NORTH EAST LOCAL TRANSPORT BODY - DRAFT ASSURANCE FRAMEWORK

Version Control

Date	**Initials**	**Comments**
16/1/13	RF/MW/GG	Baseline Version 0.01
18/1/13	GG/MW/RF	Baseline Version 0.02 incorporating comments from HE (Newcastle), JF (Nexus), GM (South Tyneside) IP (Newcastle Audit), TS&HW (Newcastle Legal), AH (Gateshead), RB (Northumberland), EG (Newcastle Finance), BD (Sunderland), VM (Newcastle Democratic Services)
31/1/13	GG/MW/RF	Final Draft version 0.01 incorporating additional comments from MD&KM (DfT), TS&HW&NT (Newcastle Legal), AW (Durham), JC (North Tyneside), JP (Sunderland Legal), GH (North Tyneside)
4/2/13	GG/MW/RF	Final Draft version 0.02 incorporating comments and clarification following comments from DL (Sunderland)

PART ONE: PURPOSE, STRUCTURE AND OPERATING PRINCIPLES

1. Name

1.1 The Local Transport Body will be known as The North East Local Transport Body ("The North East LTB") <working title>.

2. Geography

2.1 The North East LTB (hereafter the NELTB) will cover the administrative area of the North East Local Enterprise Partnership (NELEP), which comprises Durham and Northumberland counties, and the metropolitan area of Tyne and Wear (see Figure 1).

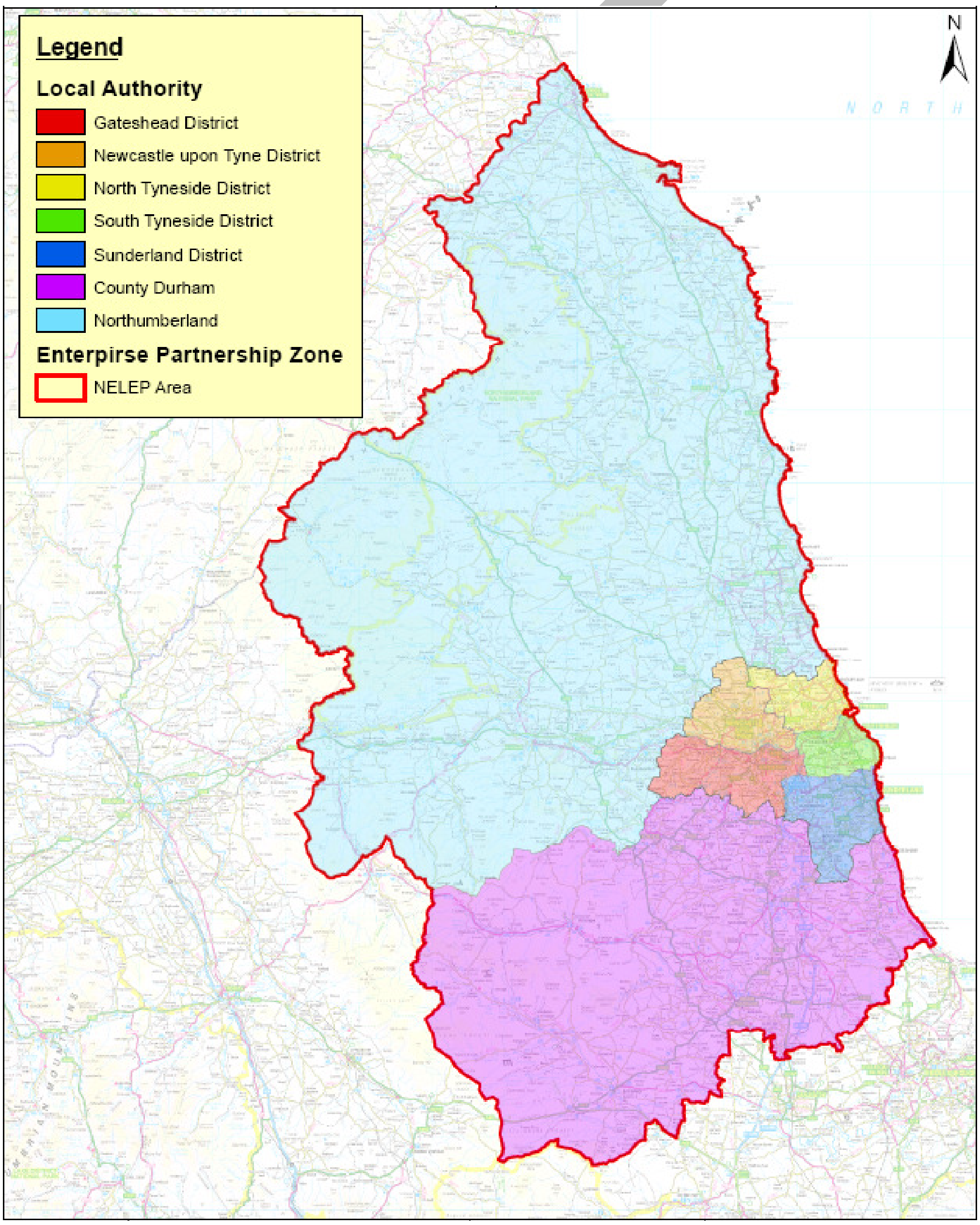


Figure 1 – area covered by the NELTB

2.2 Durham County Council covers an area of 223,260 hectares (2230 square kilometres/862 square miles) and is responsible for providing its 513,200 residents with a wide range of services. There are 12 major population centres in the county.

As a 'unitary' authority, the council provides the majority of local authority services in the county, including socially necessary bus services. The council is currently working towards its five priority themes: altogether wealthier, altogether better for children and young people, altogether healthier, altogether safer and altogether greener.

Durham County Council's website is: http://www.durham.gov.uk/

2.3 Also a 'unitary' authority, Northumberland County Council is responsible for providing local authority services, including socially necessary bus services, in the county. Northumberland is home to approximately 316,000 people and is largely rural.

Northumberland are currently working towards their three priorities: 'Connecting the County', 'Developing our People', and 'Growing Our Places'. Northumberland's Local Transport Plan 2011-2026 sets out the county's 15 year Transport Strategy. Northumberland County Council's website is http://www.northumberland.gov.uk/

2.4 The five local authorities in Tyne and Wear; Gateshead, Newcastle, North Tyneside, South Tyneside and Sunderland, are metropolitan authorities. Combined they have a population of 1,104,800. They are individually responsible for the maintenance and improvement of the local highway network in their area.

The websites for the five local authorities are as follows:

Gateshead	http://www.gateshead.gov.uk/
Newcastle	http://www.newcastle.gov.uk/
North Tyneside	http://www.northtyneside.gov.uk/
South Tyneside	http://www.southtyneside.info/
Sunderland	http://www.sunderland.gov.uk/

2.5 The Tyne and Wear local authorities are not directly responsible for the Tyne and Wear Metro system, school travel or socially necessary bus services, the responsibility of which lies with the TWITA and its Passenger Transport Executive (which trades as Nexus).

The Tyne and Wear Passenger Transport Authority was established by the Local Government Act 1985. The Local Transport Act 2008 subsequently changed the name of Passenger Transport Authorities to Integrated Transport Authorities. Elected councillors from the five Tyne and Wear districts make up the Tyne and Wear Integrated Transport Authority ("TWITA"). As part of its role, the TWITA oversees and shapes the local transport network, across every mode, in Tyne and Wear through an agreed long term transport strategy for the region endorsed by the local authorities and Nexus, the ITA's Executive. The TWITA's vision for Tyne and Wear is of a fully integrated and sustainable transport network which allows everyone the opportunity to achieve their full potential and have a high quality of life. The ITA's website address is http://www.twita.gov.uk/ and Nexus' website address is http://www.nexus.org.uk

2.6 The North East Local Enterprise Partnership ("NELEP") is responsible for promoting local economic growth in the north east region. LEPs are partnerships between local authorities and local businesses and therefore have a wide ranging remit for delivering economic growth. The remit of the NELEP includes promoting training and skills, marketing the region as an attractive place to do business and making the case for investment in key infrastructure projects. The NELEP's vision is simple: to 'create growth'. The NELEP's website can be found at http://www.nelep.co.uk/

3. Membership

3.1 The NELTB will be an informal partnership initially made up of two distinct types of membership: full members and non-voting members.

3.2 Full members of the NELTB will be responsible for:

- Identifying a prioritised programme of major scheme investment within the available budget;
- Ensuring value for money is achieved across the programme;
- Making decisions on individual scheme approvals, investment decision making and release of funding, including scrutiny of business cases;
- Monitoring progress of scheme delivery and spend; and
- Actively managing the devolved budget and programme to respond to changed circumstances (scheme slippage, scheme alteration, cost increases etc).

In order to deliver these responsibilities full members will participate in decision making and have voting rights.

3.3 The NELTB covers the following seven local authority districts and Integrated Transport Authority area, each of which will have a representative as a full member:

a. Durham County Council;

b. Gateshead Metropolitan Borough Council;

c. Newcastle City Council;

d. North Tyneside Council;

e. Northumberland County Council;

f. South Tyneside Council;

g. Sunderland City Council; and

h. Tyne and Wear Integrated Transport Authority.

3.4 Membership of the NELTB may be subject to a wider governance review of joint working arrangements across the NELEP area.

3.5 Those eight full members will be publically elected politicians at Leader or Elected Mayor level (Chair for TWITA). Each full member will nominate an appropriate deputy, (Deputy Leader / Deputy Mayor /or Portfolio Holder / Vice Chair, TWITA) who will attend if the named member cannot, and will be entitled to vote.

3.6 Non-voting members will have full access to meetings of the NELTB including access to papers and will be expected to fully participate in NELTB discussions. They may also be requested to provide information in advance of the meeting. However, non voting members will not have voting rights.

3.7 Non-voting membership will be held by the North East Local Enterprise Partnership ("NELEP"). The representative and deputy of the NELEP will be at Chair / Board level. As originally outlined as part of its official consultation response on the Devolution of Major Schemes (https://www.gov.uk/government/consultations/devolving-local-major-transport-schemes-consultation, 31st January 2012) the NELEP has confirmed that it will not, at this time, seek to take up full voting membership on the NELTB.

3.8 The Chair and Vice-Chair of the NELTB will be appointed in accordance with the wider governance of the Seven North East Authority groups. A feature of this governance structure is the annual rotation of the Chair of groups (this is outlined in Annex A), therefore accordingly the Chair and Vice Chair of the NELTB will rotate annually. The same feature is prevalent in the officer supporting groups identified in section 10.5. The Chair will have the casting vote should there not be a majority, should the Chair not be in attendance the nominated deputy to the Chair will have the casting vote. Standing orders for the management of meetings will be developed.

3.9 Due to its potential to reduce costs to businesses, encourage inward investment and stimulate job creation and retention, transport is of great interest to the NELEP. The NELEP representative will ensure that the NELTB are aware of issues / activities relevant to the business community when considering the local major schemes process, and will ensure knowledge of funds managed by the NELEP is shared with the NELTB to enable consideration of opportunities for alignment of funding streams.

3.10 The formal process for changing the named representative / deputy is for the Chief Officer of the member organisation to write to the Accountable Body (see para 6.2) at least two weeks in advance of a meeting of the NELTB to confirm a representative consistent with the approach outlined in paragraph 3.5 and 3.7.

3.11 The NELTB will only be able to make decisions in relation to the major scheme funding devolved by the DfT (whilst retaining the ability to make decisions to potential other, as yet unknown funding streams that may in the future be released by government specifically to LTBs nationally). The NELTB will not have decision making powers over other funding streams that remain the responsibility of the individual Seven North East Local Authorities or

TWITA.

3.12 In order for a NELTB meeting to be quorate, one member (or their deputy) from at least five of the eight voting authorities must be present. The Chair or their nominated deputy must be in attendance in case a casting vote is required. The NELTB decisions will be based on a majority vote. Only full members will have voting rights.

3.13 Membership and forms of membership of the NELTB will be reviewed on an annual basis. This review will include the potential to introduce / alter forms and designations of membership and increase the range of organisations that are able to become full members or non voting members (or obtain other forms of membership). Stakeholders and delivery partners such as the Highways Agency and Network Rail may be invited to meetings of the NELTB to provide input as and when required, but these bodies will not be invited to be formal voting / non-voting members at this time.

4. Conflicts of Interest

4.1 NELTB members will act in the interests of the NELTB area as a whole and not according to the sectoral or geographic interests of their particular local authority.

4.2 Each member of the NELTB agrees to abide by his/her own local authority's (or TWITA's in the case of the TWITA member) Code of Conduct for Members when conducting LTB business. The NELEP representatives will sign up to the Code of Conduct used by the Accountable Body. Any breach of the Code of Conduct by an NELTB member will be addressed using the procedure outlined in the Code of Conduct of their respective member organisation.

The register of interests held by each council represented on the NELTB is available to the public.

4.3 Each member and deputy member of the NELTB (both full and non-voting) will register any additional interests which are outside their own authority's area but within the NELTB boundary ("LTB interests").

4.4 NB These LTB interests are an interest of either (a) the member, or (b) the member's spouse or civil partner, or (c) a person with whom the member is living as husband and wife, or (d) a person with whom the member is living as if they were civil partners (all of whom are referred to as "relevant persons").

4.5 The LTB interests are:

4.5.1 **Contracts** – Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and one of the 7 councils represented on the NELTB -

(a) under which goods or services are to be provided or works are to be executed; and

(b) which has not been fully discharged.

