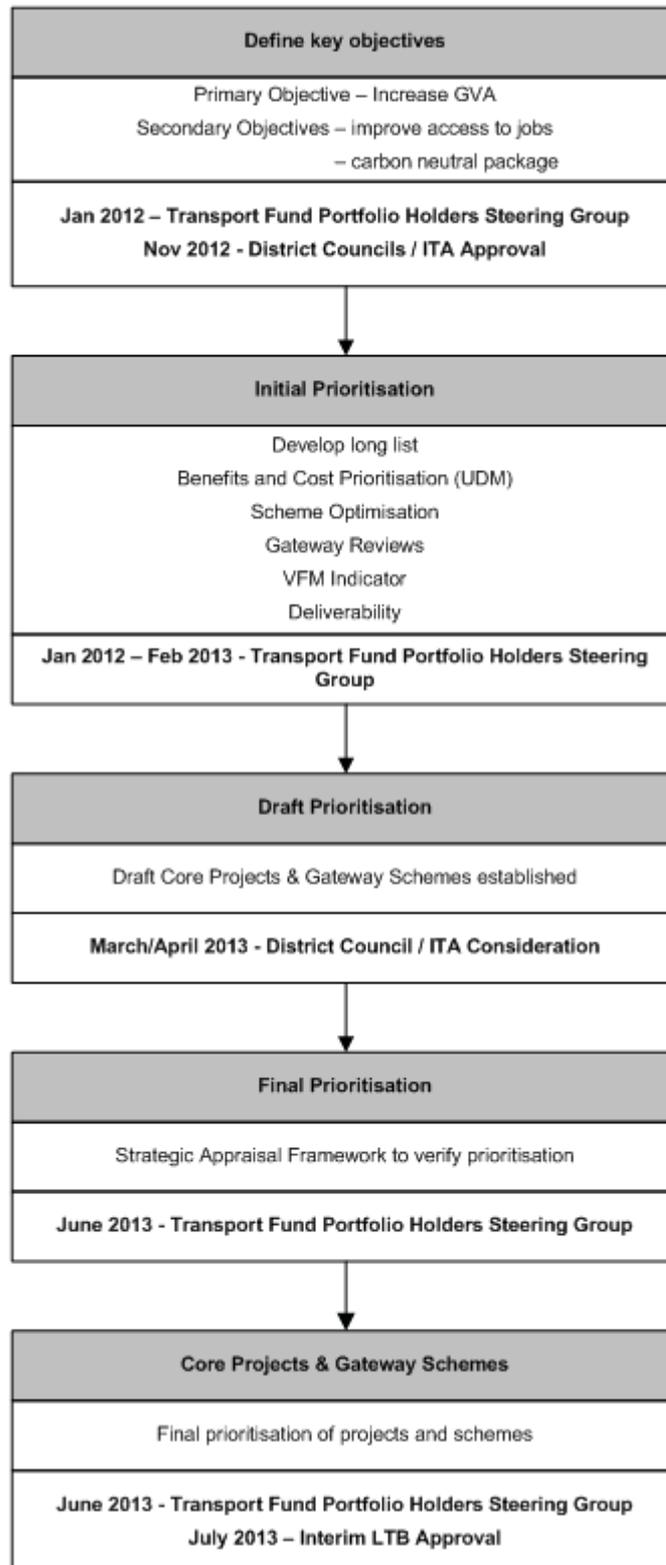
4.8 If this approach is not unique in England to PTEs, their multi authority coverage is, and it means that the focus is at a sub-regional or functional economic level, providing a more strategic view on challenges and objectives and complementing the strong local focus from the constituent authorities. Increasingly the definition of strategic objectives has been undertaken for an area that goes beyond PTE administrative boundaries. For example, for SYPTe the Third Local Transport Plan provides the strategic transport direction for the Sheffield City Region. This includes several local authorities outside the PTE area, namely Derbyshire Dales, North East Derbyshire, Chesterfield, Bolsover and Bassetlaw. The strategy therefore represents the functional economic area of the Sheffield City Region, and consequently encapsulates the key challenges without being constrained by artificial administrative boundaries.

4.9 This is not confined to the LTP process. In the West Midlands a rail vision document “A World Class Rail Network for the West Midlands” is being co-ordinated by Centro on behalf of the West Midlands Regional Rail Forum (WMRRF). The draft document is intended to provide a pan-regional framework for the wider Travel to Work area (including neighbouring parts of the East Midlands).

⁸ Greater Manchester Local Transport Plan 3 2010

Figure 4.1 Example of the Prioritisation & Programme Development Process (West Yorkshire)

Part II Prioritisation



- 4.10 This wider perspective (both geographic and in terms of sector) has been cemented through the creation of the combined authorities which formally bring together responsibility for economic development and regeneration alongside transport, and through City Deals. For example transport (and Transport for Greater Manchester's role in particular) is a key strand of the City Deal in Greater Manchester.

Greater Manchester City Deal⁹

"A key advantage of the Combined Authority model is its joint governance arrangements for transport, economic development and regeneration, which allow for strategic prioritisation across the functional economic area. Sub-groups lead on different work-strands, with relevant partners represented on the Boards. Furthermore, the establishment of Transport for Greater Manchester facilitated much greater integration and closer working relationships with the Highways Agency and the ten local authorities on the operation and development of the road network."

A strong evidence base

- 4.12 PTEs have historically built comprehensive evidence bases¹⁰ through their dedicated planning and research capabilities and have set in place large scale data collection exercises across the PTE area. These have generally been supplemented by investment in area-wide transport and land use models. Consequently they have been well positioned to ensure that the challenges and ensuing objectives are firmly based upon evidence.

Organisational capacity and capability

- 4.13 The development of an evidence base is a function of the organisational structures that have developed within the PTEs. There are dedicated specialists for research and intelligence and for policy and strategy development. A dedicated team providing the evidence to establish the need, collaborating with a strategic development team who develop and test the options, provides the *expertise*, and crucially, the *capacity* to take plans forward.

Option and Scheme Development – Long Listing

- 4.14 The PTEs facilitate a process that enables both the strategic top-down and bottom-up development of schemes. The act of determining and agreeing the objectives for the area results in new ideas for schemes being generated but at the same time the process is strongly influenced by the grass roots with local authorities and other key stakeholders such as Network Rail and the Highways Agency being a source of potential options.

⁹ Greater Manchester City Deal

¹⁰ See for example <http://www.syltp.org.uk/evidencebase.aspx>

West Yorkshire Transport Fund¹¹

Potential schemes have been developed collectively by:

- Understanding aspirations and opportunities for employment growth and scale and location of where that growth could be constrained without any significant investment.
- Looking at particular locations where growth could be constrained and developing cost effective solutions to unlock growth.
- Analysing up lift generated by potential schemes and calculating the impact per £ invested.

- 4.15 As part of the LTP3 development in South Yorkshire a process was established for highlighting key areas requiring transport investment and 'working business plans' were established by the implementation groups to identify priorities for action and investment. These business plans formed the basis for bidding documents which would be prioritised through the development of the implementation plan¹².

Initial Sifting

- 4.16 The options on the long list are then worked up into an outline business case or working business plan providing an initial basis for high level sifting. Approaches to sifting vary from PTE to PTE but the general principles are outlined below¹³.
- 4.17 *"The appointed PM prepares an Outline Business Case (OBC) to a standard format. This covers costs, benefits, programme, need and fit with relevant strategy. This OBC is used by the 'Scoring Committee' to determine if it has a reasonable chance of providing VfM and a good BCR.*
- 4.18 *Each project is given a score based on its VfM and other criteria such a health and safety or legal obligations. Most ideas generated do not progress beyond this point. Many that do are not developed because they are not good enough to gain funding. The Project Board then determines its deliverability and fit with wider PTE activities. This stage is normally based on existing information and experience; future stages normally need funding to progress".*

Prioritisation

- 4.19 The Regional Funding Allocation process that began in 2006 was an important catalyst for PTEs to develop prioritisation methodologies for their areas. Proactive PTEs wanted to be in a position to provide advice to their regional counterparts in terms of their spending priorities, state of readiness and dependencies of their schemes at a PTE level. This input from the PTEs removed a large part of the potential for 'horse trading' between local authorities within the PTE areas and subsequently provided the foundations for PTE approaches to the more formalised prioritisation which is currently underway through the City Deals and the devolution of major scheme funding. See for example the Greater Manchester example in the following box.
- 4.20 A number of the PTE prioritisation processes have evolved to focus around the use of strategic models. Most of these models combine transport with land use and economic models.

