

DISTILLATE Project D: Improved Effectiveness in Organisational Delivery

1. Introduction

As part of DISTILLATE, Project D will synthesise our understanding of how to overcome barriers within those decision-making processes that are designed to achieve more sustainable transport and local land use outcomes. It will follow specific policy processes with our DISTILLATE ‘supersite’ partners and also follow two other examples of successful policy implementations. Researchers will examine – based upon the conclusions of the scoping study and Project A’s analysis of where barriers arise – where and how these barriers have been overcome and whether they may be overcome in a more rigorous manner through institutionalised good practice and understanding.

Project D concentrates on understanding the policy cycle (summarised in Figure 1, below), examining the chain of events that link actions to outcomes by identifying and assessing networks¹ that exist throughout the policy cycle: where pivotal decisions are made, tracking power and influence of different actors in the policy cycle. Together with our case study partners, Project D will – where and when appropriate – suggest tailored methods as to how particular barriers may be overcome and seek to encourage partners to implement some of these ideas in their on-going policy development. Through these processes, Project D intends to provide practical solutions to overcoming some of the barriers faced by local authorities and PTE’s and improve the effectiveness of these organisations in their provision of sustainable transport and local land use outcomes.

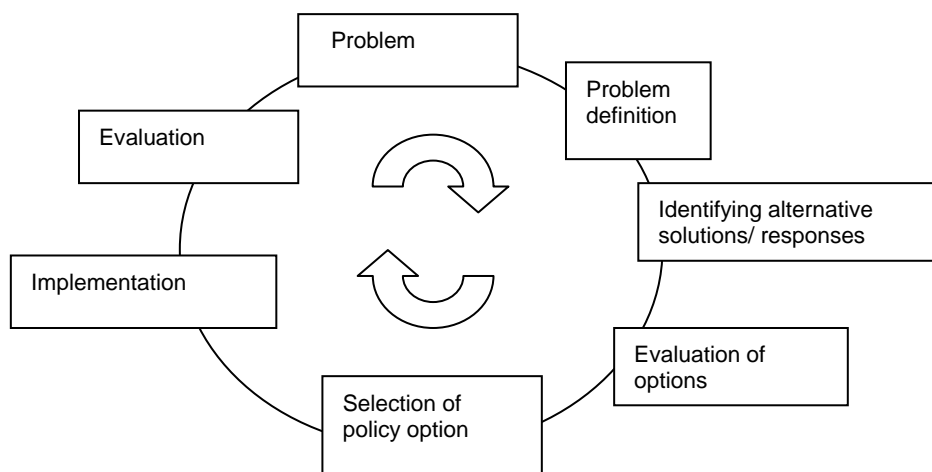


Figure 1 A typical policy cycle (modified from Parsons 1995). At any point of the cycle barriers to decision making and implementation may occur.

¹ The term ‘network’ as used here refers to the relationships, interconnectedness, and dependencies of different actors in their organisations and forms of government involved in different points of the policy cycle. A network approach draws attention to the way in which policy is the product of a complex interplay of people and organisations and provides a more informal picture of how ‘real’ politics takes place (Parsons 1995).

Further, Project D will also look at where tools and knowledge can link strategy design with eventual outcomes to give rise to a more evidence-based approach² to policymaking. It will do this particularly through looking at the use and communication of information based upon decision support tools and indicators throughout the policy cycle (see Fig.1).

Strong links, both on the ground and in shared interests, are hoped for with other DISTILLATE projects and these are expanded upon in the description of the cases (see pages 10 forward). The table below summarises what and where these links are likely to exist.

Project Linked to	Case study area	Issues covered	'Other' Project status	D link person
Project B	Unitary PTE County	Scheme design Strategic/scheme design Regional strategic planning	Comp? Maybe lab? Lab?	UWE SEI SEI/UWE
Project C	PTE Metropolitan?	Use of indicators data Use of indicator data?	Lab Comp	SEI SEI
Project E	Unitary PTE	Scheme funding Scheme funding	Lab Comp	UWE UWE
Project F	Unitary	Modelling of bus schemes	Comp	UWE
Project G	PTE PTE County	'Soft' options Distributional effects Broadening appraisal	Comp Comp Comp	SEI SEI SEI

FIG 2: summary of links between D and other DISTILLATE projects

In order to meet the aims of Project D we will: talk to key actors involved in the processes identified with our case study partners using structured and semi-structured interviews; participant and non-participant observation³ at key meetings related to specific policy developments and examine project documentation (both formal and informal). This methodology will produce data ranging from written notes on interviews and meetings (confidential where agreed and where appropriate) to 'network maps'⁴ designed to help us better understanding the roles of those involved so that we can highlight current good practice. We will, further, be able to better understand where pivotal decisions are made, the influence of different actors on those decisions, and also identify points in the process where tools and methods did – or could have – enhanced the process.

Having identified current good practice and diagnosed reasons for the problems that give rise to barriers in the decision-making process (Inception Report Tasks D2 and D3), a targeted literature review will be undertaken (Task D4) to identify good practice internationally, and from areas outside of transport, so that possible solutions to any problems identified can be suggested. Project D will suggest tailored methods as to how any barriers experienced by our partner organisations may be overcome and will seek to encourage case study partners to implement some of these ideas in their ongoing policy development (Task D4). The understanding of the generic problems and their solutions will then be communicated to all partners within DISTILLATE (D4 and D5) before being disseminated more widely.

² It is acknowledged that decisions about plans and policies are often made on a range of bases on a continuum ranging from 'evidence-based' knowledge – i.e. knowledge that is strongly scientifically supportable and transferable – to 'experience-based knowledge' – i.e. knowledge that is grounded solely in local knowledge and personal experience (e.g. see Collins and Evans 2002). It is argued here that the cleared and improved inclusion of the former as a contributor to the latter can only aid the uptake of more sustainable transport and land use decisions. It is hypothesised that a more open and value-free understanding of the use of models, decision support tools, and indicators can help in this process of communication of evidence.