4.5.2 **Land** –Any beneficial interest in land which is within the area of the NELTB.

4.5.3 **Licences** – Any licence (alone or jointly with others) to occupy land in the area of the NELTB for a month or longer.

4.5.4 **Corporate tenancies** – Any tenancy where (to the member's knowledge) –

(a) the landlord is one of the 7 councils represented on the NELTB; and

(b) the tenant is a body in which the relevant person has a beneficial interest.

4.5.5 **Securities** – Any beneficial interest in securities of a body where –

(a) that body (to the member's knowledge) has a place of business or land in the area of the NELTB; and

(b) either –

(i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or

(ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

4.6 The register of a member's LTB interests will be maintained on behalf of the NELTB by Newcastle City Council as the Accountable Body. The register will be available to the public.

4.7 Where a member thinks that disclosure of the details of any of his/her LTB interests could lead to him/her, or a person connected with him/her, being subject to violence or intimidation, the Monitoring Officer of Newcastle City Council may at his/her request make a note on the Register that he/she has an LTB interest, details of which are withheld.

4.8 When a member attends a meeting of the NELTB and is aware that the criteria set out in sub-paragraph 4.8.1 are satisfied in relation to any matter to be considered, or being considered at that meeting, the member must:

a. Declare that fact to the meeting;
b. Not participate (or further participate) in any discussion of the matter at the meeting;
c. Not participate in any vote (or further vote) taken on the matter at the meeting; and
d. Leave the room whilst the matter is being discussed.

4.8.1 The criteria for the purposes of paragraph 4.8 are that:

a. The member has an LTB interest in the matter which is such that a member of the public knowing the relevant facts would reasonably think it so significant that it is likely to prejudice his/her judgement of the public interest; **and**

b. The matter will affect the financial position of the member or one of the persons or bodies referred to in any of his/her register entries.

4.9 **Predetermination**

Where members have interests which may be thought to be likely to influence their decision, the fact should be declared at the meeting.

A predetermination interest will arise:-

a. where the member has closed their mind to the merits or otherwise of a matter in respect of which they need to make a decision; and / or

b. where the interest is such that members of the public may feel that the member will not be able to approach the matter with an open mind.

A member is not to be taken to have had, or to have appeared to have had, a closed mind when making the decision because:

a. the member had previously done anything that directly or indirectly indicated what view the member took , or would or might take, in relation to a matter; and

b. the matter was relevant to the decision.

In respect of the above paragraph when the member makes a decision they must have an open mind and appear to have an open mind.

If a member has predetermined the matter they must declare the predetermination interest at the meeting and leave the room prior to the matter being discussed and the decision being taken.

Members should seek guidance from officers on whether they have a predetermination interest to declare.

"Members" for the purpose of this paragraph include voting and non voting members of the NELTB.

5. Gifts and Hospitality

5.1 Members who are offered gifts or hospitality must declare them by completing the Disclosure of Receipt of Gifts and Hospitality form provided and administered by the Accountable Body (outlined in section 6).

5.2 Members will be required to register the offer of Gifts and Hospitality (over £50). If a Member attends a meeting and is aware that the following criteria are satisfied, he/she will have to declare the interest, not participate, and withdraw from the meeting or element thereof:

a. the member has registered Gifts and Hospitality which is such that a member of the public knowing the relevant facts would reasonably think it so significant that it is likely to prejudice his/her judgement of the public interest; and

b. the matter will affect the financial position of the member or 1 of the persons/bodies referred to in any of his/her register entries.

5.3 Members with concerns or questions must raise them with the NELTB secretariat (outlined in section 9).

6. Status and Role of Accountable Body

6.1 The NELTB will be an informal partnership made up of eight voting members (Durham County Council, Gateshead Council, Newcastle City Council, North Tyneside Council, Northumberland County Council, South Tyneside Council, Sunderland City Council and TWITA – as per para 3.3) and a non voting member (NELEP). The NELTB will be subject to a 'back to back' legal agreement (para 6.5), and standing orders for the management of meetings.

6.2 Newcastle City Council will act as the "Accountable Body" for the NELTB on an interim basis (subject to the outcomes of a wider governance review in the north east LTB area) and will be responsible for the legal and financial management of major scheme grant funding including holding devolved major scheme funding and making payments to delivery bodies. As the Accountable Body, Newcastle City Council will provide financial statements to the NELTB and will ensure that funds are only used in accordance with the criteria set for their use. The NELTB will be required to work closely with the Accountable Body.

6.3 The Accountable Body will ensure that major scheme funding is separately identifiable from the Accountable Body's own funds. The Accountable Body will also produce financial statements when required. Any interest accrued will be administered by the NELTB in accordance with its programme of activities.

6.4 As the Accountable Body, Newcastle City Council will be responsible for the following:

- Ensuring that the decision and activities of the NELTB conform with legal requirements and relevant legislation with regard to equalities, environmental, EU issues etc;
- Ensuring that the funds are used appropriately and signed off by the Section 151 (S151) Officer;
- Ensuring that the terms of this assurance framework are complied with;
- Ensuring the assurance framework is kept up to date;
- The resolution of complaints relating to the process of the NELTB;
- Appointing an independent auditor on behalf of the NELTB (see paras 7.1 and 7.2);
- Maintaining the official record of NELTB proceedings, holding all NELTB documents, and posting appropriate documents on the web page; and
- Decisions of the NELTB in approving schemes.

6.5 The Accountable Body will develop a back to back agreement with prospective scheme promoters in order to ensure these responsibilities are discharged. As part of these arrangements a service level agreement will be specified to ensure an adequate level of officer support.

The Accountable Body will seek to establish the back to back agreement by the end of July 2013 to align with deadline for the prioritisation of schemes. In the absence of specific details relating to the grant conditions associated with the devolution of funding a more general Memorandum of Understanding will be developed between the members to cover the informal partnership membership and structure, and the principles to be upheld in relation to issues such as liability and indemnity, including clawback.

6.6 A coding structure will be set up to allow funds held to be separately identifiable within the General Ledger of the Accountable Body. This will enable a budget position to be provided at any point in time, as well as fulfilling the year end accounting requirements. Financial statements will be provided to the NELTB on a quarterly basis as standard, although interim updates will be provided if requested.

6.7 On receipt of the initial funding the S151 officer of the Accountable Body will confirm their acceptance of any grant conditions established by the DfT. In order to enable them to fulfil this requirement, S151 officers of the individual scheme promoters will also be asked to provide written confirmation of their acceptance of the grant conditions and their requirement to ensure that funds are used appropriately on behalf of the NELTB.

6.8 The S151 officer (or his/her representative) of the Accountable Body will approve release of funds, which will be based on defrayed expenditure and paid in arrears to individual scheme promoters on receipt of evidence that the funds have been used as intended, i.e. in line with the grant conditions under which they have been awarded. The S151 officer of the Accountable Body will ensure that funds are accounted for appropriately in the final accounts of this body, in line with proper accounting practices.

7. Audit and Scrutiny

7.1 It is an essential requirement that the work of the NELTB is scrutinised by an independent auditor. An independent local audit will be carried out in accordance with the specification in the guidance provided by DfT.

7.2 This audit (or series of audits) will include the business and work of the NELTB, and also provide an adequate mechanism for the detection of misuse of funds and recovery of funds by the NELTB.

8. Strategic Objectives and Purpose

8.1 The NELTB's primary role is to perform, as a minimum, the roles outlined in para 3.2. It is essential that devolved funding is invested in value for money major transport schemes that demonstrably contribute towards achieving the major scheme policy challenges (see Table One below). These challenges align with the objectives and criteria outlined in more detail in section 13 on prioritisation and are applicable for at least the first Comprehensive Spending Review Period associated with the Devolution of Major Scheme funding.

8.2 **Table One: Policy Challenges:**

- Supporting jobs;
- Supporting gateways and international and national trade;
- Contributes to skilled employment or training;
- Support the NELEP spatial strategies and economy;
- Attractiveness of the NELEP area as a place to do business;
- Improves connectivity from residential areas to employment opportunities;
- Improving the local environment;
- Achieving carbon reduction targets; and
- A healthy population.

8.3 The key purpose of the NELTB will be to:

- Invite the submission of schemes for prioritisation and programming;
- Identify a prioritised list of major transport schemes in the NELTB geographical area;
- Co-ordinate and scrutinise individual scheme business cases;
- Make decisions on individual scheme approvals;
- Make decisions on investment and release of funding;
- Monitor progress of scheme delivery and spend;
- Respond to changed circumstances, when necessary;
- Publish information on major scheme priorities and provide stakeholders and members of the public with the opportunity to comment;
- Liaise with DfT about the programme;
- Ensure value for money is achieved; and
- Ensure effective delivery of the programme.

8.4 The role of the NELTB will be reviewed on an annual basis and a decision on whether it should assume other transport-related roles will be undertaken. A decision on whether the NELTB will extend its remit to provide its views to the Seven North East Local Authorities and

TWITA on transport issues that go beyond the immediate remit of major schemes will also be undertaken at the time of the annual review.

9. Support and Administration Arrangements

9.1 The NELTB will be supported by a core secretariat, which will consist of officers working on behalf of the Seven North East Local Authorities. These officers (a Policy Manager and a Policy Support Officer) are already in place on a full time basis within Newcastle City Council, and are jointly funded by the 7 local authorities in the NELTB area. Officers employed by Newcastle City Council Democratic Services will also assist in providing additional secretariat and administration resource to the LTB as and when required.

The development of a back to back agreement between the Accountable Body and the other members of the NELTB will identify a specified level of service for legal, financial, audit and programme management resources to be provided by the Accountable Body. These services can be drawn upon as required by the core secretariat.

9.2 As Newcastle City Council is the Accountable Body, the NELTB will be able to seek specialist advice from the Council's departments. A service level agreement/ back to back agreement will be developed by the Accountable Body in partnership with the Member organisations of the NELTB. This agreement will ensure that adequate officer resources are in place to underpin legal, financial, democratic services and audit arrangements.

9.3 The combined Secretariat will provide the NELTB with the following support:

- Day to day administrative functions such as the preparation of meeting papers – minutes, agendas, working papers, progress reports, information reports, decision reports etc;
- Responding to information requests;
- Giving notice of meetings and publishing information;
- Stakeholder engagement through regular update of the NELTB web page and organisation on specific consultation events as appropriate;
- Procurement of independent technical advice on business case material submitted by scheme promoters, which will be used to make decisions on scheme priorities and programming;
- Resource to assist in the programme management of the prioritised list of schemes;
- Updating this Assurance Framework based on the evolving role of the NELTB; and
- Advice to NELTB members on specific governance, transparency and probity issues, and updating guidance as necessary.

9.4 Independent scrutiny of business cases will be provided by a neutral third party with appropriate technical expertise. This expertise will be procured by the Accountable Body, Newcastle City Council, for the Senior Officers' Transport Advisory Group (SOTAG, see para

10.6 – Terms of Reference in Annex B) on behalf of the NELTB. Financial resource to allow procurement of this specialist advice has been identified and agreed and is included as part of the NELEP business plan.

10. Working Arrangements and Meeting Frequency

10.1 The NELTB will meet to prioritise schemes, make investment decisions and when otherwise necessary in the discharge of the functions outlined in para 3.2. The NELTB will meet in 'shadow' form in March 2013 to agree the prioritisation process. The NELTB will begin to prioritise major schemes at its first official meeting in April 2013 and will meet again in June 2013 to agree a final list of prioritised schemes – unless the deadline to do so is otherwise extended by the DfT.

10.2 The NELTB will then meet at key points in the business case and decision making process including those outlined in para 18.4, most likely quarterly, to discuss progress on delivering the programme.

10.3 Meeting dates will be published on an NELTB web page *[insert webpage address when established]* with a minimum of one month advance public notice (except in cases of an urgent / emergency meeting date being calendared – arrangements for urgent meetings will be outlined in the Standing Orders for meetings). NELTB meetings will be open to the public.

10.4 Timescales for the completion of business cases, as outlined in section 3, paragraph 18.4, will be agreed by the NELTB. Promoters will be expected to adhere to such timescales and will only be able to progress to the next stage once their business case has been approved by the NELTB. Extensions will only be granted in extreme circumstances and the NELTB must be notified at the earliest opportunity, should a potential scheme cost or timescale change.

10.5 Three groups: the Senior Officers Transport Advisory Group (SOTAG), LA7 Economic Directors and LA7 Chief Executives [Terms of Reference in Annex B], will advise the NELTB, enabling it to:

- Forward manage their Agenda;
- Forward manage the development of a programme of local major scheme priorities for the LEP area;
- Manage relationships with external bodies including (but not limited to) DfT, the Highways Agency and Network Rail;
- Receive regular updates on progress towards targets and objectives;
- Commission work as appropriate; and
- Receive regular updates and advice on transport matters of strategic significance across the NELTB area.

10.6 As illustrated by Figure Two, SOTAG will report to the NELTB via the LA7 Economic Directors and LA7 Chief Executives groups. The Chair of each group will rotate annually across the 7 local authorities in accordance with arrangements established as part of wider seven local authority working practices (attached at Annex A). The groups will meet regularly in advance of meetings of the NELTB.