¹¹ West Yorkshire Integrated Transport Authority (2013). West Yorkshire Plus Transport Fund: Report of the Passenger Transport Executive

¹² SY LTP3 Implementation preparation brief

¹³ Evidence provided by SYPTE for this report

Prioritisation therefore accounts for outcomes such as growth in GVA and employment, alongside social and distributional impacts. This helps demonstrate that prioritisation is evidence based, robust and, as already described, based on clear objectives.

Prioritisation – the Greater Manchester experience

During 2009, GMPTTE undertook a programme of work to prioritise major transport investment proposals in Greater Manchester. The aim of this process was to identify and rank schemes which should be delivered first when funds became available. Schemes were prioritised on the basis of their impact on employment growth and GVA, subject to improving social and environmental outcomes. Deliverability and state of readiness were also important considerations. A key output of the work was to inform Greater Manchester's advice to 4NW (the former North West Regional Leaders Board) on the proposed Regional Funding Allocation, which at that time identified £448 million for major schemes in the conurbation in the period 2009-2019. A funding package to bridge the gap between the total cost of the schemes and the available RFA was also identified.

Partnership Working

- 4.22 In practice the PTEs arrangements for prioritising schemes have been setting the standard in supporting the devolution agenda for several years, as this extract from the West Yorkshire LTP illustrates:

West Yorkshire LTP Prioritisation – Devolving to an Appropriate Functional Level¹⁴

In producing the West Yorkshire LTP Metro and the five local authorities prioritised at multiple levels depending on the nature and reach of the project or programme:

“An important aspiration of the Plan is to allow decisions to be made at an appropriate level, including devolved decision-making. For example, decisions on the overall strategy and high level funding allocations will be made by the Integrated Transport Authority at a West Yorkshire level. However, delivery of specific interventions (including the necessary consultation and approvals) will be undertaken by the relevant partner depending on the nature of the scheme.

The Plan supports the devolution of funding and responsibilities from the national level to either the City Region or West Yorkshire level. For example, the Leeds City Region has been developing protocols for prioritisation of funding for major schemes currently decided by the DfT. This is an area which it is anticipated will be developed further during the course of the Plan. Metro is also developing proposals for a greater involvement in the specification and management of the Northern rail franchise where more local knowledge and decision making is likely to deliver better value for money.

In support of the 'localism' agenda, a substantial proportion of Integrated Transport funding in the first Implementation Plan will be allocated to each of the five District Councils to support local transport initiatives. Where appropriate, certain interventions (such as the planning of local bus networks and hubs and certain highway and road safety initiatives will be community-led. We will also continue to work with Central Government on developing new mechanisms for making local decisions on project appraisals for large schemes under £25m and for greater local involvement in rail re-franchising.”

¹⁴ West Yorkshire Local Transport Plan 3 2010

Funding the Programme

- 4.27 The scale of the programme and the final selection of projects emerging from the prioritisation process are inevitably shaped by the potential funds available.
- 4.28 PTE areas and their evolving governance structures have been at the forefront of taking an innovative and strategic view of the funding opportunities available to them. Rather than adopting a discrete approach to each individual funding opportunity, the PTE areas have been successful in getting agreement to combined funding streams, creating larger pots. These wider funds combine conventional major scheme funding with other available funding streams with a view to developing a programme which has greater reach than the sum of its parts. The Greater Manchester Transport Fund is a good example of an early example of this approach that has subsequently evolved with the City Deal and which is now being emulated elsewhere.

Greater Manchester Transport Fund (GMTF)



The GMTF is a Major Transport Scheme Prioritisation and Funding Strategy and was agreed by AGMA on 24 July 2009. The investment package is funded from various sources including the Regional Funding Allocation from the Department for Transport, the annual levy for transport services, a top slice from the Greater Manchester Integrated Transport Block LTP, and local and third party contributions.

Transport for Greater Manchester will repay the borrowings from a combination of: Metrolink net revenues (revenues net of operating, maintenance and other related costs); annual ring-fenced levy contributions; and local revenue contributions.

- 4.29 In South Yorkshire the PTE-led initiative has created the Sheffield City Region Investment Fund comprising JESSICA (a European Union Fund), the Growing Places Fund, devolved major scheme funding and potentially the Single Local Growth Fund plus Homes and Community Agency funds.
- 4.30 West Yorkshire has created the West Yorkshire Transport Fund, which is estimated to include funding in the region of £1billion. The fund has been established to invest in a core package of measures which are deliverable within ten years, and comprises schemes which are effective in supporting short term growth in GVA and employment. The fund has also been developed with the overall objective of being carbon neutral. The core package of measures also deliver against secondary criteria of: Improved accessibility to employment from deprived wards; and equitable distribution of improved accessibility geographically. There are three sources of direct contributions into the fund which in combination provide the 'buying power' for the core package. These are District contributions (£749m); LTP top slice (£101m); and DfT major scheme funding (£150m).
- 4.31 With its City Deal, TfGM has been developing these concepts further so that funding for its programme is not simply from transport-specific funding, or other funds from central government, but also includes business rates and developer contributions. TfGM has also investigated mechanisms by which these funds could become self sustaining, including through measures such as earn back, and recyclable programmes with pay back to facilitate "pump priming".

- 4.32 These innovative approaches provide the necessary level of confidence for scheme development to progress at a time when government programmes and their true buying power is constantly evolving, and helps to provide funding certainty proportionate to the delivery timescales.
- 4.33 In Merseyside, Merseytravel has used a multi-source funding approach to deliver the renewal of the concourse at Liverpool Central station.

Merseytravel: Liverpool Central station

A new passenger friendly concourse has been opened in 2012 at Liverpool Central station, a station that had been described as one of the worst ten stations in Britain by then transport minister Andrew Adonis. Merseytravel took the opportunity of the required renewal of life expired elements of the station fabric to undertake a much more ambitious revitalisation plan in what is Liverpool's busiest station, a renewal that was opened to much acclaim in 2012. The success of the project was recognised by the industry with the project being awarded national "Station of Year" 2013 for project implementation.



Merseytravel sought to deliver a new concourse that opened up access for everyone, and to improve pedestrian flows and accessibility. New dedicated in and out accesses have been provided, and the gate lines have been moved to provide the flexibility required to accommodate peak flows. Crucially, access for disabled passengers and those with pushchairs, luggage and other special needs has been brought within the main concourse by removal of walls and replacement with glazed screens, bringing the route to lifts within the main concourse, where previously this had been outside the station, in an unpleasant environment. This has all been achieved within the constraints presented by the building structures within the underground facility. New toilets, baby changing, dedicated waiting rooms and secure cycle parking have all been introduced.

Improved lighting has been introduced, fundamental to the quality of experience in an underground facility. Alongside this, high quality real time passenger information has been introduced with details of services and to provide other notices such as details of service changes and disruptions, including platform specific running information. Passenger security has been further enhanced through modern CCTV provision, and the construction of purpose built staff accommodation for service staff, station managers, and the British Transport Police.

The concourse renewal was delivered alongside two Network Rail projects to refurbish and make best use of the station platforms. Merseytravel co-ordinated the concourse works to be delivered alongside the Network Rail projects, the latter requiring the station to close for a period of time. Because of the close relationship of the projects, and the impact of the works across the city centre, Merseytravel initiated a strong stakeholder process covering its own and the Network Rail projects. A wide ranging group of more than 20 key stakeholders, including businesses from the centre and city-wide, were engaged in a dialogue that continues today, even after the

successful completion of the renewal.