³ See section 5 "Data gathering approach and case studies", page 9 for a fuller explication of the methods used.

⁴ see footnote 1

Use	Initial data gathering/ background /context	Gathering 'detailed' data	Intervention
Method			
Structured interviews	√		
Semi-structured interviews	√	√	
Review of primary documents (minutes, official docs etc.)	√	√	
Observation		√	
Assessment accounts		√	
Participant observation			√

Figure 3: Some of the research methods used by SEI and by UWE in the carrying out of the Tasks of DISTILLATE Tasks D2, D3, and D4. (see also section 5, page 9).

2. The Logical Framework Analysis (LFA)

As part of Task D1, this LFA has been developed. It starts with a problem analysis, (section 3 below) identifying those problems and barriers faced in the decision making process which have been highlighted in the scoping study, in repeated contact with partner local authorities and from the Questionnaire results of Project A.

After this section, there is a description of the Objectives, how these tie in with the Inception Report Tasks D2, D3 and D4, and the results of the analysis of the data focussing on answering the problems described in the Problem Analysis. Section 5 focuses on the approaches to data gathering and the cases themselves where Project D will work together with our Partner authorities and follow particular issues and policy processes they have identified as being of particular interest to them.

A further section, section 6, presents our approach to analysis which informs this plan. This LFA, therefore, gears us up to address subsequent Task D Objectives in Tasks D2, 3, and 4.

Assumptions

1. That our partners will give us the necessary access to complete this work. We have gained access permissions from several case study partners and are currently progressing towards ensuring that access with each of our potential case study partners (see section 5, "...case studies", for further individual detail). No problems are foreseen and the indication is that each case study will be agreeable to and agreed by our partners.
2. That our partners will be persuaded to take up and act upon our suggestions in the mid and latter stages of the project. Again, as we shall be working closely with our partners and as we shall be targeting our work specifically towards diagnosing problems and identifying remedies for problems which they themselves have presented, we see no major obstacles to them engaging with our Task D4 Output(s).

3. Problems Tackled in Project D (see Figure 4)

Focal problem of Project D as identified by Scoping Study & analysis of Questionnaire results (meeting requirements as set out in the *DISTILLATE Inception Report* Task D1):

There are barriers to the provision of sustainable local land use and urban transport due to internal and external institutional barriers caused, in part, by a lack of trans-disciplinary understanding and understanding of different people's rationales, and barriers to the use of appropriate and relevant knowledge in decision making

Problem 1: There are barriers between LA and PTE officers and external stakeholders

Problem 1.1 There are barriers with stakeholders who provide or can provide direct transport solutions but who are external to local authorities/PTEs.

The questionnaire responses highlight the difficulties of the fragmented system of government: lack of control over the rail network, and privatised or deregulated transport systems are considered to be the most significant challenges in the delivery of local sustainable transport solutions (Question 11). These points are also explored in the Scoping Study which finds that private ownership causes difficulties in achieving social objectives for rail and bus transport provision. For example, bus operators increase bus fares (due to increased costs for drivers, fuel etc.) which contradicts with the need to retain and increase the number of passengers. Equally, commercial objectives make it difficult to sustain Park & Ride facilities during the weekday inter-peak period and deregulation makes it more difficult to achieve modal integration (Scoping Study pp 6-7).

The scoping study also finds that it is difficult to involve bus operators in projects or to gain their commitment in them. This, in turn, delays projects or even prevents them from being implemented.

Problem 1.2 There are barriers with stakeholders who can provide indirect transport solutions

This refers to the solutions provided by land use planning which can minimise the need for travel. Similar to a point raised below (Problem 2.2), the scoping study finds that there is a lack of joined up thinking and integration, especially within and between different levels of local government. Due to the fragmented nature of the system, transport agendas are often in conflict with regeneration, or development (Scoping Study p7), these conflicts are also apparent at a higher level – e.g. between the DfT, DEFRA and ODPM and we will work with their representatives on the DISTILLATE Steering Group to address these issues.

Problem 1.3 There are barriers between local authorities and different government departments

Problems and conflicts between local and central government in relation to the planning process. The questionnaire results demonstrate that the DfT and government offices are considered to be the most important stakeholders in terms of the decision making process (Q.3). This, allied with the findings from the Scoping Study – that the range of different governmental departments (such as the DfT and ODPM) can lead to inconsistent signals, and confusion as to the chain of command – indicates the significance of this barrier. Over and above this, the questionnaire finds that national policy

contradictions and political short-termism (apparently at national level, although the wording in the questionnaire is a bit ambiguous) are seen as significant barriers (Q.11).

Problem 1.4 There are barriers between council officers and the public

Local authorities are required to engage with different stakeholders and by doing so often enhance the decision making process, but the methods are not always clear. The questionnaire revealed the relative importance respondents give to the involvement of members of the public in the decision making process (Q.3). However, the Scoping Study identifies the difficulties with public involvement: members of the public often have ‘conservative’ views and are unwilling to embrace change, which is a considerable barrier to sustainable transport. Strongly linked to this, cultural dependency on the car and the perception of poor quality public transport are both seen as significant barriers according to the Inception Report (*op.cit.* p.9-10) and the use of high-quality, evidence-supported data to overcome these states of affairs is critical. There is also an indirect barrier that exists – the need for politicians to please members of the public. **N.B.** This is not resourced within DISTILLATE Task D, however, if as it is suggested by our preliminary research as part of Task D2 (following Inception Report) we will attempt to include this substantive issue in the Task D4 data Review.