10.7

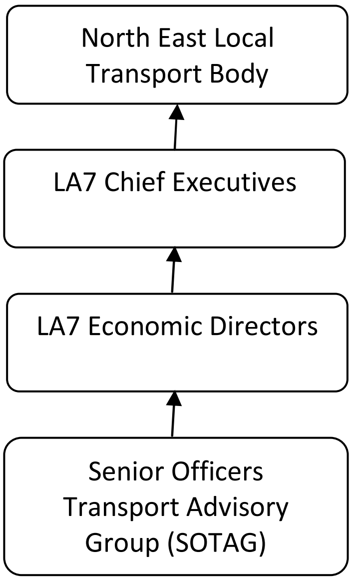


Figure Two: Governance and Reporting Structure

10.8 The information provided by scheme promoters to the NELTB will be verified by independent technical specialists commissioned and managed by SOTAG to ensure rigour and data quality. Both the information provided and its appraisal will be developed in accordance with the guidance published in WebTAG at the time the business case is submitted to the NELTB for approval. Central case assessments will be based on forecasts which are consistent with the definitive version of NTEM (DfT's planning dataset). This requirement will not preclude the use of alternative planning assumptions as sensitivity tests.

10.9 The appointed independent technical specialists will then provide advice to the NELTB indicating how well each submitted scheme performs in terms of policy fit, value for money and deliverability.

10.10 The NELTB will use the advice provided by the groups outlined in sections 10.5-10.7 to prioritise a programme of major schemes for the area.

11. Transparency and Local Engagement

11.1 The NELTB will ensure a high level of transparency and will adhere to the Local Government Code of Recommended Practice for Local Authorities on Data Transparency.

11.2 NELTB meetings will be open to the public and agendas and non confidential papers for each meeting will be published on an NELTB web page at least one week in advance of the scheduled date. All meetings will be subject to a minimum notice period of one month (except in cases of urgent meetings – the arrangements for which will be outlined in Standing Orders).

11.3 The NELTB will publish background papers relating to decision making on the NELTB web page (excluding those items deemed to be confidential). The NELTB will also set out the expected outcomes from each scheme that receives funding.

Papers which will be published by the NELTB include:

- The Assurance Framework;
- Agendas and non confidential papers for meetings;
- Minutes of meetings;
- The eligibility criteria for major schemes;
- Prioritisation methodology;
- Scheme business cases and evaluation reports;
- Information on the major scheme programme;
- Funding decision letters with funding levels and conditions indicated;
- Regular programme updates on delivery and spend against the budget; and
- Value for Money Statements.

11.4 As the NELTB is a non-statutory body, it is not subject to the Freedom of Information Act 2000 or the Environmental Information Regulations 2004. Instead, statutory information requests, including FOI and EIR requests will be handled by the Accountable Body: Newcastle City Council. The NELTB will enable the public and stakeholders to have input pertaining to business cases before decisions are made and as per para 22.3, a summary of comments and representations will be circulated with the papers for meetings.

12. Complaints and Whistleblowing

12.1 Any individual or organisation is entitled to make a complaint if they feel that the work of the NELTB is not being undertaken in accordance with the standards outlined in this Assurance Framework. This complaint should be made to the Head of Democratic Services for the Accountable Body. The NELTB webpage will hold appropriate contact details.

12.2 Wherever possible, complaints will be resolved locally by the NELTB. However, complaints may be escalated to the Local Authority Ombudsman or the DfT should the complainant be unsatisfied with the initial response. The complaints procedure is outlined in Table Two.

12.3

Table Two: NELTB Complaints Procedure

- Receipt of complaint will be acknowledged within 5 working days;

- A decision on the complaint will be taken within 10 working days of receiving the complaint;
- If the complaint alleges criminal conduct, the Police and other regulatory agencies will be contacted if appropriate;
- In appropriate cases, measures will be taken to resolve any complaint informally; and
- A formal investigation will be conducted if required.

The Corporate Complaints Officer for the Accountable Body will carry out any required investigation.

PART TWO: PRIORITISATION

13. Introduction

13.1 The prioritisation process, through which preferred local transport investments will be identified, is an important element of this Assurance Framework. The process is robust and transparent, and intended to support decision making. The methodology will be available on the NELTB's webpage.

13.2 To enable the prioritisation, a transparent and robust methodology for prioritising local major transport schemes for delivery through the devolved process has been developed. The methodology is clearly linked to delivering the priority outcomes of the NELTB area and is designed to be relatively simple, transparent and evidence based. It is broadly based on three dimensions, namely:

- Policy fit (including environmental and social and distributional impacts);
- Value for Money; and
- Deliverability.

13.3 The methodology is an open framework, where all of the evidence inputs can be clearly seen by stakeholders and decision makers. There is also no attempt to imply an element of precision in evidence presented where there is none, nor is there any attempt within the methodology to combine the three dimensions (policy, value for money and deliverability) to give an overall score for a scheme or intervention. Data gaps are identified, not concealed.

13.4 Guidance has been issued to prospective scheme sponsors on the types of evidence which are likely to support the policy criteria adopted (section 15), and to guide scheme sponsors in providing evidence on value for money and deliverability (sections 16 and 17 respectively). This guidance identifies appropriate and acceptable sources of evidence and data, helping to support data quality and the rigour of the process.

13.5 All schemes submitted for consideration will be subject to independent assessment. For consistency the scheme assessment is to be undertaken by two separate assessors on each scheme. Following assessment of all schemes, a correlation exercise will be undertaken by the scheme assessors and an independent adjudicator to resolve any divergence in assessment scores. The promoter(s) of each scheme or proposal will be required to attend a clarification meeting. Each meeting will allow the independent assessors to verify scheme evidence and data, and to cross examine scheme sponsors to clarify any issues which are unclear within the evidence presented, and to enable the scheme assessors to gain a clear understanding of the scheme and what it is trying to achieve.

13.6 Policy criteria have been developed based upon the three key themes agreed by the partner organisations, namely:

- Economic growth and jobs
- Access to Opportunity
- Quality of Life

13.7 These themes have been broken down into 9 policy challenges (see Table 1 at para 8.2) and 10 defined criteria in order to develop fully the component parts of the key themes and ensure that the policy criteria fully reflect the themes they represent across the North East (section 15). For each proposal or scheme assessed, each component criterion is to be independently scored using quantitative and qualitative evidence provided by the scheme sponsors, against a numeric scale, with the lowest score of zero representing no positive impact. The graduated scoring scale for each criterion will reflect the range of impacts likely from the transport schemes under consideration. Detailed scoring notes, based on North East area policies and plans, including local documents from the North East's constituent bodies, have been developed to guide the independent assessment of proposals.

13.8 Independent assessment of value for money (VfM) will be based upon any 'value for money assessments' and 'value for money statements' presented as evidence by scheme sponsors. This assessment of value for money will reflect guidance on the DfT's Transport Business Case and from WebTAG. It is expected that scheme sponsors will reference appropriate and proportionate use of the DfT's guidelines in presenting value for money evidence.

The independent assessment will establish an initial value for money category from DfT Guidance (available from http://assets.dft.gov.uk/publications/value-for-money-assessments-guidance/vfmguidance.pdf), based upon the [estimated] Benefit Cost Ratio (BCR) of the scheme. These categories are:

- Poor VfM if the BCR is less than 1.0;
- Low VfM if the BCR is between 1.0 and 1.5;
- Medium VfM if the BCR is between 1.5 and 2.0;
- High VfM if the BCR is between 2.0 and 4.0; and
- Very high VfM if the BCR is greater than 4.0.

Value for money assessments will also account for quantitative and qualitative evidence presented that has not been monetised and included within the estimated BCR.

13.9 Deliverability is a key element of the methodology. Potential schemes will be assessed in relation to the level of risk associated with their deliverability. Assessments of deliverability based around three areas will be used, with each of these areas broken down into a number of components to ensure that all critical aspects of deliverability are examined:

- Risk to programme;
- Risk to cost; and
- Risk to acceptability.

13.10 For each of the key deliverability components a Red-Amber-Green (RAG) assessment will be undertaken based on the level of risk associated with that component. Red will indicate a key deliverability issue indicating that it is unlikely that the proposed scheme could be delivered within the indicative time period.

13.11 As such, the prioritisation framework is evidence based and scheme promoters are required to provide detailed evidence to demonstrate the contribution their proposal will make towards achieving the objectives of the NELTB. In order to enable this to be assessed, promoters must illustrate that their scheme is deliverable, that it constitutes value for money and they must explain its contribution towards the delivery of the set of policy criteria (see para 15.4) which have been formulated to address the policy challenges outlined in para 8.2.

13.12 The NELTB will ensure that the Highways Agency and Network Rail are invited to comment on any strategic road or rail schemes that are to be considered for major scheme funding. This will allow for their views on deliverability and impact on the wider network to be taken into account during the prioritisation process.

13.13 The NELTB will submit a prioritised list of schemes to the DfT by July 2013 (or any other dates in the future when the DfT requires a prioritised list of schemes to be submitted). This list of schemes will also be published on the NELTB web page.

13.14 Scheme promoters are expected to maintain any asset that is created and this should be done in accordance with their Asset Management Plan or, in the case of a Passenger Transport Executive or other potential transport delivery agent, an equivalent document.

14. Scheme Eligibility

14.1 Candidate schemes for consideration are identified by the respective scheme promoters: (the seven local authorities in the NELTB area and Nexus) via the Senior Officers' Transport Advisory Group ("SOTAG"). This initial 'long list' of candidate schemes will be developed taking in to account the 3 Local Transport Plans in the NELTB area, development plans across the 7 local authorities and previous work on local major schemes development such as the

DaSTS ‘Access to Tyne and Wear City-Region’ study.

14.2 This initial list will be considered by SOTAG, and refined by the scheme promoters to contain those schemes most likely to address a set of policy, deliverability and value for money criteria (as outlined in sections 15-17.

14.3 Following these processes, a shorter list of candidate schemes will provide detailed evidence of their suitability across these criteria. This evidence will be scrutinised thoroughly by an independent third party appointed by SOTAG because of their neutrality and technical expertise. As outlined in para 10.9, this third party will then provide the results of their findings to the NELTB to aid their decision making.

14.4 Table 3 below outlines the major scheme criteria. More detail follows in sections specifically on policy and deliverability criteria.

14.5 **Table 3: Major Scheme Eligibility Criteria**

Purpose of Scheme

Schemes are required to make a significant contribution towards achieving the objectives of the NELTB as defined by the *Guidance on Evidence* document (Annex C). Proposals should be transport schemes. Funding will only be considered for specified major transport schemes.

Cost Threshold

In order to be eligible, schemes must have a total net cost to the NELTB of at least £2.5m. This will prevent funding from being spread too thinly to be effective. Funding can only be used for capital expenditure.

Strategic Impact

Promoters are required to demonstrate how their scheme will have a positive impact on the transport challenges within the NELTB area (Table 1, para 8.2). It is desirable that schemes will have an impact on a wide area however this does not preclude localised issues being addressed, given the knock-on effect of improvements to the local economy improving the sub-regional / regional economy.

Policy Criteria

Schemes need to demonstrate how they contribute to the specified policy criteria. Given the government’s strong emphasis on economic growth and development, the schemes should contribute towards local and economic development.

Value for Money

Schemes are required to provide an estimate of the Value for Money (VfM) a scheme is expected to provide. For the prioritisation process, promoters will be required to estimate Benefit Cost Ratio (BCR) for their scheme(s). Regular VfM statements will be required in order to adjust the BCR as part of the move towards full scheme approval by the NELTB.

Deliverability

Proposed schemes need to have a reasonable degree of public and stakeholder support and

must be deliverable within a clearly defined timescale. An assessment of deliverability must be undertaken in order to identify any potential "under spend". **Local Contribution** Scheme promoters are encouraged to provide a local contribution which would normally be at least 10% per scheme.

15. Policy Criteria

15.1 The policy criteria build upon the objectives of the three Local Transport Plans in the NELTB area and are based upon three key themes:

- Economic growth and job creation;
- Access to opportunity; and
- Quality of life.

15.2 These key themes are broken up in to ten discrete policy criteria. These criteria allow scheme promoters to provide both quantitative and qualitative information to describe the policy contribution of their scheme.

15.3 The overall assessment framework is an open framework, with the intention that decision makers on the NELTB and supporting officers should see exactly how and where each proposed scheme contributes to the delivery of the North East's agreed policy outcomes and its strategic objectives – outlined in 15.4. This is one of the key features of the approach, and is designed to ensure maximum transparency both to stakeholders and the NELTB. Where a scheme will deliver positively against a number of these key outcomes, it will be clear that it does so, and a scheme will be credited accordingly. There is scope within the process for the NELTB to be made aware of where such benefits are complementary.

15.4

Theme	Challenge	Criteria
Economic Growth and Job Creation	Supporting jobs	Will the scheme contribute to the creation of new jobs and retention of existing jobs in the North East LEP area?
	Supporting gateways and national and international trade	Will the scheme support the North East LEP area gateways?
	Contributes to skilled employment or training	Will the scheme encourage the development or retention of skilled jobs (NVQ Level 4 and above) and support sites that deliver the training for such skills?