The total cost of £5.5m was partly funded through the European Regional Development Fund (£2.3m) as well as local capital resources. The involvement of European funding places stringent controls on delivery, with a requirement for very specific project outputs. Alongside the constrained working environment, this reinforced the need for strong project management practices, which included weekly on-site meetings between Merseytravel, Network Rail, Merseyrail Electrics and the contractors, 4 weekly project reviews and specific safety and security meetings engaging the British Transport Police and the Fire and Rescue Service.

Fundamental to the successful delivery of the project was the expertise and knowledge of the operational requirements of the station brought by the Merseytravel team. In-house knowledge of how the rail industry functions; the knowledge of regulatory procedures and rail operations, gained from many years of working alongside Network Rail and rail operators in the delivery of rail services across Merseyside was vital in ensuring that the project was delivered within budget. This assured that project was effectively planned and accurately specified, as well as providing the basis for the effective management and construction of the project in the delivery phase.

Scrutiny

4.34 The arrangements for the scrutiny of programme development activities of the individual PTEs vary, but they all share the same fundamental principles that have been developed over a number of years:

- Programme development scrutiny forms the first element of a sequential 'Gateway' approval process which continues from policy formulation through various stages of individual project development through to project delivery and its subsequent operation;
- There is a political scrutiny process alongside the technical approval;
- There is an external audit process; and
- There is public scrutiny through the consultation and engagement activities described earlier.

South Yorkshire - Consultation as part of the scrutiny process

In South Yorkshire consultation on LTP3 was led by the Joint Secretariat. This was not just about securing 'buy-in', but also formed part of the scrutiny process as the SYJS provides independent and impartial support and advice to the South Yorkshire Joint Authorities.



This involves managing their financial, legal and wider governance responsibilities; assisting them in developing their strategic roles; and providing them with independent support in order to hold the operational services to account.

- 4.35 The role of scrutiny and governance in delivering the programme, and individual projects within the programme, is discussed in more detail in Chapter 5.

Summary: Key Lessons in Programme Preparation

- 4.36 As we move into an era characterised by devolved funding and decision making PTEs have the existing structures, capacity and capability to programme investment in transport efficiently and strategically. The critical success factors that are PTE-specific include:

- Most of the PTEs have a legacy of working beyond their administrative boundary; their approach is rigorously strategic, with the focus on functional rather than administrative areas. In this way their defined objectives reflect travel to work areas and functional economic market areas;
- The PTE governance structures (discussed further in Chapter 5) already have a number of synergies with the key requirements of the DfT's devolved funding proposals. A good example of this is the relationship with the Integrated Transport Authority, which amongst other roles is responsible for the review of the PTEs, providing a robust analysis of integrity and standards and scrutiny of practices and procedures;
- PTEs have developed their in-house resources to provide specialist teams to deliver key functions ranging from programme development to (as we shall see in the next chapter) project delivery and evaluation. These specialist teams are focused on key elements of the process and are therefore well placed to incorporate and develop best practice and evolve approaches through lessons learnt;
- As a consequence of their role at the centre of a highly fragmented environment for policy, planning, funding and delivery of transport outside London, the PTEs have developed strong partnerships with key stakeholders such as their respective Local Transport Plan Partnership. These partnerships have established comprehensive participation, reporting and feedback structures;
- The PTEs are well placed to deliver the government's focus on economic objectives as their multi authority coverage and consequent sub regional focus matches up to their economic functional areas, providing the correct level for a strategic approach, enhanced by a local flavour from the constituent authorities;
- The PTE areas have developed strong evidence bases, a key feature of which that stands them apart from other areas, is the holistic nature of their approaches to evidence. Areas

without a PTE are more likely to be more insular in developing evidence, reflecting their administrative area. PTEs have built up a strategic evidence base that mirrors the functional economic areas within their jurisdiction. This is illustrated by the number of PTEs with coverage by land use and economic models, and strategic transport models. The origin of this approach was, in many cases, the PTEs seeking to understand and substantiate the priorities within their areas in the Regional Funding Allocations process.

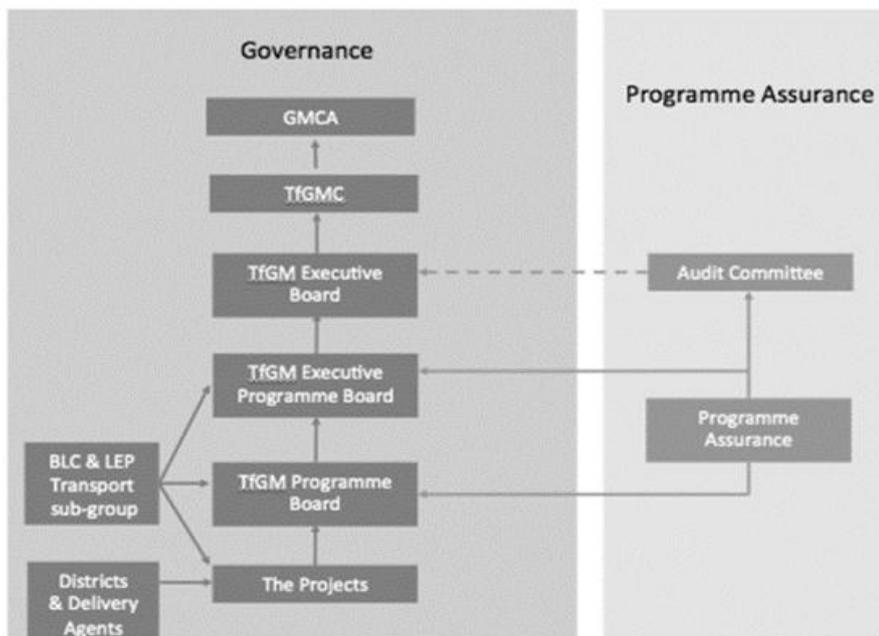
- In the evolving funding context PTEs have positioned themselves to leverage in the widest possible range of funding sources. Examples include the Transport for Greater Manchester Fund, the West Yorkshire Transport Fund and Sheffield City Region Investment Fund (SCRIF) all of which take a collective view of the potential funding opportunities available to the city region. This approach maximises the value of the devolved spending by combining it with other funding sources. Despite the fragmented nature of transport funding that has existed for many years in England the PTE areas have looked more broadly at a wide range of potential funding streams and mechanisms from national and local, and public and private sources, in order to deliver their ambitions.

5 Programme & Project Delivery

Governance Arrangements

- 5.1 In managing and delivering their investment programmes the PTEs all adopt some form of Gateway approvals approach, and all of the PTEs have clearly defined governance structures. An effective governance structure demonstrates how responsibility with respect to prioritisation, programme and project management is allocated, where in the process decisions are made, by whom and who makes the recommendations. Arrangements also include processes for revision and consideration of alternative proposals.
- 5.2 This is an area of strength for all the PTEs as Government moves from appraising proposals for individual projects to scrutinising the governance arrangements of local transport bodies¹⁵. In the past the Department's assurance processes focused on appraising the expected benefits of investments at a scheme level. In future it proposes to directly scrutinising the governance and decision making arrangements and processes against centrally specified standards including:
- Purpose, structure & operating principles (membership, objectives and purpose, transparency, engagement and consultation and accountability);
 - Prioritisation of a programme (evidence based, value for money, deliverability and environmental impacts);
 - Programme management and investment decisions (appraisal, mechanisms to monitor and evaluate, control and release of funding etc.).
- 5.3 The PTE's are uniquely positioned with highly developed and robust governance arrangements that have been developed to reflect the complex multi-authority and multi-stakeholder environment in which they operate. An example from TfGM is shown in Figure 5.1.