Problem 2: There are internal structural and internal cultural barriers⁵ within LAs and PTEs

Problem 2.1: There are structural barriers in local authorities resulting in a lack of effective communication between those responsible for planning and delivery at different levels

There is a lack of communication which is institutionalised within Local Authorities. The Scoping Study finds that there is a clear lack of joined up thinking and integration between departments at the local government level (Scoping Study p7), identifying various barriers which also relate to the different levels of government (such as county and district councils). Where the two tier system is in place, power struggles and ‘turf wars’ between county and district councillors are evident, and are exacerbated by political differences between county level and district level councillors. The two tier system also traditionally splits transport and planning (the former is at a county level, the latter at a district level).

The questionnaire endorses these points, finding that divided responsibilities for delivery, physical locations of different departments, and different stakeholder procedures all are reported to act as barriers (Q.7). The questionnaire also finds that different organisational structures and staff are also reported to be a problem (although to a lesser extent).

Problem 2.2 There are cultural barriers in local authorities reinforced by a sectoral, departmental and disciplinary approach to transport planning

The differences between different disciplines and officer with different sectoral backgrounds affects the communication between key members of the team developing the transport and land use plans. The Scoping Study found that perceptions of ‘compartmentalised people’ and ‘blinkered outlooks’

⁵ A cultural barrier is a barrier the root of which lies in the way that actor perceives the world and how they think the world should work – e.g. an environmentalist might have a fundamentally different world view or ‘culture’ from an environmental scientist... in the same way a transport planner may have a different ‘culture’ from an economic development officer. One may see problems where the other sees none and one may see solutions where the other sees problems! One may favour engineering or hard solutions while the other favours fiscal or soft measures. To an extent, this cultural difference lies in sectoral education and is exacerbated by sectoral working practices.

hindered the ability of local authorities to think and act creatively and flexibly (Scoping Study p9). This is partially attributable to the fragmentation described under barrier 2.1. The study also finds that roles and responsibilities are also somewhat ‘clouded’ by a lack of understanding of who is responsible for particular aspects of work (Scoping Study p8).

Problem 2.3 There are barriers between the LA officers and LA elected members in developing policy for more sustainable transport solutions

The questionnaire (Q.3) highlights the importance attributed to elected members at the problem identification stage (although respondents considered that there was little scope for improvement in this regard (Q.s 5 & 6)).

Over and above this, change (or uncertainty) in local authority political leadership is identified in the Scoping Study as being a significant barrier (Scoping Study p 8). The study also finds that elected members sometimes inhibit policy changes (such as congestion charging) as there is often a greater emphasis on perceptions of public acceptability than on evidence of effectiveness. This issue was also raised in the partner workshop in London in January: some officers commented that there is a lack of understanding and effective communication between officers and elected members.

Problem 3 There are barriers to evidence-based approaches to decision making in transport

One of the purposes of greater dependence upon formal tools and models and structured indicators is that they generate evidence-based knowledge rather than relying upon an experience-based approach to planning. However, there are structural barriers (Problem 2.2) as well as cultural barriers to the better uptake of evidence-based approaches. Further, addressing this problem will necessitate a step change in itself from the way plans and policies are often generated in ‘real-world’ practice. We may not have the resources (financial or manpower) to solve these problems, but we cannot ignore them.

3.1 There are barriers created due to lack of effective communication between support tool developers, support tools users, and the users of the information generated by decision support tools

The Scoping Study identifies some of the barriers between tool developers, tool appliers/users, and the users of the outputs of the tools/models⁶: respondents mentioned the lack of accurate modelling techniques to assess various policy initiatives, and in particular, to predict the impacts of integration on non-car modes. Another respondent argued that the available models and the NATA appraisal are biased in favour of car-based developments. Tools were seen ‘not to come up with the right answers’ (Scoping Study p12) and so are often discounted or remain unused to the fullness of their capacity.

3.2 There are barriers created by the lack of trained personnel and other resources to implement tools, use appropriate indicators, models and use best available knowledge

Often local authorities are not able to purchase the models and employ relevant personnel to run them, collect the data required, and disseminate the output. Often, modelling is sourced out to consultants who run them on behalf of the local authorities. The questionnaire finds that data, money, staff and

⁶ NB by ‘tools’ we here mean models, appraisal tools, option generation tools, and including structured indicators and suites of indicators.

model capability were seen to be the most important enabling factors for model use, and that organisational issues were highlighted as the least satisfactory enabling factors for model use (Qs 37 &38). The Scoping Study also finds that there is uncertainty about which models to use - the cheapest or the 'best'⁷.