	Support the NELEP spatial strategies and economy	Will the scheme provide sustainable access solutions to existing and growing development corridors, centres and sectors or support housing growth?
	Attractiveness of the North East LEP area as a place to do business	Will the scheme ensure capacity and speed of transport links to and within the North East LEP area are maintained and enhanced in order to increase the attractiveness of the North East LEP area as a place to do business, boosting inward investment and improving competitiveness of indigenous firms?
Access to Opportunities	Improves connectivity from residential areas to employment opportunities	Will the scheme deliver improved accessibility from residential areas to areas that have employment, education or other opportunities?
		Will the scheme contribute to an improvement in the overall quality of journeys, particularly those providing links to employment and health or education opportunities?
Quality of Life	Improving the local environment	Will the scheme contribute to an overall improvement in the local environment including improving local air quality or reducing the noise impact of transport corridors?
	Achieving carbon reduction targets	Will the scheme contribute to an overall reduction in carbon emissions relative to the existing situation?
	A healthy population	Will the scheme provide the opportunity to improve health, reduce levels of obesity among the population or improve road safety within the area?

15.5 A detailed set of guidance has been produced for scheme promoters that ensures as far as possible a consistent level of information is available to inform the prioritisation process. This guidance is contained within Annex C and provides advice on Policy Criteria (for example, environmental and social and distributional impacts), Value for Money and Deliverability. A pro-forma for use by scheme promoters has been developed to accompany the guidance and is contained within Annex D.

16. Value for Money

16.1 As part of the prioritisation process it will be necessary to provide an estimate of the Value for Money (VfM) that a scheme is likely to provide. At the first stage in the scheme development process not all schemes will have a fully worked up business case that will include all aspects of the Benefit to Cost Ratio (BCR). The guidance note contained within Annex C provides advice on how VfM should be assessed in this instance.

16.2 For schemes that have not yet been fully assessed the required approach will be to examine the evidence from other previous schemes. This approach is consistent with the DfT's Early Assessment and Sifting Tool (EAST) Guidance.

16.3 A local contribution to the scheme may contribute to its Value for Money (if the local contribution comes from the private sector it is more likely to improve the BCR of the scheme). It is expected that the local contribution should normally be at least 10% of the total scheme cost. This contribution may, for example, include money from section 106 planning agreements or the Community Infrastructure Levy.

17. Deliverability

17.1 Deliverability is a key element of the methodology and great importance is placed on a robust deliverability assessment.

17.2 A number of key-deliverability criteria have been developed in order to assess the potential for scheme delivery in the 2014-19 period. These are outlined in Annex C of this Assurance Framework. Schemes which perform well against the deliverability criteria will have:

- Recently calculated outturn costs in a WebTAG compliant way;
- Established key milestones for delivery;
- Established a process for reaching detailed design;
- Established realistic timescales for obtaining statutory consents, carrying out / illustrating public consultation and acceptance and procuring contractors;
- A robust risk assessment; and
- A detailed governance and project management structure.

PART THREE: PROGRAMME MANAGEMENT AND INVESTMENT DECISIONS

18. Scheme Assessment and Approval

18.1 There is a clear distinction between scheme promoters and the NELTB. The identification of schemes, development of scheme proposals and completion of business cases is the responsibility of scheme promoters. The NELTB will act as the decision maker. The NELTB will assess business cases and the findings will help inform decisions on whether to provide funding for a scheme. An approval regime will be in place through the establishment of formal back to back agreements that protect the financial interests of the NELTB and the Accountable Body and enables the NELTB to fulfil its responsibility to deliver value for money while setting out respective responsibilities including reporting and audit requirements.

18.2 An assessment of all major scheme business cases will be carried out by an independent third party with the relevant technical expertise, and this expertise will be procured by Newcastle City Council via SOTAG. The independence of each review will be signed off by an appropriate senior member of the independent organisation undertaking the review.

18.3 Scheme promoters will be required to use DfT's Transport Business Case Methodology when developing their business case.

The process for the NELTB assessment and approval of a major scheme will comprise of three 'gateway' stages and full scheme approval will require a robust business case.

18.4 The methodology outlined in sections 13-17 will assist the NELTB in prioritising schemes. Those prioritised schemes will then proceed through the summarised process outlined below in order to progress a scheme to Full Approval. This approach is consistent with DfT's 'The Transport Business Case' guidance:

Proposal prioritised (Gateway 1)

- Promoter prepares Outline Business Case and submits to the NELTB.
- Outline Business Case undergoes independent assessment.
- Value for Money Statement prepared by Scheme Promoter and signed off independently.

Conditional Approval Granted (Gateway 2)

- Promoter undertakes detailed design, acquires statutory approvals, undertakes procurement and identifies preferred supplier.
- Final Business Case submitted to LTB.
- Final Business Case undergoes independent assessment.
- Value for Money Statement prepared by Scheme Promoter and signed off independently.

Full Approval Granted and offer letter issued (Gateway 3)

18.5 At each of the gateways 1 to 3 the promoter will be required to provide evidence that the scheme is still value for money and deliverable (and therefore should remain in the prioritised programme). The NELTB will publish a Value for Money Statement (VFMS) for the scheme at each of these stages. These VFMS will be produced by the Scheme Promoter in line with the DfT guidance found at http://assets.dft.gov.uk/publications/value-for-money-assessmentsguidance/vfmguidance.pdf. As per the outline of independent local audits in section 7, audits will be carried out at each gateway stage of the process – including an independent review of the VFMS.

18.6 The NELTB will need to approve the promoter's business case submissions at each stage of the process before the next stage of work can be commenced. The NELTB can decide to withdraw a scheme from the programme if the business case does not provide the required assurance of value for money. The scheme promoter is responsible for all business case costs – including if the scheme is withdrawn by the NELTB at any point in the process.

18.7 The NELTB assessment and approval decisions will be based on advice provided by SOTAG and independent technical specialists appointed to advise the NELTB. The appointed independent technical specialists will work directly with SOTAG and report to the NELTB (governance arrangements are outlined in Figure Two).

18.8 Scheme promoters are responsible for informing the NELTB of any changes to the scope of a scheme, its costs and implementation timescales. The NELTB will be responsible for assessing the impact of any changes on the overall scheme programme and working with the promoter to address any specific issues.

18.9 The NELTB will not meet any scheme cost increases either in full or part and these will be the responsibility of the scheme promoter. Design and development costs for schemes that receive Full Approval will be eligible as a local contribution.

18.10 Delays to a scheme may mean that it is not possible to allocate funding within the period up to March 2019. In this case, the NELTB reserves the right to re-prioritise the programme and bring forward another scheme that is deliverable within the timescales.

18.11 As part of Full Approval, the NELTB will clearly set out the conditions under which the devolved funding will be spent – specifically to deliver a capital asset based on an approved scheme design which has a contractor's price and spending profile. As the Accountable Body, Newcastle City Council will be responsible for ensuring any such conditions are adhered to.

19. The Transport Business Case

19.1 All schemes submitted by promoters are required to follow the DfT's Transport Business Case guidance, which is available at http://www.dft.gov.uk/publications/transport-business-case/.

19.2 The Business Case guidance sets out the minimum requirements of the development of a major scheme and use of the guidance will ensure that the information and assessment of a scheme is set out according to five cases:

- The strategic case;
- The economic case;
- The commercial case;
- The financial case; and
- The management case.

19.3 Business cases will include a statement of objectives and specific outcomes the scheme is expected to achieve. This will assist with scheme evaluation.

20. Value for Money (2)

20.1 Value for Money is the core of the Economic Case.

20.2 The use of the WebTAG toolkit will be mandatory and must be used to conduct appraisals and value for money assessments. The toolkit can be accessed at www.dft.gov.uk/webtag.

20.3 Value for money is where the "economic" benefits of the scheme exceed the costs of investment and future maintenance / operation. The greater the monetised Benefit to Cost Ratio (BCR) of a scheme, the higher the value for money a scheme is likely to be. However, scheme promoters will have to be mindful that if there are significant environmental costs these can affect the adjusted BCR and therefore the value for money and where these potential situations arise the NELTB will be advised through the independent assessment process. Scheme benefits potentially encompass a wide range of economic impacts including:

- Journey time savings for individuals.
- Reduction in costs to businesses, transport operators and passengers.
- Increasing access to education and jobs.
- Increasing inward economic investment.
- Keeping roads open to traffic (especially freight).
- Reducing accidents / improving safety and security.

20.4 Value for money assessments will, at the Gateway 1 stage, be based on available quantitative and qualitative criteria. On the quantitative side, schemes which affect busier / congested parts of the highway network or larger areas of population may receive a higher value for money score. Any existing scheme-specific economic / financial modelling can also be used to assess benefits. Qualitative information may point to benefits for certain target areas or populations; and could also use evidence of the success of similar schemes elsewhere. The important issue is that key assumptions will be made explicit and subject to robust challenge.

20.5 High value for money schemes with an adjusted BCR of greater than or equal to 2:1 will be eligible for funding.

20.6 Central case assessments will be based on forecasts that are consistent with the definitive version of NTEM (DfT's planning dataset). The NELTB reserves the right to use alternative planning assumptions as sensitivity tests and considering the results of these when coming to a decision about whether to approve a scheme.

20.7 An independent assessment of appraisal and modelling assumptions contained within business cases will be carried out by an independent third party with the relevant technical expertise, and this expertise will be procured via SOTAG. The independence of each review will be signed off by a named officer of the NELTB with relevant skills and expertise.

20.8 A value for money statement (VFMS) in line with published DfT WebTAG guidance will be produced and presented to the NELTB for consideration at each gateway stage of the approval process. These statements will be checked by an independent source and adjusted if necessary. This assessment will be signed off by a named officer within the NELTB with requisite skills and experience.

21. Monitoring and Evaluation

21.1 Scheme promoters will be required to put in place mechanisms to ensure that schemes are monitored and evaluated in line with DfT guidance on the evaluation of local major schemes. This will be enforced as part of the gateway process, and schemes that do not have a robust monitoring and evaluation strategy as part of their business case will not receive Full Approval.

21.2 Results of the monitoring and evaluation of schemes will be published on the web site of the relevant scheme promoter. The relevant scheme promoter will be required to ensure an independent review of the monitoring and evaluation of their scheme, and this will be ensured as part of the grant award process.

22. External Views on Business Cases

22.1 The NELTB will welcome external views on business cases, which do not contain commercially sensitive information. In order to ensure external comment is possible, promoters will be required to publish their business case on their website. The publication of business cases must take place prior to funding approval decisions being made. The publication of business cases will also be publicised by the relevant scheme promoter and on the NELTB web page.

22.2 Stakeholders and members of the public will be given a minimum of three months to comment on business cases. Any comments made by stakeholders and members of the public on business cases will be made available to the NELTB prior to relevant meetings taking place by way of a summary in the papers for the meeting.

23. Release of Funding, Cost Control and Approval Conditions

23.1 No funding will be allocated to a scheme promoter by the Accountable Body until a Business case has received Full Approval from the NELTB. The approval will contain:

- General conditions of approval (such as the condition that monies may only be used for capital expenditure);
- Scheme specific approval conditions (such as those relating to scheme design, matched or third party contributions);
- The agreed allocation for the scheme;
- An agreed funding profile to ensure delivery in the 2015-19 period; and
- Provision for 'clawback' and recovery of non delivery or money not spent for purposes intended.

23.2 Before any funding is released, the scheme promoter will need to 'accept' the funding (and the conditions for its use) through confirmation by the appropriate finance officer that the money will be spent on the agreed purpose.

23.3 The Accountable Body will develop a 'back to back' agreement with the eligible scheme promoters to underpin this arrangement. This agreement will also address the issue of 'clawback'. It will ensure an approval regime is in place that protects the financial interests of the NELTB and the Accountable Body and enables it to fulfil its responsibility to deliver value for money while setting out respective responsibilities including reporting and audit requirements.

23.4 Funds will be released to scheme promoters quarterly in arrears. Release of funds will be based on defrayed expenditure and made upon receipt of grant claim forms and evidence of eligibility of expenditure and delivery progress (which may include invoices, valuations of capital works etc). Scheme promoters will be required to retain evidence for audit purposes.

23.5 Finance reports will be provided to the NELTB on a quarterly basis (or more frequently if required) in line with payment of claims to scheme promoters. There will be a named finance officer at an appropriate grade who will also act as a point of contact for ad hoc finance-related queries from the NELTB or scheme promoters and to attend meetings as required.

24. Programme and Risk Management

24.1 The major scheme programme will initially run from April 2015 to March 2019. A realistic programme is essential as a means of understanding when schemes are likely to spend.

24.2 Scheme promoters will be required to provide an initial project programme for each scheme given 'Preliminary Prioritisation' status by the NELTB. The project programme should include estimated timescales for the following:

- Production of business cases
- Completion of associated technical work
- Progress of outline and detailed design
- Statutory orders
- Public consultation
- Procurement
- Construction of scheme

24.3 Potential risks to the delivery of the scheme programme, such as overspend and delays to timescales, must be highlighted. Promoters should also produce and maintain risk registers for their schemes and set out how they will manage potential risks.

ANNEX A

Chairing arrangements across the 7 local authorities

1. Governance arrangements across the seven local authorities are designed to provide a robust and clear structure for future joint working.

2. The single lead authority model is used for all, seven local authority groups. This model involves the rotation for chairing of both the LA7 Leadership Board (Comprised of the 6 Leaders and the Elected Mayor) and the Chief Executives' meeting, starting in alphabetical order with Durham.

3. Both groups also have two vice chairs, the outgoing chair from the previous year and the incoming chair for the following year.

4. The Economic Directors' Group and the Senior Officers Transport Advisory Group's (SOTAG) Chairing arrangements follow the same arrangement.