Figure 5.1 Governance Structure – Transport for Greater Manchester



¹⁵ Funding for Local Transport: An Overview. National Audit Office October 2012

Local accountability in practice: Greater Manchester¹⁶

Transport for Greater Manchester (TfGM) is responsible for delivering transport infrastructure and services across the Greater Manchester area. It has a wide range of internal and external governance and accountability processes in place:

Internal governance

- The TfGM executive board meets monthly and includes three non-executive directors. An audit committee meets quarterly.
- There are monthly project and programme boards to review capital projects, including Metrolink, bus and rail information systems.
- A wider leadership team of chief executives from the district councils in Greater Manchester and the chief executives from transport, health, fire and police meets fortnightly to consider strategic issues.

External scrutiny

- Regular monitoring by the Greater Manchester Combined Authority and the TfGM Committee (and its sub-committees), for example to review progress on key performance indicators and capital and revenue expenditure.

Public information

- An annual report which includes progress against key performance indicators in the local transport plan.
- Information is available to citizens through public meetings and papers, which are published on websites, and in the annual report as well as through correspondence and freedom of information requests. The annual budget-setting meeting also includes a meeting that is open to members of the public.

Programme Management and the Use of Gateways

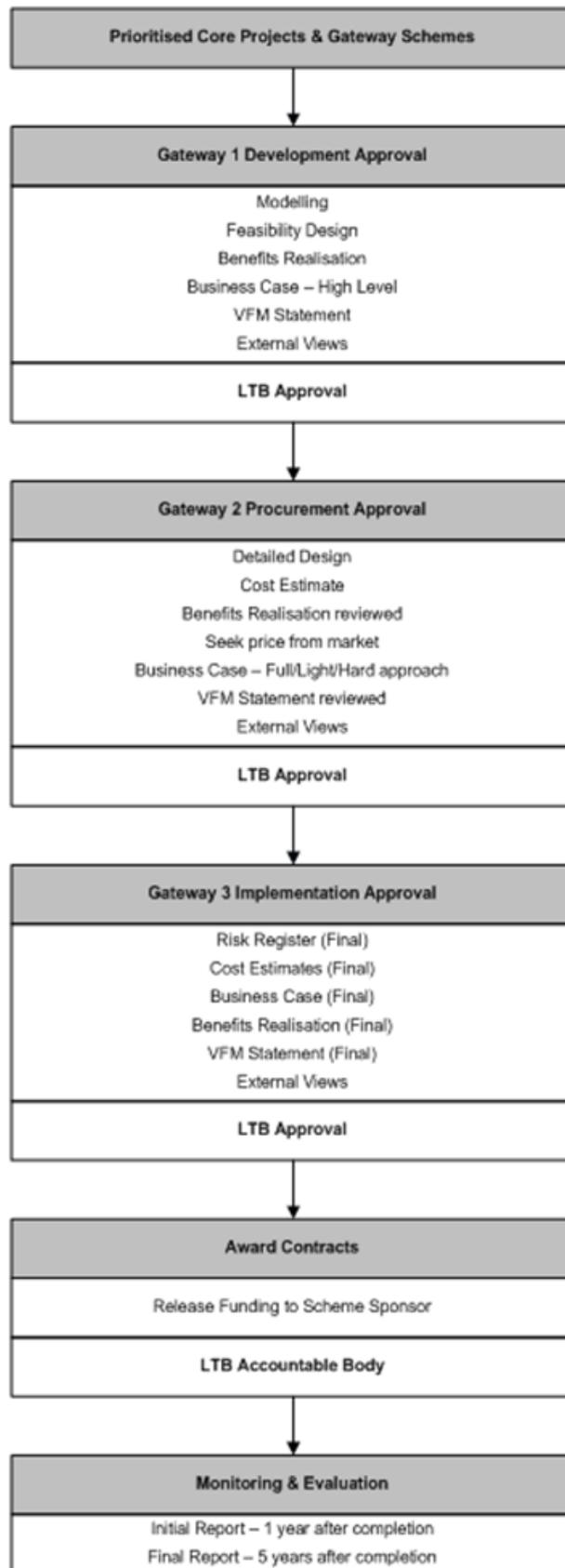
- 5.8 Although the PTEs have developed individual approaches to programme management and delivery these are all broadly based around approaches that require a series of assurance reviews ahead of each key decision point (Gateway Reviews). An example from West Yorkshire¹⁷ is shown in Figure 5.2 overleaf.
- 5.9 With the emergence of larger and more complex funding streams and increasing levels of engagement with funding and delivery partners the need for effective programme management has grown in recent times.

¹⁶ Funding for Local Transport: An Overview. National Audit Office October 2012

¹⁷ West Yorkshire and York Local Transport Body. (2013). Interim Assurance Framework. West Yorkshire and York Local Transport Body.

Figure 5.2 Programme & Project Gateways – West Yorkshire Example

Part III Programme & Investment Decisions

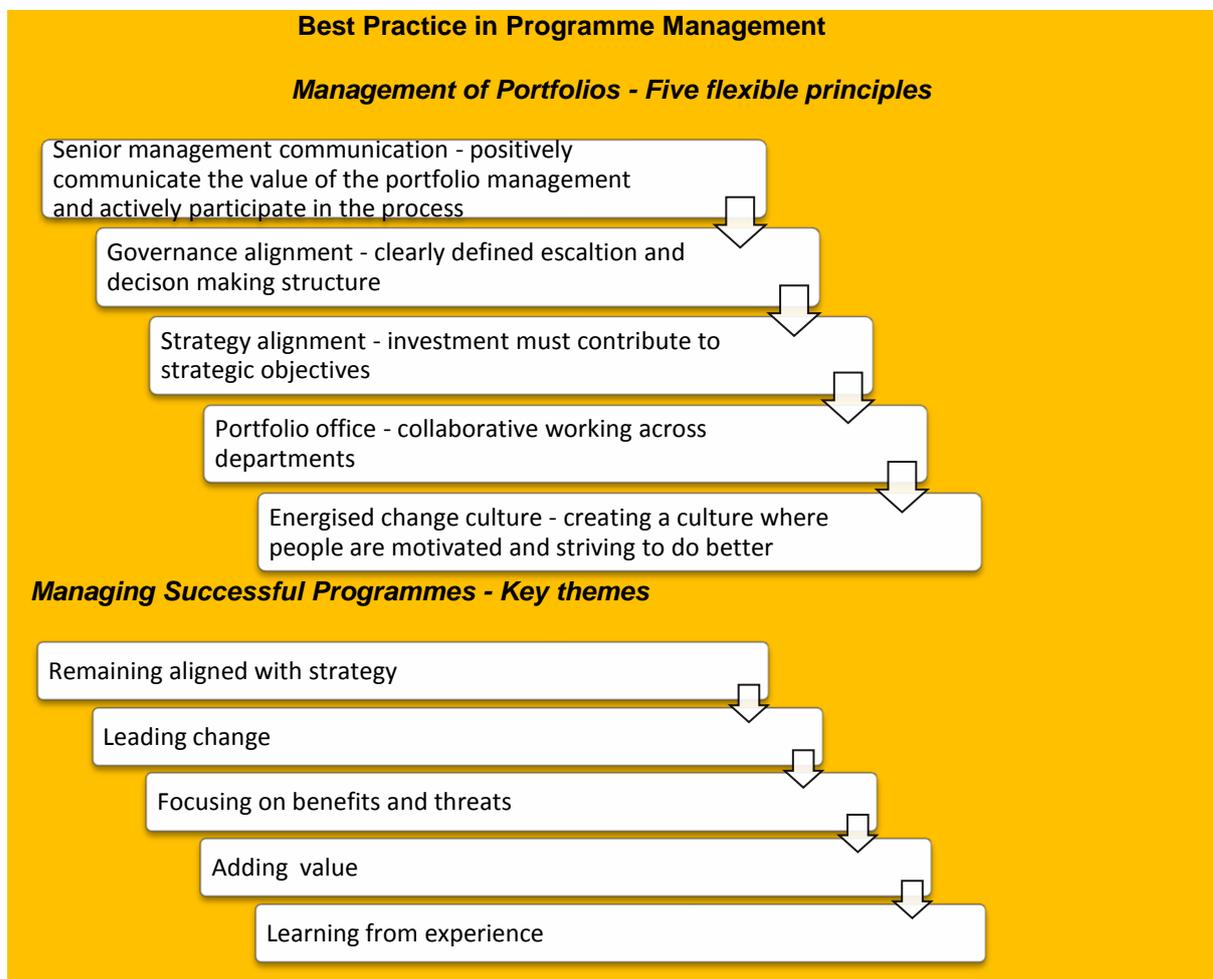


5.10 Issues that are considered within programme management include:

- The overall value of the programme (for example TfGM and Metro are both assessing the value of their programmes in terms of the expected impact on GVA¹⁸);
- The overall deliverability of the programme;
- The overall cost of the programme;
- The acceptability of the programme.