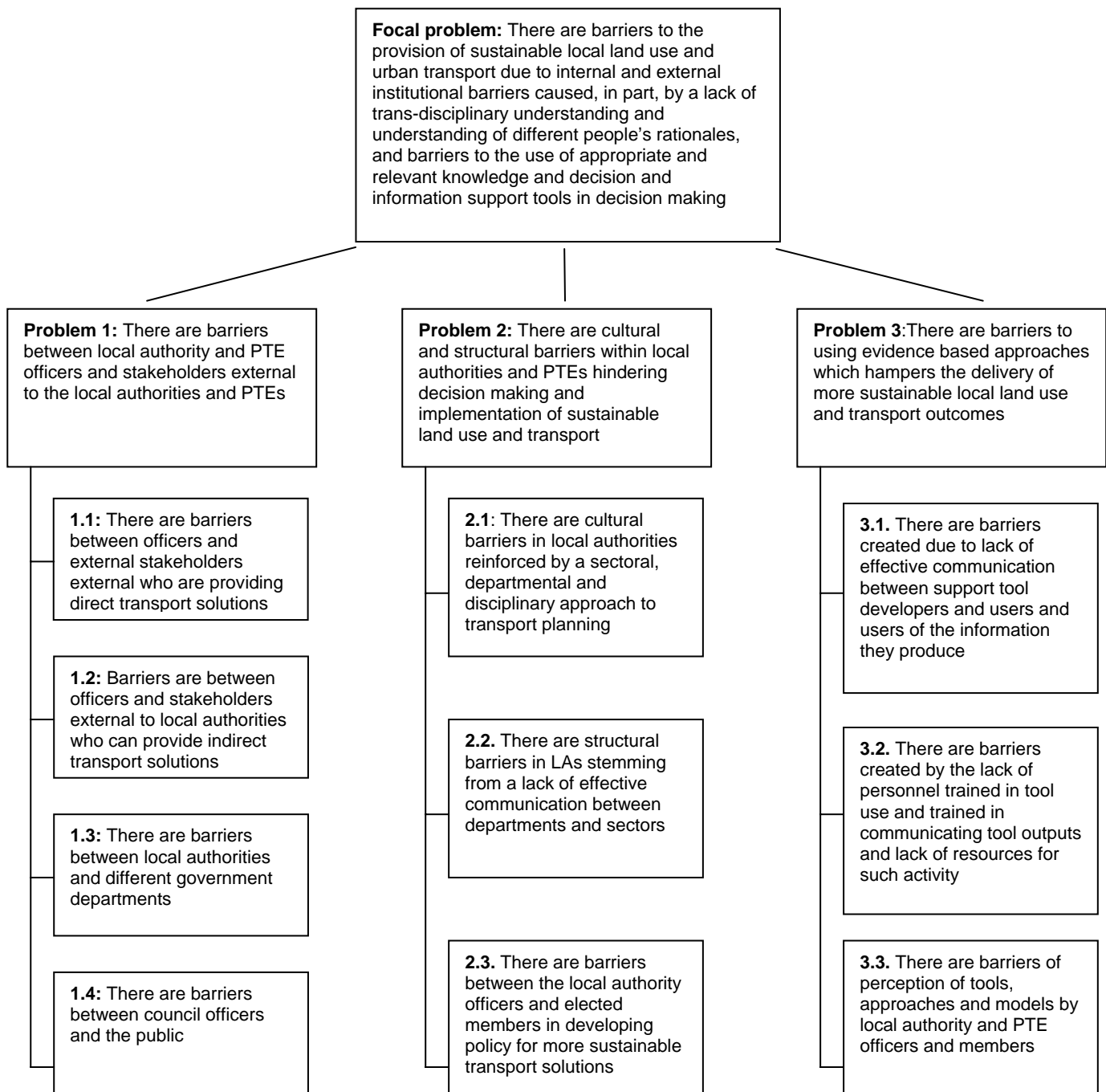
3.3 There are barriers of perception of tools, approaches and models by local authority and PTE officers and members

Many people are naturally suspicious of models and other tools, especially when these are presented as black boxes, or they are perceived to be too far removed from reality to be useful in decision making. The Scoping Study finds that there is a perceived inadequacy or lack of standards and guidance on coding standards for ticketing, timetabling and passenger information (Scoping Study p12).

[pto for Fig 4 →]

⁷ Indeed, 'best' is a loaded word as this could mean most detailed (technical) or fastest or cheapest (policy).

Figure 4. Problem Tree indicating those problems DISTILLATE Project D will tackle in order to understand how more effective delivery of transport and local land use options may be developed