Group	10/11	11/12	12/13	13/14	14/15	15/16	16/17	17/18
7 Leaders / Elected Mayor	ST	D	G	N	NT	N'land	ST	S
7 Chief Executives	S	D	G	N	NT	N'land	ST	S

4. Each chair serves a one-year term, rotating annually.

5. The chair rotation takes place in November.

6. The NELTB will follow the single lead authority model used by the Seven North East Authority Groups.

ANNEX B

SENIOR OFFICERS' TRANSPORT ADVISORY GROUP (SOTAG)

ROLE AND REMIT

Purpose of the group

- To establish a forum for discussion of strategic transport issues that includes representation from all seven local authorities and the ITA/PTE in the Local Enterprise Partnership area.
- To provide effective advice to the *Local Transport Body (LTB)* on establishing a programme of local major scheme priorities for delivery beyond 2015;
- To provide guidance to the LTB on the most effective governance and assurance framework to deliver such a programme of local major transport schemes; and

The group will enable the Local Transport Body to:

- Forward manage their Agenda;
- Forward manage the development of a programme of local major scheme priorities for the LEP area;
- Manage relationships with external bodies including (but not limited to) Department for Transport, the Highways Agency and Network Rail;
- Receive regular updates on progress towards targets and objectives;
- Commission work as appropriate; and
- Receive regular updates and advice on transport matters of strategic significance across the LEP area.

Membership

Gateshead Council (Chair)

Durham Council

Newcastle City Council

Nexus

North East LEP

North Tyneside Council

Northumberland Council

South Tyneside Council

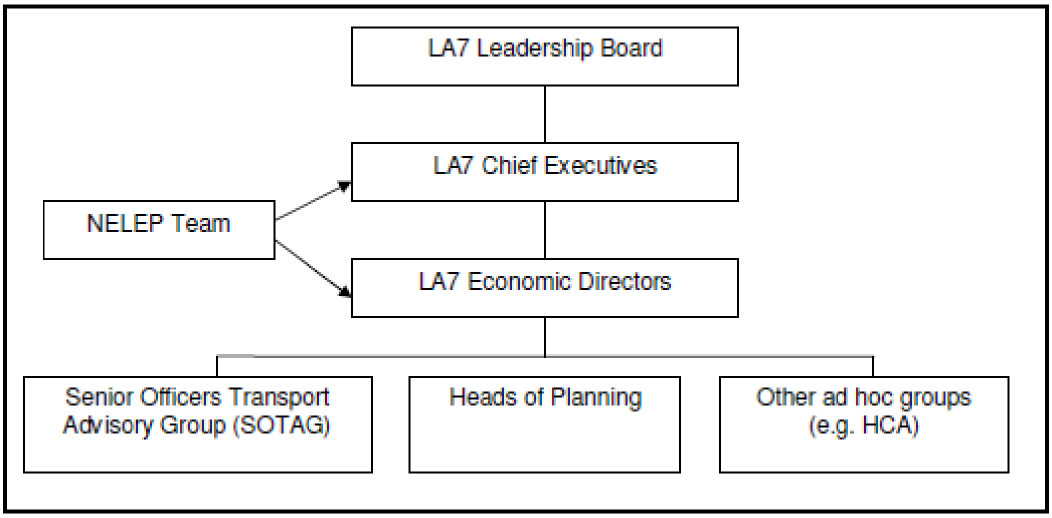
Sunderland City Council

Tyne and Wear ITA

Attendance

The SOTAG will meet regularly in advance of meetings of the Local Transport Body. Members of the group are requested to attend as many of the meetings as possible. If members of the group are unable to attend a meeting, it is requested that any Deputy should be agreed in advance with the Chair of the group.

Governance and Reporting



The Chair of the group will rotate annually in accordance with the arrangements established as part of wider seven local authority working practices. The group will report to the LA7 Leadership Board (The LTB) via the LA7 Economic Directors and LA7 Chief Executives groups.

Support and Organisation

The SOTAG is likely to require support from technical officer groupings in each of the three Local Transport Plan areas. These groups may be requested to progress tasks associated with the development of a programme of local major schemes. The agenda, minutes and relevant papers for the group will be sent out in advance by the NELEP Transport Advisor. Minutes of meetings and an actions log will be maintained.

Meetings

The group will meet on a monthly basis.

Review

This role and remit will be reviewed annually.

ANNEX B

Economic Directors Group – Draft terms of reference

Purpose

1. The Economic Directors group involves the senior officers with responsibility for economic policy and development across the local authority areas of Durham, Gateshead, Newcastle, North Tyneside, Northumberland, South Tyneside and Sunderland. The group has been established at the request of Chief Executives to help ensure that the seven local authorities work together strategically on the key economic issues affecting the North East and to coordinate input into the North Eastern LEP.

Key Activities

2. The role of the 7 LA Economic Directors is to:

   - Advise the seven Chief Executives and Leaders/Elected Mayor on all aspects of the LEP's work;
   - Advise the seven Chief Executives and Leaders/Elected Mayor on broader economic issues across the area covered by the seven local authorities; and
   - Undertake work requested by the seven Chief Executives or Leaders and Elected Mayor's groups in support of their work programmes.

Membership

3. The members of the 7 LA Economic Directors are:

   current membership is one representative from each local authority, one representative from the HCA, one from the LEP and the LEP Transport Advisor

Chairing Arrangements

4. The Chair will rotate around each of the seven local authorities in alphabetical order, following the Chairs of the Chief Executives and Leaders and Elected Mayors groups. The Chair will change in November of each year. The current Chair is Sheila Johnston, (Gateshead). The group will meet on average every six weeks, or more often depending on urgent business.

ANNEX C

LOCAL MAJOR SCHEMES DEVOLUTION PROCESS

GUIDANCE ON EVIDENCE REQUIREMENTS

Report

22 January 2013

LOCAL MAJOR SCHEMES DEVOLUTION PROCESS

GUIDANCE ON EVIDENCE REQUIREMENTS

REPORT

14 December 2012

Job No	NEA6094
Report No	
Prepared By	Amy Sykes & James Jackson
Verified By	Martin Revill
Approved By	Martin Revill
Status	Final
Issue No	2
Date	22 January 2013

JMP Consultants Limited
Rotterdam House
116 Quayside
Newcastle Upon Tyne
NE1 3DY

T 0191 206 4085
F 0191 206 4001
E newcastle@jmp.co.uk

www.jmp.co.uk

CONTENTS

1 Introduction

This document provides guidance on the evidence requirements for policy criteria to be used as part of the prioritisation of Local Major Transport Schemes in the North East Local Transport Body (LTB) area.

When considering the evidence base, scheme promoters should give regard to the date the scheme will be delivered and consider as far as practically possible if the evidence will still be of relevance at that time.

Clearly some schemes will address some policy criteria more strongly than others, however the criteria have been designed in such a way that all types of scheme could contribute to all criteria. The approach to the policy assessment within the prioritisation process is designed to allow the contribution of proposed investments to be clearly identified, and for credit to be given appropriately where a proposed scheme will contribute to achieving key outcomes in the North East. In this way the Local Transport Body will be able to see clearly what each intervention will contribute, and will accordingly be in a position to make informed decisions.

This document provides a guide to the types of evidence which are likely to support the policy criteria. Scheme promoters are advised wherever possible to provide evidence in line with the guidance outlined below. This will ensure consistency of assessment between schemes and help to ensure that proposals are credited appropriately where they contribute to the achievement of key policy outcomes. However scheme promoters may provide additional evidence outside of these guidelines if relevant and appropriate and credit will be given where possible and appropriate.

Given the need to demonstrate how the scheme supports the broader outcomes of the LTB area, scheme promoters are recommended to liaise with their counterparts in their Forward Planning, Development Control and Economic Development teams in the compilation of a comprehensive evidence base.

Scheme promoters are reminded to use their professional judgement in the development of evidence and to concentrate on providing focused and concise evidence on the contribution of schemes to delivering the broader policy outcomes. Scores are allocated on the strength of the case provided by the evidence not by the quantity of the evidence.

A number of the criteria reference specific spatial influences and geographic locations identified from policy. These references illustrate specific priorities or issues that are addressed in policy, and act as examples of where transport schemes may positively influence policy in specific locations. While providing guidelines to key locations it is understood that there are proposed interventions that will deliver improvements that will support important locations not listed. These lists are therefore not intended to be exhaustive, and scheme sponsors can provide evidence with respect to other spatial priorities or geographic locations where that evidence demonstrates that the scheme or intervention will help contribute to the achievement of policy outcomes in the North East. Transport improvements that make a contribution or improve access to and from geographical locations not listed may therefore be given appropriate credit within the policy assessment.

In such cases where scheme sponsors can identify that a scheme will deliver such spatially specific benefits, they are encouraged to provide evidence of how their proposal or scheme contributes to the achievement of key policy outcomes for the North East; details of these locations, businesses, facilities and other issues resolved; and justification for the inclusion of evidence relating to a specific geographic location including references to any policy documents that support the evidence.

A number of the criteria highlight the importance of reference to local policy documentation. In the scheme assessment weight will be given to evidence from emerging plans according to the stage of preparation. Similarly evidence from policy prepared under previous national, regional and local context will be given credit based on their continued relevance and consistency with new and emerging policy.

2 Criterion 1 - Will the scheme contribute to the creation of new jobs and retention of existing jobs in the North East LEP area?

Creation of new jobs

There are a number of sources of information that may provide evidence that a scheme will contribute towards the creation of jobs within the North East LEP area economy. The following are likely to be the main sources of information on the number and likelihood of jobs being created. If other forms of evidence not described here are available they may also be submitted.

If a Local Plan or Local Development Framework (LDF) has identified employment sites within an allocations document then these may be presented as evidence that the major scheme will contribute to the development of these sites, assuming that it can be shown that the major scheme is of relevance to access and connectivity to these sites.

If a site of relevance to a scheme has a national or local designation associated with it that would contribute to the creation of jobs, for example an Enterprise Zone or a Local Development Order (LDO) site, this could be included, however scheme promoters should consider the designations anticipated and the extent to which the jobs created at this location are supported by the scheme under consideration.

Scheme promoters should be mindful of maximising contributions from third parties into the funding pot, alongside consideration of the extent to which the scheme is affordable by a developer or which a developer could be reasonably expected to provide under the terms of a planning condition. It is therefore important to exercise professional judgement regarding the inclusion of evidence relating to live planning applications or planning permissions, and distinguish between evidence supporting infrastructure that will support future job creation and that being provided to support existing proposals.

Evidence for this criterion should, where possible, include an assessment of the number of jobs likely to be created and if transport issues have been identified as a barrier to development. For employment sites that do not have a total number of jobs associated with them it is possible to estimate this using work by English Partnerships on employment densities:
http://www.eastherts.gov.uk/media/pdf/a/8/SM_Employment_Densities.pdf

Retention of existing jobs

Evidence that the scheme will help with the retention of jobs can be shown based on the impact that the scheme will have on access to existing significant centres of employment. Proximity of the scheme alone to a significant employer is not sufficient. It is important to consider the relationship of the scheme to the location and employer. Evidence for this could be presented as follows:

- Scheme improves access to a locally significant employer, for example employers referenced in the North East Top 200 Businesses or other sources of evidence illustrating the importance of employment at that location;
- Scheme maintains current accessibility to a significant regional or local employer while increasing overall capacity.

Locally significant employers have been highlighted as these employers will be likely to have a local supply chain and significant multiplier effects within the local economy. Scheme promoters should state which significant employers will be affected by the scheme and where possible provide an estimate of the transport benefit that the employer will receive.

3 Criterion 2 - Will the scheme support the North East LEP area gateways?

If a scheme improves surface access to a gateway, evidence needs to be provided to demonstrate this to be the case. It should be noted that proximity to a gateway alone is not deemed to be sufficient evidence of a positive contribution to improving access.

The area's primary international gateways are identified within the Draft North East LEP Transport Strategy as:

- Port of Tyne; and
- Newcastle International Airport.

The ports of Berwick, Blyth, Seaham and Sunderland are also highlighted as providing international connectivity.

Gateways on the fringe of the NELEP area, in particular Teesport and Durham Tees Valley Airport, are highlighted within the Draft North East LEP Transport Strategy as enhancing the international competitiveness of the area and are important for export led industries and those requiring links to a wide range of international markets and firms.

Suggested evidence includes:

- Amount/proportion of gateway trips impacted by improvement;
- Amount/proportion of freight impacted by improvement (tonnage and value);
- Time savings for gateway trips or freight;
- Improvement in reliability; and
- Changes in the balance of modes used to access the gateway.

If it can be shown from evidence based policy document that the proposed scheme would support the development of the gateway or that the future or planned growth of the gateway will be constrained by issues that the proposed scheme could resolve this may be included as evidence. Examples of sources of this evidence may be through Economic Development Strategies, Local Transport Plans, Local Plans or documentation produced by the operator of the gateway itself. Such evidence could either identify the general constraint that the scheme will contribute to resolving or the scheme itself.

4 Criterion 3 - Will the scheme encourage the development or retention of skilled jobs (NVQ level 4 and above) and support sites that deliver the training for such skills?

A range of evidence is available to fulfil this criterion. In general, evidence may relate to both assisting the development of skilled jobs and sites for training as well as improving access to existing sites that provides these skills.

There is an emphasis across the North East LEP area on providing higher level training. It is therefore suggested that where the scheme supports employment sites offering Level 4 or above training, evidence is presented in support of this criterion.