5.11 The gateway process provides the mechanisms to control resources and the ability to manage risk effectively. A key element within this is the impact of changes and exceptions on the overall programme. The process therefore provides a strategic view of whether the overall programme is still deliverable or where elements of the programme are “approaching tolerance levels”.

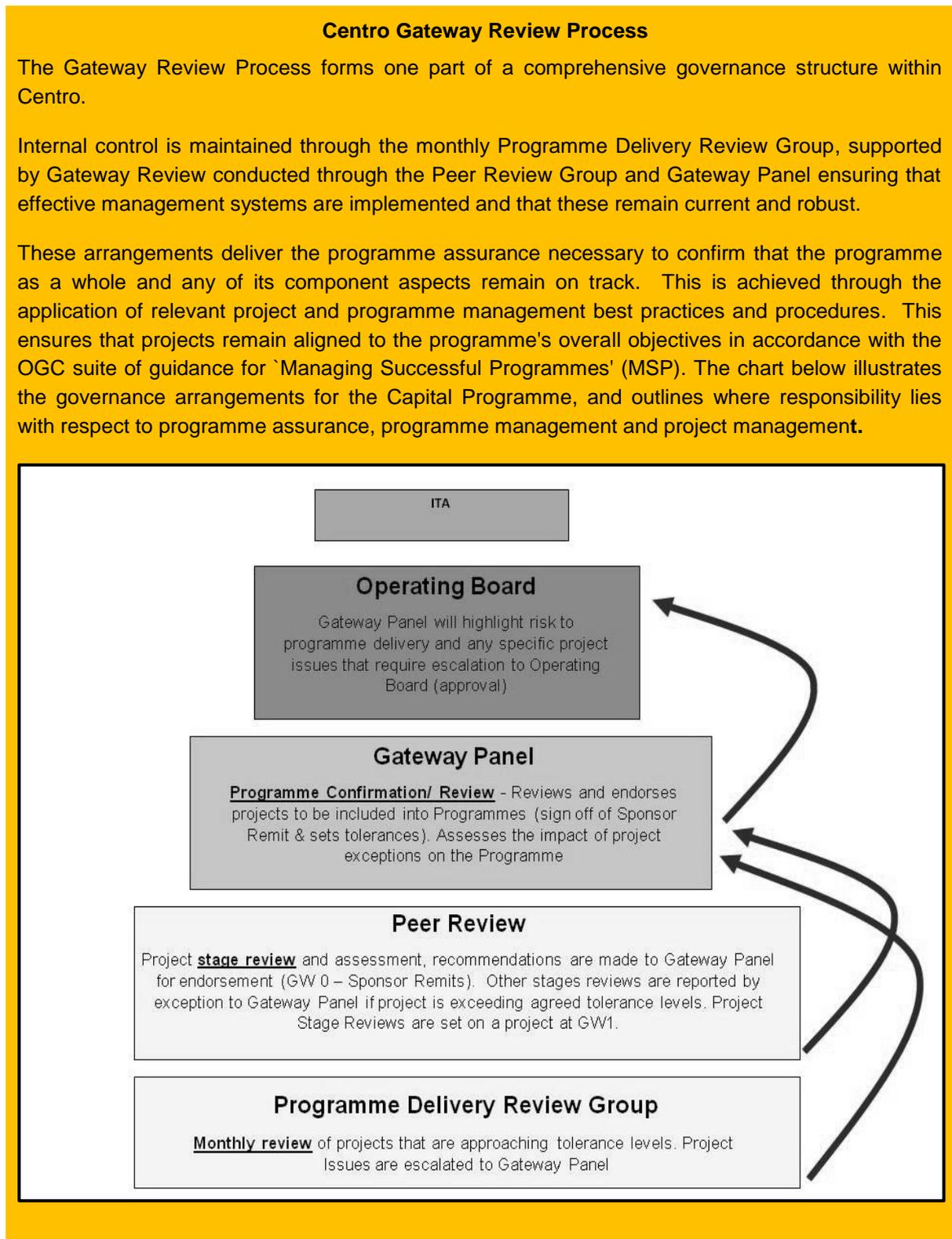
5.12 All the PTEs structure an approach around the OGC suite of guidance for Managing Successful Programmes MSP (or equivalent best practice guidance such as Management of Portfolios).



5.14 Centro’s Gateway Review Process and the review and approval systems in place to support Centro’s management of its Capital Investment Portfolio is one such approach that is firmly based upon OGC’s Gateway Review Process, considered industry best practice. All projects within its

¹⁸ The West Yorkshire transport fund is expected to deliver £1.23 of GVA for every £1 invested.

Capital Programme are assessed at gateway stages to provide surety that that the project remains on target to deliver agreed objectives to time and budget, and that project risk is being managed. The box below describes how this is done.



5.18 A striking feature of the Centro approach, well illustrated in the diagram, is the clearly defined escalation and decision making process, illustrative of a strong governance structure.

External Accreditation of PTE Gateway Processes – Centro

The Centro Gateway Review Process was the subject of a recent assessment against the OGC P3M3 framework. External OGC accredited consultant Aspire summarised the results of its initial assessment:

- *Centro's Gateway Process has been intelligently developed and is well balanced (process and documentation)*
- *Centro's Project Management Maturity ranked highest against other initial assessments carried out by Aspire*

5.19 The Gateway Review Process has been a fundamental element in practice in the ongoing delivery of the Midland Metro extension.

Centro: Midland Metro extension

The Midland Metro extension currently being delivered in the centre of Birmingham is the catalyst for the transformation of public transport in the West Midlands. While the new infrastructure is physically in central Birmingham, the extension opens up access and provides a step change in connectivity to and from the Black Country. Centro's commitment to the scheme and local expertise has also enabled a complete re-organisation of local bus services to be delivered in central Birmingham alongside the new tram line.



The existing Midland Metro, from Wolverhampton to Birmingham, suffers from a lack of visibility in the city region, with the Birmingham terminus being on the periphery of the city centre. The 1500m extension from Snow Hill along Corporation Street, to a new terminus outside New Street station on Stephenson Street will place Midland Metro at the heart of the city and the conurbation. It will put Midland Metro inside the inner ring road, and will help connect the Black Country to the national rail at Birmingham's main station, New Street. Planned future extension, to be delivered through funding from the Local Transport Body and other local sources, will connect Paradise Circus, the main civic centre, and Brindley Place into the network, further enhancing the Metro's ability to connect the West Midlands. The extension will help

economically, bringing by 2026 an estimated £50m p.a. into the local economy, and helping to create 1300 new jobs.

When complete in 2015, the extension will transform connectivity to the Black Country and Birmingham City Centre, increasing capacity through the introduction of new, larger, state of the art trams (carrying up to 200 people rather than the current practical capacity of around 120), improved reliability, and higher frequencies in the peak. The first new trams will be delivered in September 2013 to allow for commissioning and driver training, in advance of introduction into service in 2014 on the existing line.