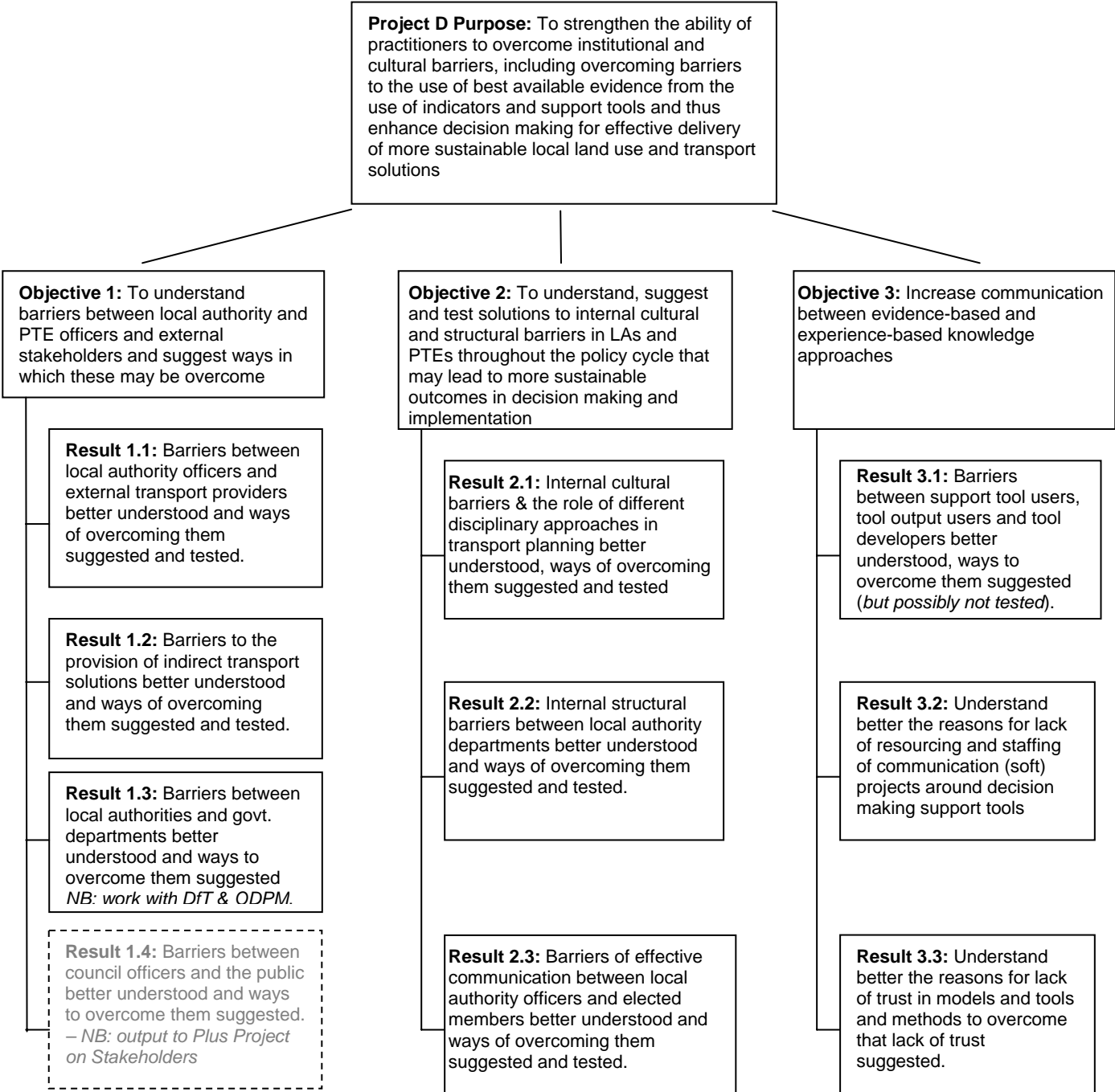


4. Objectives of Project D

The purpose of Project D is to ‘to strengthen the ability of practitioners to overcome institutional and cultural barriers, including overcoming barriers to the use of best available knowledge, indicators and support tools and thus enhance decision making for effective delivery of more sustainable local land use and transport solutions’. This purpose will be achieved through three objectives related to organisational delivery of more sustainable transport outcomes. These objectives are outlined in

Figure 5 which also includes the intended results of undertaking the data gathering assessment and case studies in Project D.

Figure 5: Objective Tree for DISTILLATE Project D



In order to achieve these objectives, data will be gathered through the following specific policy processes in the 3 Supersites and Metropolitan area together with our case study partners. This is described in the next section. The analysis of the data gathered through following the policy processes outlined is explained in the Result analysis section following on from that.

5. Data gathering approach and case studies

NB. These case studies are designed to deliver on the Inception Report Tasks D2, D3, and D4. Task D1 can be conceived of as a scoping and scene setting within Project D and ensuring that Project D meets the expectations of Partners and LA partners. Tasks D2, D3 and D4 – expanded upon here – form a suite of iterative and interlinked projects which develop the background and scoping of the actual research (D2), the research itself (D3) and the location of the research, the targeted review (D4), and testing of novel outputs resulting from the review. Task D5 is then the wider dissemination.

Project D has, through a collaborative process,⁸ identified four case studies where it will follow specific issues and policy processes and gather the data, which will help to answer the problem identified in the problem analysis.

In each case study, Project D staff will follow the relevant policy process and gather data through structured and semi-structured interviews⁹; through participant¹⁰ and non-participant¹¹ observation and through the examination of formal and informal project documentation¹². Non-participant observations (where the observer only observes proceedings¹³), and participant observations (where the observer plays a role in proceedings¹⁴) will be used in order to observe how decisions are made in meetings. We will be considering the role of different actors, group dynamics, and where power and influence lies. Notes will be taken during these meetings, and our own accounts (or “reflexive assessments” – i.e. the observer’s view on what they have just observed) will be created.

Structured one-to-one interviews (where the interviewer asks each interviewee the same questions and gives each the same stimulus to respond), and semi-structured one-to-one and group interviews (where the interviewer follows a similar question list but picks up on points and issues as they crop up) will be used to gather ‘in depth’ data from key actors. One-to-one interviews will also play an important role in eliciting views and information that might not be offered in a group context – one to one interviews are typically associated with the gathering of more sensitive data (see Zeller 1993). This method will be especially useful if used in conjunction with participant and non-participant observations, as issues arising in the group meetings can be followed up in a one-to-one setting.

Documentary data (this will include minutes from meetings, official council documents etc.) will be used to contextualise the information gathered using the above methods. Documentary data will also allow Project D staff to understand issues (such as the make up of the local authority, the structure of meetings etc.) before carrying out the above methods.

These methods will produce transcriptions and other written data which, when analysed and compared with our own assessments, will generate an understanding of where pivotal decisions are made (and the influence of different actors on those decisions) and points in the process where tools and methods did, or could have, enhanced the process.

In close collaboration with the partners, appropriate methods are currently being chosen for application in the laboratory case study cities to see the extent to which they can be successful in overcoming barriers. The case study review and the application in the laboratories will form the major part of the research in Project D.

⁸ as part of Tasks D1/D2 from the Inception Report

⁹ in meeting the responsibilities as laid out in the Inception Report Tasks D2, D3.