In addition to employment sites that offer this level of skills training, education sites can also be included if the scheme provides improved accessibility to them.

Map 1: Universities, Centres for Excellence, Clusters and Innovation Connectors

Source: http://www.investnortheastengland.co.uk/investment-guide/north-east-england-map.html

As a starting point the list below presents the main institutions in the LTB area which provide higher education opportunities:

- University of Durham
- University of Newcastle
- University of Northumbria
- University of Sunderland
- East Durham College
- Gateshead College
- New College Durham
- Northumberland College
- South Tyneside College
- Sunderland College
- Tyne Metropolitan College
- Bishop Auckland College
- Newcastle College

A number of ‘Innovation Connectors’ have been established within the sub area. These Connectors have the dual aims of stimulating innovation in their respective fields and catalysing regeneration in their surrounding areas. They are also:

- promoting and supporting their respective fields, including links to key industry bodies;
- driving R&D, including links to universities and colleges;
- supporting business incubation, start-up and growth;
- catalysing inward investment;
- maximising physical and economic impact on the local community and creating employment opportunities; and
- acting as a network to serve the wider region.

Information on the Connectors is provided below:

- Newcastle Science City is working to stimulate the development and commercialisation of science, particularly in the areas of ageing, stem cells and regenerative medicine, energy and molecular engineering. The core of Science City is in the western area of Newcastle at the former Newcastle Brewery Site, Newcastle General Hospital and the areas around the Centre for Life.
- The National Renewable Energy Centre (NaREC), based in Blyth, is at the forefront of the North East's leading position on renewable energy, and is helping the region rapidly develop a reputation for international excellence in the sector.
- Sunderland Software City (SSC) is building on the region's university strengths – particularly the University of Sunderland – to develop the North East's software industry and attract new companies to the region.
- NETPark is helping science and technology companies lead the way in developing world-class technologies. The focus is on physical sciences, particularly plastic electronics, microelectronics, photonics, nanotechnology, and their application in the fields of energy, defence, and medical-related technologies. It builds on the strengths of the Universities of Durham and Newcastle, process industry businesses located primarily in Tees Valley and electronics and electrical engineering businesses.
- The Northern Design Centre will be a focal point for creating design solutions, with a remit that cuts across all industries. It will stimulate investment in the region's design industry, promoting innovative and productive design companies, while at the same time helping businesses across all sectors use design to improve their own productivity. The Centre will be based in the new Baltic Business Quarter, which is already having an impact on companies in the region.

Scheme promoters can suggest other institutions if it can be shown that they provide the relevant level of skills development and training.

The following paragraphs provide guidance on assessing existing and new sites with respect to skills and improvements in accessibility:

Existing Sites

For locations where skilled employment already exists or skills training is provided it is important to demonstrate that the proposed scheme will improve the accessibility to such sites. This could be shown in one of two ways, the first being through an improvement in connectivity for business travel to and from the site which will help an existing business develop and contribute to the retention of existing jobs. The second aspect relates to improvements in connectivity from residential areas to either skilled employment or training. It is important to demonstrate the nature of the areas connected, with any step changes in accessibility being particularly important.

New Sites

New employment sites can be included in the assessment if it can be shown that occupiers will be providing higher skilled employment (NVQ level 4 and above), or that employers will be providing apprenticeship schemes to train employees. Equally if a centre for training such as a college is planned this could also be included in the scheme assessment if the major scheme will have an impact on accessibility to the site.

5 Criterion 4 - Will the scheme provide sustainable access solutions to existing and growing development corridors, centres and sectors, or support housing growth?

Existing and growing sectors

The scheme promoter should identify if the scheme addresses the development of key business sectors which have been identified by the North East LEP. These sectors are:

- Automotive
- Off shore renewable
- Creative and digital
- Life sciences
- Printable electronics
- Business professional and financial services

Source: http://www.nelep.co.uk/key-sectors/

Addressing the development of key business sectors refers to improving accessibility to the sites where these sectors are developing or improving the capacity to these sites. Evidence should be provided on the scale of the capacity change or scale of improvement in accessibility.

Existing and growing development corridors and centres

In addition to these sectors for development, any existing and growing business corridors that are likely to benefit from the scheme should be identified. These might include corridors or locations identified within a Local Plan/Local Development Framework or a Local Transport Plan, for economic growth.

The following employment zones are identified as Strategic Employment Areas, Key Employment Areas or Economic Growth Corridors within the emerging and adopted Local Plans within the sub area:

- Blyth Estuary Renewables Energy Zone Strategic Employment Area (Northumberland Core Strategy Issues and Options)
- Aykley Heads (Durham Local Plan Preferred Options)
- Team Valley (NewcastleGateshead One Core Strategy)
- Follingsby (NewcastleGateshead One Core Strategy)
- Newcastle Airport (NewcastleGateshead One Core Strategy)
- Walker Riverside (NewcastleGateshead One Core Strategy)
- North of Nissan (Sunderland Core Strategy Alternative Approaches)
- Farringdon Row (Sunderland Core Strategy Alternative Approaches)
- Stadium Village (Sunderland Core Strategy Alternative Approaches)
- Vaux (Sunderland Core Strategy Alternative Approaches)
- Holmeside (Sunderland Core Strategy Alternative Approaches)
- The Port (Sunderland Core Strategy Alternative Approaches)
- South Ryhope (Sunderland Core Strategy Alternative Approaches)
- A19 Economic Growth Corridor (South Tyneside Adopted Core Strategy)
- Tyne Tunnel Trading Estate (North Tyneside Preferred Options)
- West Chirton Industrual Estate (North Tyneside Preferred Options)
- Balliol Business Park East (North Tyneside Preferred Options)
- North Bank Area (North Tyneside Preferred Options)
- Esso (North Tyneside Preferred Options)
- Gosforth Business Park and Balliol West (North Tyneside Preferred Options)

- Weetslade (North Tyneside Preferred Options)
- Proctor and Gamble (North Tyneside Preferred Options)

Alternatively it may include key centres for business such as sub regional centres and main town locations.

The sub regional centres and main towns as identified within the latest version of the Local Plan documents are:

Sub regional centres

- Durham City
- Gateshead
- Newcastle
- Sunderland

Main Towns

- Barnard Castle
- Bishop Auckland
- Chester-le-Street
- Consett
- Crook
- Peterlee
- Seaham
- Shildon
- Spennymoor
- Stanley
- Newton Aycliffe
- South Shields
- Jarrow
- Hebburn
- Washington
- Houghton le Spring
- Berwick upon Tweed
- Alnwick
- Amble
- Ashington
- Blyth
- Wallsend
- North Shields
- Whitley Bay
- Cramlington
- Haltwhistle
- Hexham
- Morpeth
- Porteland
- Prudhoe

Supporting housing growth

Any existing and growing strategic housing areas that are likely to benefit from the scheme should be identified. The following are identified at strategic housing sites, strategic growth areas or potential strategic allocations within the emerging and adopted local plan documents:

- Groves (Sunderland Core Strategy Alternative Approaches)
- Farringdon Row (Sunderland Core Strategy Alternative Approaches)
- Stadium Village (Sunderland Core Strategy Alternative Approaches)
- Urban core (NewcastleGateshead One Core Strategy)
- Callerton Park (NewcastleGateshead One Core Strategy)
- MetroGreen (NewcastleGateshead One Core Strategy)
- Wallsend AAP (North Tyneside Preferred Options)
- North Shields AAP (North Tyneside Preferred Options)
- Coastal AAP (North Tyneside Preferred Options)

When assessing the effect on corridors or key centres the scheme promoter should be clear about the effect on accessibility and capacity of the transport system for accessing these locations.

6 Criterion 5 - Will the scheme ensure capacity and speed of transport links to and within the North East LEP area are maintained and enhanced in order to increase the attractiveness of the North East LEP area as a place to do business, boosting inward investment and improving competitiveness of indigenous firms?

The evidence for this criterion will relate to the scheme's contribution to the strategic operation of the transport network. It should be demonstrated that the scheme will contribute, directly or indirectly, to mitigating existing capacity or reliability issues on the transport network. This could include capacity constraints on or affecting any mode. This contribution may be direct (physical relief of junction which is at capacity or increase in overall capacity of the transport system) or alternatively an indirect contribution (transfer of trips, which presently occupy an at capacity junction, to another route or mode).

Evidence should be provided regarding the capacity or reliability issue. This evidence may be taken from Local Transport Plans, or from information provided by other Agencies, for example Route Utilisation Studies (RUS) produced by Network Rail.

The following locations on the highways network are identified within local policy documents as suffering from congestion or being over capacity:

- A197 Telford Bridge (Northumberland LTP3 evidence base)
- A1061 South Newsham Roundabout to Laverock Hall Roundabout (Northumberland LTP3 evidence base)
- A193 Cowpen Road (Northumberland LTP3 evidence base)
- Central River Wear crossing at Millburngate Bridge (County Durham Plan Summary of Transport Evidence Base)
- A181 Gilesgate on its approach to the junction with the A690 (County Durham Plan Summary of Transport Evidence Base)
- Western and northern approaches to Durham city centre (Sutton Street and Framwellgate Peth), and Finchale Road, outbound at Framwellgate Moor (County Durham Plan Summary of Transport Evidence Base)
- A1 Western Bypass (Tyne and Wear LTP3)
- A19 Tyne Tunnel (Tyne and Wear LTP3)
- Junctions on the A19 trunk road (Tyne and Wear LTP3)
- Central bridges across the River Tyne (Tyne and Wear LTP3)
- River Wear bridges in Sunderland (Tyne and Wear LTP3)

In addition the following elements of the rail network are experiencing overcrowding:

- Between Northumberland and Newcastle in the AM peak (Northumberland LTP3 evidence base)
- Capacity issues between County Durham and Tyne and Wear (Durham Core Strategy Issues Paper)

Examples of the type of evidence that might be present can be found in, for example, the Northumberland Local Transport Plan Evidence Base, which presents link flows and capacities for roads across the Northumberland area as a means of assessing congestion. Clearly if other evidence has also been collected as part of the scheme specification, for example traffic counts or passenger counts, this could also be presented as evidence, subject to an indication of what level of capacity is currently being used.

As well as demonstrating an improvement to part of the network it is also necessary to define the importance of the section of network improved, for example if the link or public transport service is of regional, district level or local importance.

7 Criterion 6 - Will the scheme deliver improved accessibility from residential areas to areas that have employment, education or other opportunities?

The scheme promoter should identify which residential areas will benefit most from the proposed scheme, and also identify the employment, education or other opportunities, to which accessibility will be improved. The following provides an indication of the types of opportunities to which accessibility might be improved:

Employment

Access to skilled jobs or jobs identified as being one of the key sectors for the region, although clearly if the present levels of unemployment in the area were extremely high, access to all types of job would be of relevance. The sites should be identified and an estimate of the scale of the benefit arising given.

Education

The emphasis should be on access to post compulsory secondary education. This might include sixth form colleges, further education colleges or universities, or any other locations where academic or vocational skills training would take place. The sites should be identified and an estimate of the scale of the benefit arising given.

Other Opportunities

Other types of opportunity to which access would be improved by the scheme might include access to hospitals, health centres and clinics. This would be of particular relevance if the residential area can be shown to have wider health problems, for example with issues of obesity, or long term sickness. Other examples might include access to retail or leisure facilities, for example if access to grocery retailers was improved for an area which presently only has limited access to retail facilities. Improvements to access to leisure facilities might particularly include sports facilities and swimming pools.

Having identified these areas information relating to the residential area that would benefit from the major scheme should also be presented. This should include the following:

Unemployment

Information on unemployment should be taken from the Nomis website (http://www.nomisweb.co.uk/default.asp) and utilise the latest available JSA Claimant Count figures for the appropriate wards affected by the Major Scheme. The figure for the North East region and UK as a whole should also be presented.

Skills

The level of skills and unemployment in the area can be found at the neighbourhood statistics website. The rank of education, skills and training should be presented, from the Indices of Deprivation for Super Output Areas, by entering the postcode for the residential area of interest. The link is as follows: http://www.neighbourhood.statistics.gov.uk/dissemination/

Health

Information should be present on the level of health inequalities in the area that would benefit from the scheme. This should use the Rank of Health of Deprivation and Disability score from the Index of Multiple Deprivation 2007 for the appropriate output area in which the residential area affected lies. This can be found by entering postcode for the residential area and selecting lower super output area at the following link:

http://www.neighbourhood.statistics.gov.uk/dissemination/

Levels of Deprivation

Information on the level of deprivation should be provided using the rank assigned to relevant Lower Super Output Areas using the 2007 Index of Multiple Deprivation. This information can be found at the following link on the neighbourhood statistics website by entering the postcodes(s) for the residential area(s) under study:

http://www.neighbourhood.statistics.gov.uk/dissemination/

Information should also be provided on the existing level of accessibility to opportunities based on car and public transport journey times, and the likely level of improvement that the major scheme would provide. Accessibility mapping may be a useful way of illustrating this improvement. Alternatively journey time savings or increase in service frequencies could also be used.

Scheme promoters are asked to make clear the relevance of the transport improvement to the communities, neighbourhoods and localities affected, for example, an improvement in highway accessibility to/from an area with low car ownership maybe of less value than an equivalent public transport improvement.

8 Criterion 7 - Will the scheme contribute to an improvement in the overall quality of journeys, particularly those providing links to employment and health or education opportunities?