Delivering the Metro extension into the heart of the city centre has been complex, and its success has been made possible by the extensive and careful planning over many years by Centro, and through the strong partnerships with the city council and bus operators in Birmingham. Putting the new line through the city centre has required the re-casting of the whole local bus network in Birmingham, as previous city centre stopping arrangements were



affected by the line, especially during the construction phase. All city centre stops are on-street, with over half on the line of route in Corporation Street. The resulting Birmingham City Centre Interchange project, which has identified five main bus stop centres within the city, has seen the introduction of high quality shelters, real time information, and an innovative and now award winning way-finding system of totems that helps connect the main interchange locations.

Without Centro's strong partnership with bus operators, especially principal operator National Express, this resulting enhancement of local bus services could not have been achieved to complement the extension of the Metro. The commitment of Centro staff, with over 150 people on-street at the re-launch of services in the summer of 2012, and the distribution of some 30,000 passenger information maps, enabled this to proceed smoothly, to acclaim from the local press. Strong partnerships have also been central to the funding arrangements with the £130m cost of the extension being funded through a mix of direct grant from government, local resources and the private sector.

Delivery is on time, and at or below budget. This has been possible through careful planning, innovation in project management, and a strong commitment to training and investment in project management skills. Examples of effective and best practice include approach taken to the management of utilities diversion, a costly and potentially problematic element of the construction. This has seen continual formal engagement with Statutory Undertakers, early completion of utility relocation prior to handing over to the main contractor, and staff shadowing external experts to ensure effective transfer and continuity of knowledge and expertise. Extensive investment in training to Association of Project Managers (APM) standards has been a feature of the project. This strong commitment to planning and project management ensured that a "green" rating was given within the Treasury Gateway process, a rating applied to less than 3% of such projects.

- 5.20 In Greater Manchester the Gateway Review Panel (GRP) provides a technical review of the on-going viability of projects and programmes at key milestones in the life-cycle of a scheme. The panel consists of a core membership of the Head of Programme Management Services (PMS) as the Chair, supported by representatives from Finance, Procurement and Risk, and the Project and Programme Management support functions. In addition, technical experts are identified from across TfGM to review specific areas, such as environment, health and safety, design and scheduling, in order to ensure all aspects of a scheme can be evaluated robustly against a set of known criteria, developed using OGC and Association for Project Management guidelines.
- 5.21 Once reviewed, a recommendation is then made to the relevant Programme Board to approve progression to the next stage. The GRP will also advise if it considers an area does not fully satisfy the requested review and evidence criteria.

Project management

- 5.22 At the individual project level project management in the PTEs is based on best practice procedures, generally involving the use of PRINCE2. This divides the project into manageable and controllable stages, gradually managing out risk as the project moves through the stages before contracts are awarded and funding is fully committed.
- 5.23 This staged approach naturally aligns with providing project assurance and scrutiny of how the project is progressing with the business case development being punctuated by a number of gateway stages which provide checks that the project is still viable.
- 5.24 Checks are undertaken on a number of levels:
- Is the scheme still viable in terms of cost and benefits – should it remain a priority within the overall programme?
 - Technical – does the scheme still deliver a suitable solution, have changes in the wider picture affected the need for a project or its scope?
 - User – are user requirements still being met?
- 5.25 These stages feed in to the programme management gateway reviews.
- 5.26 The approach adopted by SYPTe for taking a project through the various stages of planning and development through to implementation is typical. It is based on the PRINCE2 methodology with some variation to fit into the PTE's other business processes. Once an idea for a project has been generated, a Project Manager (PM) is appointed; they are responsible for delivery of the project from this point to completion. The steps taken during this process are summarised below.

Stage 1 – Concept (Starting Up)

- 5.27 The appointed PM prepares an Outline Business Case (OBC) to a standard format. This covers costs, benefits, programme, need and fit with relevant strategy. This OBC is used by the 'Scoring Committee' to determine if it has a reasonable chance of providing Value for Money (VfM) and a good Benefit Cost Ratio (BCR). Each project is given a score based on its VfM and other criteria such as health and safety or legal obligations. Most ideas generated do not progress beyond this point. Many that do are not developed because they are not good enough to gain funding. The Project Board then determine its deliverability and fit with wider PTE activities. This stage is normally based on existing information and experience; future stages normally need funding to progress. Stage 1 will therefore usually have been undertaken during the programme development phase described in Chapter 4.

Stage 2 – Feasibility (Initiation)

- 5.28 If the project makes it into the full programme then during this stage the information in the OBC is developed to provide a robust Project Initiation Document (PID) including a detailed business case. The live elements of the PID, such as the business case, are updated through the life of the project.
- 5.29 At the end of this stage the VfM is assessed again by the Scoring Committee and the PID by Project Board. Projects only proceed beyond this point if the necessary funding has been identified.

Stage 3 – Detail Design

- 5.30 The scale of this stage is dependent on the nature of the project. It normally involves the appointment of a full team of professionals and represents a step change in the volume of work and expenditure from previous stages. At the end of this stage the updated information is reviewed by the Project Board to check that, based on detailed information, the project is still worth proceeding with.

Stages 4 & 5 – Tenders Actions and Implementation

- 5.31 Once the PTE is confident that the case for a project is sound in all aspects and funding is available, tendering and implementation starts.

Stage 6 – Post Implementation

- 5.32 Any post implementation monitoring and evaluation is completed and a lessons-learnt report prepared and disseminated.

Guidance on Project Management

- 5.33 In addition to the process outlined above, SYPTE operates:
- a system of issue management;
 - a risk management process;
 - change control (via a request for change process).
- 5.34 All these are based on PRINCE2 guidelines. Monthly updates on progress are provided by Project Managers and highlight reports are provided as required. Details of these project management processes are laid out in guidance notes for Project Managers. All the Project Managers are trained in the PRINCE2 methodology.
- 5.35 PRINCE2 is also at the heart of Metro's approach to renewal and upgrade of its bus stations.

Metro: Bus Station renewal and upgrade

Metro's bus station building and renewal programme has, over the last 25 years, re-built and re-furbished 30 bus stations, upgrading bus interchange facilities including major city centre stations such as Bradford Interchange and Leeds City Bus Station, local bus stations across West Yorkshire and key on-street interchanges.

All of these projects have focused on providing a high quality, safe and secure passenger environment. Since the turn of the century, Metro has focused on continually improving passenger facilities through research into best practice across the UK, seeking to deliver excellence in all new facilities. A strong project management ethos, working to PRINCE2 standards, has been fundamental to delivering consistently high quality new facilities while maintaining a strict adherence to budget.

Through engagement with other PTEs, architects, and transport consultants, Metro has sought what "excellence looks like" in terms of providing fully accessible, open plan waiting areas with high quality finishes, electronic real time information systems, automatic doors, CCTV, and the best possible sources of natural light supplemented where necessary by high quality artificial light. Metro's objective was to be the market leader in providing excellent passenger facilities.

Fundamental to the success of the programme has been the continuity of Metro's involvement, and the expertise, understanding and skills within the PTE of changing passenger expectations, and fundamentally, the bus operational context since deregulation. This operational knowledge and the relationships with bus operators have enabled the PTE to deliver excellence while maintaining an efficient and cost effective approach to bus station renewal.

Case Study 1 Pudsey Bus Station

An excellent recent example of bus station renewal is the new Pudsey Bus Station, completed in 2010. The new bus station provides an innovative architectural design that meets the needs of a constrained operational site. The new, some would say iconic, bus station provides a focus for buses in the heart of the Pudsey conservation area. The design, while visually striking, provides a practical, secure and safe, vandal resistant, yet low maintenance facility that can operate unstaffed – meeting budgetary constraints and limited maintenance resources. An innovative approach to the design has seen lighting costs reduced by two-thirds through the use of reflective materials, again important in meeting financial constraints.