¹⁰ in Task D4

¹¹ in Tasks D2, 3, & 4

¹² as part of Tasks D2, D3 & D4

¹³ used when we are simply gathering data

¹⁴ as when we come to jointly apply solutions with our LA partners

Method ↓ Use →	Initial data gathering/ background /context	Gathering 'detailed' data	Intervention
Structured interviews	SEI & UWE: (<i>Tasks D2 & D3</i>)		
Semi-structured interviews	SEI & UWE: (<i>Tasks D2 & D3</i>)	SEI & UWE: (<i>Tasks D2 & D3</i>)	
Review of primary documents (minutes, official documents etc.)	UWE: (<i>Tasks D2 & D3</i>)	UWE & SEI: (<i>Tasks D2 & D3</i>)	
Observation		UWE & SEI : (<i>Tasks D2, D3 and D4</i>)	
Assessment accounts (reflexive)		SEI: (<i>Tasks D2, D3 and D4</i>)	
Participant observation		SEI: (<i>Task D4</i>)	SEI: (<i>Task D4</i>)
Literature and data review	UWE: (<i>Tasks D2 & D3</i>)	UWE & SEI: (<i>Tasks D2, D3, D4</i>)	SEI: (<i>Task D4</i>)

Figure 6: The research methods used by SEI and by UWE in different stages of the case studies. The Tasks (D2, D3, and D4) refer to the Tasks as laid out in the DISTILLATE Inception report pps 22&23.

5.1: Unitary City Council case study (UWE): Showcase buses

UWE have been discussing tracking the organisational issues of moving from the Strategy stage to the Project Design stage which came out as the most problematic area from the questionnaire.

Issues

The first 'Showcase' bus route was launched in our Unitary on 12th December 2003. The routes were delivered as part of the Local Transport Plan. £3.5M was spent on the scheme. Through a Quality Bus Partnership, the bus operator contributed £2.25M to new dedicated double-decker buses to run along the route. The route also features upgrades to kerbing, electronic information displays and timetabling provision, junction alterations, some bus lanes and intelligent priority measures to facilitate a higher quality service. Since the launch, passenger numbers along the route are said to have increased by 12% and an estimated 1,200 cars per week have been removed from the corridor. More recently, a second showcase route has been announced. This will follow a traffic impact assessment and statutory consultation later in 2005. The operator has indicated that they will be in a position to invest in nine further showcase routes across the area.

There are a number of questions UWE would like to examine, focussing around the interface between the strategy level of planning and the emplacement of individual schemes on the ground. Possible avenues would include issues relating to partnership working, use of planning tools, and organisational responsibilities for different aspects of scheme delivery. Key contextual information on the constitutional arrangements will be gathered to thoroughly understand the roles of officers, members and other stakeholders (including the private bus operator, other layers of government in the region and centrally, and other affected public services) and how they interact during the decision-making process. Issues to be examined further include (these issues also meet all 3 objectives):

- The delivery process for integrated local land-use, transport and environment including the stakeholders involved and the layering and relationships between actors (all objective 1)
- The processes of decision-making including: the sequence of decision-making, the initiating forces of the 'problem', and the enabling forces for the 'solution' (all objectives 2 and possible 3).

This case study will look at the process by which the showcase bus routes have been converted and the focus will be upon how, and by whom, barriers to delivery and implementation were overcome. By doing so, and understanding how the barriers have been negotiated along the way, a documented

source of good practice and case study material will be available to stakeholders delivering future showcase routes in the area. Whilst the case study will focus on the first corridor, the process of delivery for the second route will also be tracked by UWE as it progresses to check where advances in delivery have already been made and to check the ex-post evaluation of scheme delivery for the existing routes covers all possible bases.

UWE are working with the Unitary Council to ensure that this is relevant for their needs. Meetings with relevant staff have already been held and no problems are envisaged at this stage concerning further access to meetings and documentation.

5.2: PTE Case Study (SEI) : Accessibility Planning

Discussions with the Chief Policy Officer and the Head of the Local Transport Plan Support Unit initially focussed on stakeholder engagement but now have moved towards how this PTE organises its relationships with the Local Strategic Partnerships (LSPs) in relation to Accessibility Planning (AP). Two meetings have been held with the PTE's Partnership Officer in order to establish the current situation, and the best way forward for Project D. We are now (as of May 2005), starting to follow the accessibility planning policy process with the PTE and with two local authorities. It is anticipated that this focus will continue through the DISTILLATE intervention period.

Issues

In order to promote social inclusion, AP focuses on access to employment, education, healthcare, and food shops. AP involves different sectors in order to get them involved in promoting social inclusion. A wide range of organisations such as: the health, employment, and education sectors; Job Centre Plus; transport operators; and citizens are engaged and thus the use of 'soft' measures and assessing distributional effects are of particular importance. The role of the local authority-based LSPs in accessibility planning is complex; the LSPs all have different structures (as these are locally determined) and they also each have subgroups. There are some issues with the LSPs such as moving membership (voluntary members), and communication issues. Further to this, the PTE doesn't just engage with the 5 LSPs, but also with other organisations at more localised levels. On a larger scale there are cross-sectoral issues such as that the PCT – health authority areas are different. Local politics also plays an important role.

Following the development of AP is an ideal case study for Project D. The AP case study will provide a weighty contribution to Objectives 1 and 2 and it is also anticipated it will provide a contribution to Objective 3. These contributions are outlined below:

- The PTE has to work with the private sector (transport providers and employers) in order to develop accessibility planning (LFA Objective 1.1 and 1.2)
- It has to work with other governmental sectors in order to further the aims of social inclusion (Objective 1.3).
- It has to work with the different LSPs: their different structures, politics, dynamics and foci. It will also have to work with other organisations – e.g. the PCT, Pathways and neighbourhood renewal, all with different structures, aims and objectives. (Objectives 1.1 and 1.2)
- The PTE will also have to work with members of the public through the LSPs (Objective 1.4)
- It will require political support for the development of AP. This may be complicated by the role of The PTE (as a PTE), and the structure, role and politics of the local authorities involved (Objectives 2.3, 2.1)

- The PTE will also be likely to use the model ‘accession’ to develop AP. This will provide some input to Objective 3 (3.1, 3.2 and 3.3).

In short, by following the progression of accessibility planning, and by mapping the roles of those involved (using network analysis), the barriers that exist can be identified, and solutions to overcome them suggested.