The scheme promoter should identify improvements in the quality of journeys. This might relate to the condition of interchanges, issues around journey time reliability, the quality of vehicles being used for a service or information systems provided to users. The evidence for this might be presented as follows:

- For road schemes an assessment of the effect on journey time reliability should be presented. For example, will the scheme make journey times more consistent across the whole day, or reduce the instance of occasional variations in delay caused by congestion? Equally if substantial development is forecast around the scheme, will the major scheme prevent a further deterioration in reliability?
- For public transport schemes, will journey reliability be improved (for example through bus priority measures) or delays reduced (for example replacement of obsolete and unreliable equipment or improvement in capacity allowing a more robust service plan)? Will the quality of interchanges be improved to make integration within or between modes more efficient or more comfortable?
- For all modes, will the scheme deliver improved information systems?
- Scheme promoters should state if the scheme is likely to have an impact on personal security issues in the area surrounding it. This assessment could be presented as a simple positive, neutral or negative. Examples of improvements to personal security might relate to improvements to lighting or provision of CCTV cameras.

Clearly not all schemes will be able to address all of the issues set out above. Promoters should provide as much detail as possible about the extent of any improvements in journey quality that the scheme will bring.

9 Criterion 8 - Will the scheme contribute to an overall improvement in the local environment including improving local air quality or reducing the noise impact of transport corridors?

The scheme promoter should establish if the scheme is likely to have an effect on any existing local environmental issues. Scheme promoters should consider if the scheme is going to have both positive and negative effects on local environmental issues.

The issues to be considered under this criterion are:

- Noise
- Air Quality
- Areas of environmental or cultural significance

Whilst some of these issues could be assessed in a quantitative manner it is accepted at this point that a more qualitative approach may be appropriate. The following approach is recommended for each of the issues:

Noise

An assessment should be provided of the estimated number of dwellings likely to be affected by changes in noise levels. This is likely to be based around the size and extent of the scheme. For example, if a scheme is very localised then the effect is likely to be localised, where as a route based scheme may have an impact at a number of locations. The assessment should also highlight Noise Action Plan Priority Locations affected by the scheme.

Air Quality

An estimate of the effect (positive or negative) on any Air Quality Management Areas (AQMA) should be presented.

The following are identified AQMAs within the sub area:

- Blyth Town Centre (recommended to be undeclared)
- Blue House Roundabout (Newcastle)
- Jesmond Road (Newcastle)
- Newcastle City Centre
- Gateshead town centre and Dryden Road/Durham Road junction (Gateshead)
- Boldon Lane (South Tyneside)
- Leam Lane (South Tyneside)
- Newcastle Quayside
- Durham city incorporating Highgate, Milburngate and Gilesgate areas

The estimated effect will in most cases be highly localised, although it should be noted that a scheme that involves rerouting traffic may have an effect on an AQMA through the abstraction of traffic from the AQMA area. Other sites of concern relating to air quality, but which are not classified as an AQMA may also be assessed within this process.

Areas of Environmental or Cultural Significance

Scheme promoters should provide description of the significance of the site and magnitude of positive or negative impact anticipated from the scheme. The extent to which the identified significance will be either compromised or enhanced should be made clear, including the mitigating effects of any amelioration incorporated formally into the proposals or allowed for as standard good practice.

Areas of environmental significance may include:

- Areas of Outstanding Natural Beauty
- National Parks
- Heritage Coast
- Ramsar sites
- Special Areas of Conservation

- Sites of Special Scientific Interest

Areas of cultural significance may include:

- World Heritage Sites
- Listed Buildings and conservation areas
- Scheduled Ancient Monuments

Guidance on the magnitude of the impact particularly on culturally significant sites can be found in Table 1 of the following WebTAG units:

- Townscape

  http://www.dft.gov.uk/webtag/documents/expert/unit3.3.8.php

- Heritage of Historic Resources

  http://www.dft.gov.uk/webtag/documents/expert/unit3.3.9.php

10 Criterion 9 - Will the scheme contribute to an overall reduction in carbon emissions relative to the existing situation?

Scheme promoters should provide evidence as to the overall effect of the scheme on carbon emissions. This should include an assessment of the net change in emissions, for example if the operation of a public transport scheme contributes to emissions through operation of vehicles this may be offset by a reduction in emissions from cars. Clearly at this point the assessment need not be fully worked up; however it should be possible to provide an indication of the likely effect on carbon emissions based on the scheme objectives and background information known about the area the scheme will affect.

In considering the likely impact on carbon emissions scheme promoters should consider the impact of the scheme in terms of the following areas:

- The shift to lower carbon transport modes;
- Changes in average speed; and
- The shift to new technologies and cleaner fuels.

Scheme promoters are encouraged to quantify the likely level of impact through the use of a suitable comparator scheme.

It is not necessary to consider the impact of embedded carbon from construction within this prioritisation process, unless this is considered to be a significant issue. Equally if a scheme is only likely to have a very insignificant impact on embedded carbon this should be stated. It has been assumed within this guidance that the majority of schemes, by their nature, will have a similar impact in terms of embedded carbon impact on a pound for pound basis.

This criterion does not include consideration of how the scheme may support the low carbon economy or renewable sector. The impact of that is considered within earlier criteria. This criterion is concerned with the direct reduction in emissions from transport moving towards a low carbon transport system within the area.

11 Criterion 10 - Will the scheme provide the opportunity to improve health, reduce levels of obesity among the population or improve road safety within the area?

It is recognised that the impact of transport on health has two elements:

- Beneficial to health; and
- Detrimental to health.

Improve health and reduce the levels of obesity among the population

The scheme promoter should provide evidence that a scheme will provide some contribution to improvements in health. This could be through the encouragement of mode shift to active travel modes either directly, for example through the provision infrastructure for cyclists and pedestrians; or indirectly, for example through the development of public transport services which would involve use of active travel to access the service.

Evidence for this criterion should include information on levels of obesity or poor health in the area that the scheme will affect. The link below provides information on obesity levels by local authority and may be appropriate if more localised information is not available:

http://www.ic.nhs.uk/statistics-and-data-collections/population-and-geography/neighbourhood-statistics/neighbourhood-statistics:-model-based-estimates-of-healthy-lifestyles-behaviours-at-la-level-2003-05

Severance

The scheme may also address issues of severance which would contribute to improvements in health and a reduction in road safety issues. Scheme promoters should give consideration to issues of severance as it affects those using non-motorised modes especially pedestrians.

Severance may be classified according to the following four broad levels.

- None - Little or no hindrance to pedestrian movement.
- Slight - All people wishing to make pedestrian movements will be able to do so, but there will probably be some hindrance to movement.
- Moderate - Some people, particularly children and old people, are likely to be dissuaded from making journeys on foot. For others, pedestrian journeys will be longer or less attractive.
- Severe - People are likely to be deterred from making pedestrian journeys to an extent sufficient to induce a reorganisation of their activities. In some cases, this could lead to a change in the location of centres of activity or to a permanent loss of access to certain facilities for a particular community. Those who do make journeys on foot will experience considerable hindrance.

The following steps are required to enable the assessment of the impact of projects on severance:

- estimate the level of severance for the do-minimum case;
- estimate the level of severance for the do-something;
- by comparison of the level of severance for the do-minimum and do something cases, estimate the change in severance (reductions and increases); and
- estimate the numbers of people likely to be affected by changes in severance.

Assessment of change in severance

	Do-something severance			
Do-minimum severance	None	Slight	Moderate	Severe
None	None	Slight negative	Moderate negative	Large negative
Slight	Slight positive	None	Slight negative	Moderate negative
Moderate	Moderate positive	Slight positive	None	Slight negative
Severe	Large positive	Moderate positive	Slight positive	None

Source:
http://www.dft.gov.uk/webtag/documents/archive/1104/unit3.6.2.pdf

The assessment of severance may also refer to the provision of Disability Discrimination Act compliant facilities on a public transport system.

Improve Road Safety

The scheme promoter should provide evidence where a scheme will provide some contribution to improvements in road safety issues.

Evidence for this criterion should include information the local authority holds on accident clusters in the area the scheme effects. In terms of accident information, this could focus on number of people Killed and Seriously Injured in accidents (KSIs), and the number of such accidents taking place, or where appropriate issues relating specifically to pedestrians or children.

Scheme promoters should provide an indication of the likely scale of reduction in road accidents and casualties if available.

12 Value for Money

As part of the prioritisation process it will be necessary to provide an estimate of the Value for Money (VfM) that the scheme is likely to provide. Clearly at this stage in the scheme development process not all schemes will have a fully worked up business case that will include all aspects of the Benefit Cost Ratio (BCR). This note sets out some guidance on how VfM might be assessed in this instance.

For schemes that have not yet been fully assessed the most appropriate approach would be to examine the evidence from other previous schemes. Indeed the DfT's Early Assessment and Sifting Tool (EAST) Guidance notes that "In many cases, only high level information will be available at the early stage of assessing options: respondents are expected to form a view based on the best evidence available."

While there are various attributes that will count towards VfM, which are summarised in the Appraisal Summary Table (AST), the main focus of VfM for the prioritisation process relates to the estimation of the BCR.

Evidence could be taken from previous major scheme business cases, the most appropriate being those that were funded as part of the Best and Final Funding Bid (BAFFB) process in Autumn 2011. These were the most recent schemes to pass through the Major Scheme Process and between them provide a good mixture of the types of schemes that are likely to be put forward as part of this prioritisation process.

Scheme promoters can find a list of schemes and information about the schemes at the following link:

http://assets.dft.gov.uk/publications/interoperability/final-funding-bids.pdf.

Other guidance could also be included where it is felt, for example, that the schemes in the BAFFB are not representative of the scheme being entered into the prioritisation process. This may particularly apply to public transport schemes or package measures where the number of potential comparators is limited. Existing feasibility studies might also be used, although this would be subject to the inclusion of any caveats that surround them, and it may also be appropriate to cite comparators where possible.

When comparing a proposed scheme with the fully worked up schemes there are a number of issues to consider:

1. The objective that the comparator scheme sets out to address – are these comparable with the scheme being promoted?

2. Assessments of VfM should give consideration to both the size of the benefits and the cost of the scheme.

3. What is the nature of the comparator scheme, for example, for road schemes is it a link length scheme or a junction scheme?

4. Are the cost characteristics comparable; does either the scheme or the comparator have very high or low costs for a particular reason, which would in turn impact on VfM?

5. Are there any ongoing operating costs associated with the scheme and the comparator and what is the likely impact on VfM? Operating costs will be discounted over the life of the scheme in the same way that ongoing benefits would be.

6. Can it be shown that the nature of any journey time benefits of the comparator would be similar to the scheme being promoted, for

example would journey time benefits tend to be in the 0-2 minutes per vehicle category or 2-5 minute category?

7. Does the comparator scheme have a similar mix of business; commuter and other users as the values held by these groups are distinct and strongly influence the BCR?

8. Have other quantifiable benefits (such as carbon emissions) formed a substantial part of the comparator schemes benefits, and is this appropriate to the scheme being promoted?

Scheme promoters should provide a narrative to justify their choice of comparator(s) and to explain why the conclusions they have drawn are valid. It is important that the sources of benefits for both the scheme being assessed and the comparator scheme are presented, for example to ensure that the types of journey time saving produced are comparable. This is important to ensure that the comparator scheme used is appropriate for comparison against the scheme being assessed.

It maybe that it is appropriate to compare the scheme being promoted with more than one comparator scheme if the mixture of characteristics does not lend itself to comparison with a single scheme. BCRs should be presented as being in one of the following categories:

- Low value for money (BCR 1.0-1.5)
- Medium value for money (BCR 1.5-2.0)
- High value for money (BCR 2.0 and above)

A factor to consider when examining the evidence for schemes is the diversity of BCRs that exist, based on different scheme categories. For example road schemes and maintenance schemes tend to have larger BCRs while public transport or package schemes tend to have lower BCRs.This is an artefact of the appraisal system and does not mean that BCRs are unrealistic.

Local Contribution

A further issue when considering VfM is the need to consider the scale of any local contribution made as this influences the scale of VfM to the Local Transport Body rather than the BCR to the scheme promoter. Examination of the results for previous schemes show that this has been an important aspect within the decision making process in the past. This is also of importance to the LTB in terms of being able to maximise the overall value to the LTB area of the funding available.

13 Deliverability

Risk to Cost

What is the latest estimated cost of the scheme?

The cost should include construction costs, land and property, compensation, preparation and administration and on site supervision and testing ***see WebTAG Unit 3.5.9 (August 2012) para 2.2.1 – 2.2.3 and table 1 for more detail.***

When were the costs of the scheme last updated?

Have costs been independently checked?

Scheme costs should include an adjustment for risk.

DfT require a Quantified Risk Assessment (QRA) for projects with a cost greater than £5m. For schemes under £5m a QRA is encouraged alternatively there may be scope for using generalised risk allowances for each cost element. ***For detailed guidance on risk see WebTAG Unit 3.5.9 (August 2012) para 3.2.3 – 3.4.1.***

Please highlight what % of the total cost is risk allowance.

Please specify what price base the original cost was developed in and what inflation assumptions have been made to the present day and for the forecasting of future years.

Guidance on Inflation assumptions is detailed in WebTAG Unit 3.5.9 (August 2012) para 2.1.2 – 2.1.6.

Guidance on outturn cost calculation is provided in WebTAG unit 3.9.2 para 6.3.9 and table 1.