Pudsey Bus Station Before and After



Case Study 2 Brighthouse Bus Station

The new Brighthouse Bus Station, opened in 2009, illustrates how Metro's unique in-house experience and expertise has enabled a complex, formerly split site with considerable accessibility issues for pedestrian users to be re-designed into a consolidated bus station on one site. The location is complex, with a series of conflicting access and loading issues for neighbouring properties and highways, including deliveries for private properties, taxi access, and a difficult traffic junction that stood between the two parts of the original bus station. The design provides a fully enclosed, light and airy pedestrian facility, which has a very high roof to compensate for the narrow footprint. Uniquely, a public highway remains to one side of the facility together with formal pedestrian crossings, the design solutions again reflecting the strength of the relationships with operators and the highway authority to meet operational needs while focusing on high quality passenger access and facilities.

Brighthouse Bus Station Before & After



- 5.37 In a similar manner, all of TfGM's projects and programmes are managed using TfGM's Project and Programme Management Procedures. The purpose of these procedures is to ensure that TfGM's projects are managed effectively and efficiently and are delivered to the required standard, on budget, and on time, using a single corporate management methodology. This project and programme management approach brings consistency, rigour and visibility. The procedures themselves have been developed drawing on best practice, alongside the drivers of the OGC Framework and ISO9001 Management System approaches.

Managing Risk

- 5.38 The management of risk is an integral part of the programme and project management processes. TfGM's approach to managing risk is typical and involves the establishment of an iterative and ongoing cycle of risk management activity, which includes identifying, assessing, mitigating, reporting (including escalation) and reviewing risk.
- 5.39 To support the effective management of risks, issues and opportunities, TfGM uses the Predict Risk Management system. The system serves as a database for all risk information including risk

mitigation actions, pre and post mitigation assessments, qualitative and quantitative cost, time and other impacts. In addition the risk analysis tool provides the necessary functionality to run Quantitative Risk Analysis (QRAs).

Organisational Capacity

- 5.40 None of the processes described above are unique to the PTEs. They simply represent good examples of best practice in project management. However, the rigorous governance and scrutiny arrangements are distinctive, reflecting many years of operating in this manner and the strength of organisational capacity to provide sufficient technical and managerial expertise.

Organisational Capacity - West Yorkshire Transport Fund

Metro has provided significant resources to undertake the necessary technical development work, and has been responsible for the project management of the technical and financial work. Metro has played a key role in leading and working with consultants and partners to develop the best investments to meet the objectives of the Fund.

In undertaking this, Metro has worked closely with the partners to ensure that:

- The Fund can support LDF aspirations;
- There is synergy with the LTP, Rail Plan 7 and plans and programmes being developed by the Highways Agency and Network Rail;
- The schemes proposed reflect the priorities of the Leeds City Region Transport strategy; and
- Effective consultation with District partners has been carried out.

Two key support mechanisms are in place:

- *Transport Fund Steering Group* comprising of Chief Officers from the District Authorities and Metro (plus Highways Agency and Network Rail) to meet monthly as required to formulate advice and recommendations for WYITA;
- *Transport Fund Office* (staff from District Authorities and Metro, plus consultants if required) to manage the Programme and Project Boards established on a full or part time basis, including co-ordination of Benefits Realisation, Financial and Risk Management, Governance and Resources, and WebTAG appraisal capability.

Support and administration is carried out using OGC best practice:

- PRINCE2;
- Managing Successful Programmes;
- Management of Portfolios.

A named officer is responsible for advising the WYITA on Programme and Risk Management.

- 5.45 The organisational capacity and industry leading expertise and skills of PTEs has been a critical feature in the success of the younextbus project, led by West Yorkshire and providing benefits to the industry and its customers across Yorkshire.

Metro: *yournextbus* and Traffic Light Priority in West Yorkshire

The *yournextbus* project provides an exemplar of how the PTEs have collaborated in West and South Yorkshire to deliver a complex, innovative, and initially relatively high risk project to deliver wide area benefits to millions of bus users and to bus operators across Yorkshire and the north and east Midlands.



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Using DfT real time information project funding, supplemented by LTP funds, a single combined Metro and SYPTE major project team has delivered *yournextbus* across West and South Yorkshire and beyond, including York, North Yorkshire, Hull, East Yorkshire; and extending into Derbyshire, Nottinghamshire and Lincolnshire.

yournextbus has delivered real time information services to around 34,000 bus stops, used by 100 operators on about 1,500 services, representing 39,000 scheduled journeys every weekday. A total of 2,900 vehicles have been equipped to provide real time information through the project, and there are over 900 passenger information displays in West Yorkshire alone. Personalised and targeted real time information delivered to customers through SMS has been a particular success of *yournextbus*. As a pioneer of this form of information service to customers, West Yorkshire initially delivered four times the number of SMS real time information messages as the rest of the UK combined, and has delivered over ten million such messages since the project commenced.

A strong project management structure led by Metro, and including SYPTE, bus operators and the equipment and systems supplier, has been fundamental in delivering the project within budget. Clearly defined success criteria have helped to shape the project, and ensure that rigorous delivery and maintenance of the systems has been attained over the last decade.

There has been extensive innovation, with both PMR and GPRS being used within the communication networks; low level aeriels being developed for bus tops to avoid tree damage; and ongoing developments to keep up with changes in mobile devices and smart phones in use by customers. Various Apps are available to customers that use the real time information, such as that offered by operator First.

Metro has, as a consequence of a decade of developing and delivering real time information services, acquired industry leading knowledge and expertise that has enabled the benefits to be spread Yorkshire-wide in partnership with local authorities across the region. Some of this expertise might be regarded as esoteric, but the in-house team has used this knowledge to

spread the benefits beyond information provision to customers.

Extending the reach of the project beyond information services to passengers has resulted from a strong focus on data management. Throughout the project importance has been placed on data collection and management, well beyond everyday standards, with basic system data being updated every two weeks. The comprehensive evidence base has contributed to achieving the best possible project outputs, enabling operators, for example, to use data from the system to improve their scheduling, and to help with day-to-day operational issues to improve schedule adherence. The collection and use of data in real time, and a focus on managing and using this massive data repository effectively, will ensure that Metro continues to contribute to improved service provision in the future too.

Broadening the use of the investment has led to other innovations, such as the use of real time information boards for promotional messages, information on future services and changes, and for providing information on service disruptions in real time.

Finally, the data has also been used in developing the Traffic Light Priority project in West Yorkshire. Since 2010, Metro and the five West Yorkshire local authorities have, in partnership with bus operators, implemented a £200m programme of traffic light priorities for buses. The data from ***yournextbus*** has been the catalyst for this, enabling Metro to assist operators in providing bus priority when and where it is needed at around 200 key junctions, to keep buses on schedule, in real time. Fundamental to this is the knowledge of where any bus is at any given point in time, made possible by use of ***yournextbus*** data, and enabling a specific bus to “trigger” a priority at a junction when needed.

The strength of partnerships with key stakeholders such as bus operators and the UTC teams in local highway authorities has been critical to successful delivery of both of these projects. Metro’s leadership, knowledge, innovation and commitment to managing and using the data effectively has enabled the projects to deliver benefits well beyond initial expectations.

- 5.46 Sometimes however, even the existing capacity within a PTE is not enough. One of the largest projects being delivered by a PTE is Nexus’s *Metro: All Change* modernisation project to renew the 40 year old Tyne & Wear Metro. Here the PTE has gone through significant organisational change to support the delivery of the project. Although Nexus had an engineering department this was set up to fulfil a maintenance function, not a long term programme of asset renewal such as *Metro: All Change*. In order to develop capacity a new Project Management Section was set up alongside the creation of a dedicated Renewals team, consisting of existing staff and new recruits, supported by a small number of framework contractors and consulting engineers. To provide long term capacity a graduate recruitment programme for engineers was set up in 2009.
- 5.47 The investment in engineering and project management capacity and the stringent project management procedures adopted are yielding significant benefits, illustrated below.