Please provide the <u>total</u> outturn cost and a <u>breakdown</u> of the outturn cost by forecast future years.

What is the level of funding you are requesting from the LTB?

Please provide total and breakdown by forecast future year.

What is the funding gap between the latest outturn cost and the cost to the LTB?

Please provide total and breakdown by forecast future year.

Local Authority contribution

What is the potential for Local Authority contributions?

Please provide total and breakdown by forecast future year.

Developer contributions (Third party contributions)

What is the potential for developer contributions?

Please provide total and breakdown by forecast future year.

Other funding bids and budgets

What is the potential for funding from other funding pots and budgets?

Please specify bid or budget details?

Please provide total and breakdown by forecast future year.

Operating costs

What are the likely operating costs of the scheme?

This should include all running costs to keep the scheme in operation.

This should include subsidy costs.

Level of design

What work to date has been undertaken on the scheme design?

- Options testing;
- Preliminary design/outline design; or
- Detailed design.

Please provide latest design drawings.

Funding compliance

Is funding compliant with 'Managing Public Money' and other central government guidance?

Affordability

Is the option affordable in the context of the available budget and relevant spending review period(s)?

What risks have been identified with regard to this option?

All projects are expected to have a risk management plan proportionate to their scale.

How probable are the risks? ***Include examples of problems and risks experienced in similar schemes.***

How will identified risks be actively managed?

Provide a risk rating of 1 (low risk) to 5 (high risk). ***Supporting evidence should be provided where possible and this might include examples of what similar schemes have cost in the past, how these costs have differed from original estimates or extrapolations drawn from pilot schemes.***

Risk to Programme

Programme/ Implementation timetable

Provide a plan with key milestones and progress including critical path.

What is the estimated start and completion date of the scheme?

Practical

Has the option been tested and proven to be practical and effective?

Technology

If technology is involved is this proven, prototype or still in development?

Legal powers - How certain are you of the legal feasibility of the option?

Have the required statutory powers been granted?

If no what additional statutory powers are required?

Are there planning implications? Please provide details.

Is all the land within scheme promoter ownership?

Quality of supporting evidence for the scheme

Provide detail of what level of work has been undertaken on the scheme for example feasibility study or full Business Case.

If it is based on evidence from where similar options have been implemented, how transferable are the impacts likely to be?

How well developed is the supporting evidence at this stage (model availability/validated)?

GRIP Stage

Provide details of GRIP stage if appropriate.

Resource availability/governance, organisational structure and roles

Has a governance structure for the scheme management been established?

Summarise the overall approach for project management at this stage of the project.

Describe the key roles, lines of accountability and how they are resourced.

Risk to Acceptability

Stakeholders and Public Acceptability

Who are the relevant stakeholders?

What consultation has taken place with relevant stakeholders?

Provide an assessment of whether there are likely to be any issues around stakeholder acceptability.

Letters of support may be useful

Provide an assessment of whether there are likely to be any issues around public acceptability.

Has any public consultation taken place?

What public consultation is likely to be required?

Statutory Consultees (HA, Env Agency, Natural England)

What consultation has taken place with Statutory Consultees?

Letters of support may be useful

Value for money

Have you calculated the BCR (benefit cost ratio)?

If you have calculated the BCR:

What is it?

Provide the following information relating to the appraisal investment cost:

What is the investment appraisal cost of the scheme? **(WebTAG Unit 3.9.2 para 6.3.10 and table 2)**

The price base year should be the Department's standard base year of 2010 (WebTAG Unit 3.5.4 August 2012, Para 4.1.6.)

It is important that scheme costs are as robust as possible and include a proper allowance for risk and optimism bias is crucial.

What level of optimism bias has been included?

Detailed guidance on the application of optimism bias can be found in WebTAG Unit 3.5.9 (August 2012) para 3.6.1 to 3.7.11. At this stage it is anticipated that the majority of schemes will be in Stage 1 and the relevant level of optimism bias should be applied based on the type of project (Road, Rail, IT project) for further guidance see table 9 of WebTAG Unit 3.5.9.

If you have not yet calculated the BCR, is there evidence of the BCR and/or value for money of similar options that may be relevant, explaining why similar results might be expected? (see Chapter 12)

Evaluation

Summarise outline arrangements for monitoring and evaluating the intervention.

Is there a programme for measuring/evaluating desired outcomes and wider impacts?

Is there a clear logic model for how outcomes will be achieved?

Contents Amendments Record

This document has been issued and amended as follows:

Status/Revision	Revision description	Issue Number	Approved By	Date
Draft	Initial draft	1	MJR	11/12/2012
Draft	All methodology elements	2	MJR	14/12/2012

ANNEX D

North East Major Schemes Prioritisation Pro forma

This pro forma should be used to provide evidence in support of specific proposals in relation to the prioritisation of major schemes in the North East LEP area. The pro forma allows for the provision of evidence covering the policy, value for money and deliverability criteria, as well as an opportunity to describe the scheme and its context.

Scheme promoters are asked to provide evidence in support of their scheme, including a narrative, and any quantitative and qualitative evidence that demonstrates:

- how the scheme delivers or contributes to the achievement of the North East's policy objectives;
- how the scheme represents value for money; and,
- the deliverability of the scheme.

Guidance on the evidence required to complete the pro forma is provided in the document *Guidance on Evidence Requirements* and the pro forma should be read and completed with reference to that guidance.

In addition to the space provided for the presentation of the full evidence on the contribution any scheme makes to each of the policy criteria, the pro forma includes a number of summary boxes at the end of each criterion. These summary boxes are intended to highlight the key contributions that the proposal makes to delivering policy outcomes in the North East. An assessment will be made based on the full evidence submitted including any narrative, not solely on the information in the summary boxes.

These boxes should however assist promoters in providing appropriate quantitative data and will assist the independent assessment team in undertaking the scheme assessment. Scheme promoters should therefore complete these summaries where possible in addition to providing the appropriate evidence under each criterion. It is not necessary to complete all the policy sections and boxes, just the ones where evidence is available that is relevant to the scheme under assessment and the criterion in question. Evidence must be presented on value for money and deliverability.

Please use this pro forma to highlight the significance of any designations or sites included within the evidence, including reference to where designations feature in national, sub regional or local policy.

Graphs, tables, hyperlinks and maps should be included if appropriate.

Please use more than one page per criterion if required.

Scheme Background and Description:

Scheme name

Scheme Description:
This section should clearly state the scope of the scheme and describe all of its key components. *Scheme promoters should also set out the rationale for the scheme including the primary objectives of the scheme.* *Scheme promoters should provide a location plan of the scheme.*

Policy Criteria:

For each policy criterion set out below promoters should provide an appropriate description of how the scheme will address the criterion, based on the guidance provided separately, and where possible address the specific evidence requirement for each criterion.

Criterion 1: Will the scheme contribute to the creation of new jobs and retention of existing jobs in the North East LEP area?

Category	**Site name or reference**	**No. of Jobs Scheme will Support**
Local Plan		
Other Designated Site (s)		

Locally Significant Employers			
Employer name	Evidence of significance	No. of Employees	Benefit of Scheme

Criterion 2: Will the scheme support the North East LEP area gateways?

Gateway(s) affected by scheme:	
Amount/proportion of gateway trips impacted by improvement	
Amount/proportion of freight impacted by improvement (tonnage and value)	
Time savings for gateway trips or freight	

Criterion 3: Will the scheme encourage the development or retention of skilled jobs (NVQ level 4 and above) and support sites that deliver the training for such skills?		
Name of employment sites or training centre	**Nature and level of training provided**	**Benefit of the scheme**

Criterion 4: Will the scheme provide sustainable access solutions to existing and growing development corridors, centres and sectors, or support housing growth?		
Sectors/Business Corridors/Key Centres	**Evidence of significance**	**Benefit of the scheme**

Criterion 5: Will the scheme ensure capacity and speed of transport links to and within the North East LEP area are maintained and enhanced in order to increase the attractiveness of the North East LEP area as a place to do business, boosting inward investment and improving competitiveness of indigenous firms?
Provide evidence on the nature of the existing issues on the transport network in question. *Quantify the issues where possible.* *Identify where the transport network in question has national or local significance, and identify any specific designations of the networks affected.* *Outline how the scheme will address any issues.*

Criterion 6: Will the scheme deliver improved accessibility from residential areas to areas that have employment, education or other opportunities?	
Residential area name	
Unemployment Rate	
Skills levels	
IMD (2007) Health Ranking	
IMD (2007) Overall Ranking	
Description of access to opportunity (employment/education/other opportunity)	
Benefit of the scheme	

Criterion 7: Will the scheme contribute to an improvement in the overall quality of journeys, particularly those providing links to employment and health or education opportunities?

Criterion 8: Will the scheme contribute to an overall improvement in the local environment including improving local air quality or reducing the noise impact of transport corridors?	
Noise – nature and quantification of change or impact	
No. Dwellings affected by noise:	
Air quality – nature and quantification of change or impact	
AQMAs or sites of concern affected:	
Environmental or cultural significance – nature of change or impact	
Area of environmental or cultural significance (name and designation)	
Magnitude of impact on area of environmental and cultural significance	

Criterion 9: Will the scheme contribute to an overall reduction in carbon emissions relative to the existing situation?		
If a comparator scheme is being used provide details within the narrative.		
	Promoted Scheme	**Comparator Scheme: (name)**
Potential mode shift		
Potential change in average speed		

Criterion 10: Will the scheme provide the opportunity to improve health, reduce levels of obesity among the population or improve road safety within the area?

Active travel	
Potential mode shift	
IMD health ranking or obesity levels	
Severance	
Location of severance	
Level of severance now	
Estimated level of severance post scheme implementation	
Number of people affected by severance	
Road safety	
Location of accident cluster	
Number of KSIs	
Potential reduction in KSIs	

Value for Money Criteria

Using the value for money section of the *Guidance on Evidence*, scheme promoters should present below an estimate of the Benefit Cost Ratio (BCR) of the scheme being promoted. This should include a narrative giving a description of how the estimated BCR has been calculated or derived and why it is judged to be appropriate. Information should be provided on the nature of any comparator scheme used or alternatively any other case study information used. Any information used to inform the estimation of BCR should be referenced, or if the information is not available online, it should be appended with the submission of this pro forma.

Value for Money Assessment:		
	Promoted scheme	**Comparator scheme**
Scheme Name		
BCR		
Brief scheme overview		
Objectives of the scheme		
Scheme cost		
Monetised benefits		
Non monetised benefits		
Operating costs		
Profile of journey time savings		
Less than – 5 minutes		
-5 to -2 minutes		
-2 to 0 minutes		
0 to 2 minutes		
2 to 5 minutes		
Greater than 5 minutes		
Split between:		
Business users and transport providers		
Commuting and other users		
Local Contribution		

Deliverability Criteria

Using the guidance scheme promoters should complete the tables below to provide evidence on deliverability.

Costs

What is the latest estimated cost of the scheme?				
Please provide the total outturn cost and a breakdown of the outturn cost by forecast future years.				
2015/16	2016/17	2017/18	2018/19	Total
When were the costs of the scheme last updated?				
Have costs been independently checked?				
Have scheme costs included an adjustment for risk?				
What price base was the original cost was developed in?				
What inflation assumptions have been made to the present day and for the forecasting of future years?				

What is the level of funding you are requesting from the LTB?				
2015/16	2016/17	2017/18	2018/19	Total

What is the funding gap between the latest outturn cost and the cost to the LTB?				
2015/16	2016/17	2017/18	2018/19	Total

What is the potential for Local Authority contributions?				
2015/16	2016/17	2017/18	2018/19	Total

What is the potential for developer contributions?				
Provide a brief narrative on the source of these contributions.				
2015/16	2016/17	2017/18	2018/19	Total

What is the potential for funding from other funding pots and budgets?				
Please specify bid or budget details.				
2015/16	2016/17	2017/18	2018/19	Total

Operating costs What are the likely operating costs of the scheme?

Level of design					
Include a narrative on what work to date has been undertaken on the scheme design Please tick as appropriate					
Options testing		*Preliminary/outline design*		*Detailed design*	

Funding compliance

What risks have been identified with regard to this option?		
Risk	**Risk rating** *1 (low risk) to 5 (high risk)*	**How will this risk be managed or mitigated?**

Programme/Implementation timetable	
Provide a plan with key milestones and progress including critical path.	
Milestone	*Expected completion date*

Practical

Technology

Legal powers **How certain are you of the legal feasibility of the option?**	
Include a narrative on the legal feasibility of the option including any issues around statutory powers, planning permissions and land ownership	
Have the required statutory powers been granted?	Yes/No
Are there planning implications?	Yes/No
Is all the land within scheme promoter ownership?	Yes/No

Quality of supporting evidence for the scheme

GRIP Stage (if appropriate)

Resource availability/governance, organisational structure and roles
Summarise the overall approach for project management at this stage of the project. *Describe the key roles, lines of accountability and how they are resourced.*

Stakeholders and Public Acceptability
Include a narrative on public and stakeholder acceptability including discussion of any consultation that has taken place to date, issues around stakeholder acceptability, issues around public acceptability and what further public consultation is likely to be required.

Statutory Consultees (HA, Env Agency, Natural England)
Include a narrative on specific engagement or discussions with statutory consultees, identifying any issues noted around acceptability and what further consultation is likely to be required with the statutory consultees.

Value for money	
BCR	

Evaluation
Summarise outline arrangements for monitoring and evaluating the intervention