Nexus Tyne & Wear Metro: All Change Modernisation Project

Strong project management practices and procedures have enabled Nexus to deliver investment of £114.8 million in the first three years of the All Change modernisation. This represents 99.3% of the available funding of £115.6 million, which has been achieved securely within the funding profile set by the DfT. This has enabled the refurbishment of ten stations; renewal or refurbishment of 18.5km of track; replacement of 8km of overhead line; installation of 18km of cable ducting; repair of 17 bridges, and replacement of three more and replacement with embankment; 225 new ticket machines; 13 gate lines at key stations; replacement of eight escalators and four lifts; renewal or refurbishment of five sets of points; installation of a new Metro car wash, and of a wheel lathe; and the repair of 1.2 km of earthworks.



Financial forecasting has improved significantly with actual expenditure in each period routinely being within +/- 5% of the forecast. A cost loaded programme for the next three years has been created (in Primavera P6) with on-going development of programmes through years 7-11. The initial three year work bank is indicated to be in the region of 4% over the original budget. Consideration of the whole life cost of the projects and robust financial forecasts in planning and implementing capital works have been amongst the factors in successfully managing the programme.

Delivery overheads (design, bus replacement, project management and other internal costs) have reduced year on year and at the end of the third year have reduced by approximately 25%. This is directly as a result of procurement efficiencies, improved scope definition and reduced reliance on external consultancies as the Nexus internal capability and capacity develops.

An internal capital delivery capability is taking shape which will significantly improve cost effectiveness for activities requiring flexible delivery combined with relatively low complexity and low risk, such as signal cable and fibre installation and replacement and duct route repairs.

A review of project and programme delivery maturity using the OGC P3M3 model is underway. This requires further work and external validation but early indications compare well with industry benchmark standards in financial control, organisational governance and stakeholder engagement, together with significant progress being made in resource and risk management.

Summary: Key Lessons on Programme and Project Delivery

5.48 In summary, the principal messages on programme and project delivery are:

- All the PTEs structure their programme delivery approach around best practice in programme management such as the OGC-Cabinet Office suite of guidance. The PTEs are particularly well placed to implement these approaches as they have clearly established and defined decision making structures. These structures allow senior management to actively participate in the decision making and programme delivery structures, and form a fundamental part of emerging Combined Authorities as PTE governance evolves. In short the structure of decision making and programme management is good.
- At a project management level PTEs base their approach on best practice, primarily PRINCE2. From inception to delivery, a project's development is punctuated by gateway reviews which provide thorough and regular checks on project viability, acceptability and deliverability. These checks provide an opportunity for senior management to participate throughout the project lifecycle. They also provide a clear audit and scrutiny of a project's development, ensuring that any investment delivers appropriate outcomes. In short the process is good, and dovetails well with the structures in place.
- Dedicated specialist teams within the PTEs are a valuable asset throughout the project life cycle. This specialism enables continuous improvement within the PTEs as they develop and embed new processes and practices. The dedicated specialist resource for key stages within a project's development is supported by a continuity of project management which helps drive the scheme forward and provides an element of scheme advocacy.

6 Delivering the Benefits

PTE's deliver

- 6.1 In the opening chapter, we stated that this report would seek to demonstrate that our city regions have, in the form of PTEs, the existing structures, the skills and experience, the capacity and capability to deliver investment in transport, and to do so in a way that enables the very best value to be achieved. The report has shown how PTEs have been doing this for over 40 years, and have established procedures and a track record of successful delivery.
- 6.2 The PTE approach of strategic objective identification ensures that the benefits and outcomes from the delivery of initiatives through the PTE strategies are focused around national goals, including the current focus on economic objectives. Transport initiatives delivered in partnership with the PTEs are therefore more successful in delivering direct and indirect economic impacts.
- 6.3 PTEs have been effective in delivering small scale schemes which offer greater flexibility in programme funding and risk managements relative to the lead-in times and appraisal required for major schemes. Moreover these schemes have also been demonstrated to provide high value for money and provide benefits now rather than twenty years hence and so actively support the growth agenda now, where it is needed.

The value for money of small schemes

A report for *pteg*¹⁹ from a sample of 150 smaller (sub £5m) transport schemes found that “With a median benefit of £3.5 for every £1 spent, the results suggest that small scale public transport schemes delivered by PTEs and local authorities can be at least as cost effective, if not more, as larger capital projects.

According to Department for Transport guidance, benefit-cost ratios (BCRs) between one and two represent medium value for money, between two and four represent high value for money, and above four represent very high value for money. Overall, every scheme in our sample exceeded a BCR of 1.5. On the other hand, several schemes reached BCRs above three, notably some forms of bus priority, quality bus corridors and relatively low cost interventions such as information provision.”

- 6.5 And it is not just the PTEs experience of delivering infrastructure investment that enables best value to be achieved. The report has demonstrated too that the PTEs have unique skills from their experiences of delivering local transport investment that works for both customers and transport operators. Their distinctive history and background within the passenger transport industry enables customer focused investment that works to be delivered successfully.

And they Deliver More....

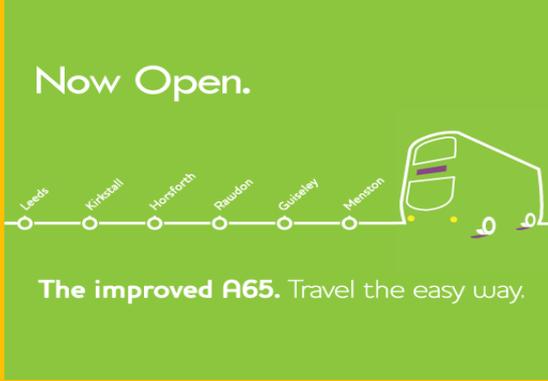
- 6.6 The PTEs have been successful at supporting project delivery through the application of a broad range of skills and knowledge. They have wide experience and expertise in fares and ticketing, integration with other modes, bus and rail operations, travel information and in marketing. The impact of this supporting work boosts the benefits of the investment, and helps to lock in those benefits over time.

¹⁹ Value for money and appraisal of small scale public transport schemes. Jacobs Consultancy for *pteg* 2011

- 6.7 For example, the £21m A65 bus corridor improvement in Leeds has been accompanied by robust information and marketing campaigns to ensure that the potential benefits of the scheme are realised.

Metro: “EasyWay” and the A65 bus corridor improvements

“EasyWay”, a robust information and marketing campaign, encompasses a number of initiatives including radio campaigns and information delivered to households and businesses along the





route. The operators have teamed up to allow passengers to use any operators’ tickets on the A65 corridor, and new low emission vehicles have been introduced along the route. In short, the wider specialist knowledge of the PTEs in delivering supporting activities allied to partnership working with transport stakeholders delivers enhanced transport benefits and locks in the benefit of the infrastructure investment.

- 6.8 Fundamental to the success of all of the PTEs is the strengths of the relationships that PTE staff have with partners and stakeholders. Each of the case studies throughout this report has, in some way, demonstrated this strength. In delivering improvements at Sheffield Station, partnership was fundamental to capturing and delivering the wider benefits that have been accumulated.

SYPT: Sheffield rail station improvement

Sheffield rail station improvement was part of a Masterplan prepared by Sheffield City Council that encompassed a wide variety of partners, each of whom had a critical delivery role. The resulting station improvement has seen around £74m in inward investment in the city, and an annual increase in GVA in Sheffield of £3.4m. The station improvement has not only directly contributed to a significant increase in development space, but has also played a crucial role in redeveloping the city centre, improving perceptions of the city and significantly increasing property values. Below: Sheffield station before and after.




In Conclusion

- 6.9 To conclude, the PTEs have demonstrated their experience in leading and delivering investment in local transport. The skills and knowledge of the PTE teams have delivered investment that works for both their customers and for their transport operator partners. This experience when combined with extensive and deep partnerships in their local areas leaves the PTEs well placed to actively lead the transport investment needed to support the government growth agenda.