The PTE’s Partnership Officer has checked with the Chief Policy Officer to ensure that this is relevant for their needs and no problems are envisaged at this stage, the relevant access to meetings and documentation is not perceived (by them) to be an issue.

5.3: PTE case study (UWE): Upgrade of a PT mode – rail electrification

UWE’s study will serve to highlight the role of a different administrative system in the implementation of changes to urban heavy rail systems. Heavy rail was a barrier widely noted by respondents to the questionnaire: among all respondents, this PTE was one of only two highway authorities where a lack of authority over heavy rail was not seen as a problem in moving from the Strategy stage to the Project design stage. Investigation of this will allow a better understanding of why this has worked here but not in other areas.

This study has been selected to develop an understanding of the best practice decision making approaches in the context of the PTE system, tracking their relationships with constituent authorities and the rail authorities, and how this differs when compared to other areas working with and without a PTE in existence. It will further be constructive to draw comparisons between it and other areas that now have light rail. Like the Buses case study (above), some lines have already been upgraded, while some are in the earlier stages of delivery.

Issues

This case study will serve four main purposes. Firstly, to provide the organisational context for understanding the role and function of a PTE particularly in relation to land-use planning and development. Secondly, to give access to the decision-making process leading to implementation, i.e. how the problem and solutions were defined, who was involved in decision-making, and the facilitators leading to the implementation of the electrification projects. Thirdly, to give a different perspective on partnership issues, particularly in terms of the delivery of heavy rail in urban (and particularly a PTE area), expanding this to look at emerging partnership issues at the regional and also local levels in the context of the PTE system and its relationship with constituent authorities and the rail authorities. Fourthly, to give access to a different organisational context focusing on relationships with the Strategic Rail Authority, the constraints of the Railways Act and another set of government subsidies (this case study enables specific cross-over links with Project E).

The Rail case study will provide a contribution to all the objectives, including:

- Cross boundary working – covering all objectives 1 and 2
- Possible regeneration effects – covering all objectives 1 and 3
- Funding issues (SRA, DfT) – objective 1.3
- Green belt issues; The PTE would like to see new housing concentrated next to improved rail stations – objectives 1.3, 1.4 and 2.3.
- Access to a regional airport. A fixed link is a regional priority and this is therefore a regional issue – objective 1.3.

The Planning Manager of the PTE, has given his commitment to this project and contact has been made with their Director of Rapid Transit.

5.4: Metropolitan City Council (SEI): City Centre Redevelopment (CCR)

Development of the city centre has been long standing issues central to transport planning: discussions with the head of transport planning have focussed on how internal decision making barriers were overcome successfully, in discussions held on 29th April it was decided to focus upon the city centre development. Similar to the PTE rail case study immediately above this is an exemplar of recognised good practice which still needs investigation to determine *why* it was good practice!

Issues

We intend to focus upon this metropolitan city council's good practice in transport planning – but we will also look at examples of good practice from the CCR and further afield in order to suggest other options and examples of novel good practice from elsewhere which might be suitable to pilot or test in other areas of the city.

Focusing initially on mapping the key decisions that were made, and then comparing this information to an analysis of what the 'good' decisions were and how these came about, the case study will:

- Give access to a study involving interesting socio-economic factors at a regional and city-scale (through the RDA and the URC) (in order to address Objectives 1 and 2)
- Provide us with the problems experienced – and overcome – by a large metropolitan local authority (objective 2).
- Give us a different perspective on government – from the position of a city authority – which can be used as a comparison to SEI's other two cases (below).

Methodological approach and access issues were agreed with the CC on the 29th April and the issue of relevant access to meetings and documentation was also settled.

5.5: Country Council case study (SEI with UWE): Regional spatial issues

The County case study start up meeting (Oct. 04) and subsequent Project D discussions with the Marketing and Special Projects Officer: Local Transport Plan Group (27/01/05, 04/02/05 and 07/02/05) have revealed a possible focus for research in relation to the structures and agencies involved in decision making. The County Council experienced some 'interesting interactions' between county and district level when creating the community strategy, which suggests that similar interactions may occur as LTP2 is developed. This focus 'down' from the CC to district level will be pursued firstly by SEI while the focus 'up' to regional and national level will be pursued by UWE. SEI and UWE will compare how the LTP2 process and wider housing and land use planning issues reflects and interacts with other influences such as the RDA and the RTS.

Issues

Similar to SEI's PTE case study above, the case study in this county council is ideally placed to meet the objectives identified above (see Fig 5, above). In developing their LTP2 the council will have to deal with a range of levels and types of government office. The way in which the LTP2 develops will depend largely on the interactions of these different bodies: the different structures, foci, relationships between and within these organisations will impact upon LTP2. Housing and transport integrated development strategy case study is related to the Barker Review which has allocated numbers for additional housing to authorities in response to a national programme to expand housing supply.

Following these interactions throughout the policymaking process will provide a strong contribution to Objectives 1 and 2, and is likely to provide a contribution to 3:

- By following the development of the council's LTP2 the case study will highlight the structural relationships (and existence of barriers) between different local authority departments, organisations and duties (objectives 2.1 and 2.3). The study will also highlight ingrained cultural barriers between different departments, and indicate how the use of different terminologies and 'languages' can often be a significant barrier to successful interaction (objective 2.2).
- LTP2 requires the interaction with external transport providers, the council case study will also be able to highlight any barriers that occur between local authority officers and these providers (objective 1.1)
- LTP2 will involve interaction with those providing indirect transport solutions (e.g. those involved with housing and land use), and local authority officers. Any problems occurring during these interactions will provide an understanding of barriers that exist (objective 1.2).
- In the LTP2 process, models, tools and indicators will be used. By following the train of events of LTP2, any barriers that exist to the successful use/development of these can be identified (objectives 3.1, 3.2, and 3.3).
- It is anticipated that as the LTP2 is developed there will be interactions with both elected members and the public (although such interactions will become more obvious as the LTP2 policymaking process develops). As and when these occur any barriers that exist in this regard will be identified (objectives 2.3 and 1.4).
- We will look at the barriers between strategy formulation and scheme delivery on the ground, including issues of connected thinking and joined up working practices – focussing upon triggers for decisions (objectives 1 & 2).
- The issues that we intend to look into further include how the transport and land-use departments collaborate with themselves and with other layers of delivery - 'down' to districts and 'up' to regional level (objectives 2.1, 2.2, 1.1. and 1.3), and
- how land-use planning indicators have been developed to identify sites, plan and allocate sites for housing development, and monitor the impact of schemes (taking a life-cycle approach) (in combination with Project C), including issues of where targets have originated and how/why they have changed over time (political negotiation etc.) picking up issues highlighted in the survey (objectives 1.4, 2.3 and 3.3)

Comparator data for the county will come from a metropolitan PTE, as an organisation that holds a position *within the decision making process* similar to that of a county council.

In short, by following the progression of the county's LTP2, and by mapping the roles of those involved (using network analysis), the barriers that exist can be identified, and solutions to overcome them suggested. This case study will also facilitate LA officers by integrating the implementation and growth of housing targets with the transport planning role of the County Council, and by bringing together the sustainability roles of both the planning and transport 'sides'.

The County Council's Special Projects Officer has been contacted to ensure that this is relevant to their needs and that no problems are envisaged at this stage for the relevant access to meetings and documentation.

6. Analysis of Project D Results

The data will be analysed with reference to the structure of the different Project D objectives and expected results as explained below (*cf* this with the Objective Tree, Fig 4 above).

Objective 1: To understand barriers between local authority and PTE officers and external stakeholders and suggest ways in which these may be overcome

Result 1.1 Barriers between local authority officers and external transport providers better understood and ways of overcoming them suggested and tested

Result 1.2 Barriers to the provision of indirect transport solutions better understood and ways of overcoming them suggested and tested

Result 1.3 Barriers between local authorities and government departments better understood and ways to overcome them suggested.

Result 1.4 Barriers between council officers and the public better understood and ways to overcome them suggested

It is likely that all of the case studies will throw light on to the issues described in the results of Objective 1. Barriers with bus operators will clearly be covered in accessibility issues, in the development of LTP2, and of course in the development of the improved buses. Issues of local land use planning will be brought out in the analysis of housing issues.

Output The deliverables will include: a Report on the external process barriers encountered when following the different policy processes in our case studies; the understanding ('diagnosis') generated by our analysis; and the basic Network Map. This understanding will be checked and confirmed with our case study partners. We will also carry out a targeted review of similar barriers examined in the literature, with a focus on methods that have successfully overcome such external process barriers and report on the results of trying some of these methods with our Case Study Partners, should this prove of interest.

Objective 2: To understand, suggest, and test solutions to internal cultural and structural barriers in local authorities and PTEs throughout the policy cycle that will lead to more sustainable transport outcomes, land use decision making and implementation

Result 2.1 Internal cultural barriers and the role of different disciplinary approaches in transport planning better understood and ways of overcoming them suggested (and, if possible, tested)

Result 2.2 Internal structural barriers between local authority departments better understood and ways of overcoming them suggested (and, if possible, tested)

Result 2.3 Barriers of effective communication between local authority officers and elected members better understood and ways of overcoming them suggested and tested

All the laboratory case studies, and their comparators, are likely to throw up issues related to internal cultural and structural barriers in the development and implementation of the different policies. This activity will assess the data gathered using the methods outlined above for these internal barriers.

These will then be put into context through a targeted literature review related to internal cultural and structural barriers to decision making and assemble case studies of approaches which have successfully tackled and overcome these barriers. Through discussion with our case study Partners, some of these methods that have been successful elsewhere may be tried out, for example to tackle the barriers between local authority officers and elected members. Obviously, this depends upon the stage the Partners are at with regard to their particular policy processes and interest in applying the methods.

Output: The deliverables will include a Report on the internal cultural and structural barriers encountered when following the different policy processes in our case studies – this will also be represented as a new layer on the Network Map. We will also carry out a targeted review of similar barriers examined in the literature, with a focus on methods that have successfully overcome such barriers and report on the results of trying some of these methods with our Case Study Partners, should this prove of interest.

Objective 3: To increase communication between evidence-based and experience-based knowledge approaches

Result 3.1 Barriers between support tool users, tool output users, and tool developers better understood and ways to overcome them suggested and tested (if possible)

Result 3.2 Understand better the reasons for lack of resourcing and staffing of communication (soft) projects around decision making support tools

Result 3.3 Understand better the reasons for lack of trust in models and tools better understood and methods to overcome them suggested

The analysis in relation to this Objective will attempt to understand the barriers in relation to optimal use of those tools specifically designed to produce evidence-based data. In part this will become clear from following different policy processes, where indicators are used extensively and appraisal in some cases. There will be opportunities to investigate different actors' power and influence over choice of indicators, use of models and appraisal methods and this will shed further light on the barriers to the optimal use of these support tools.

Models are rarely being used (among our case studies), but there will be instances where it becomes clear that models could have enhanced a particular policy process, had they been available for use, and this can be documented and discussed with Project F representatives and Partners. It is also the intention to specifically assess the response of the local authorities to the improved models and other support tools that will derive from the DISTILLATE study. Interviews will be carried out post implementation of changes to make the models more closely aligned with users' needs to see whether this is sufficient to overcome reticence at using these support tools.

Output: The output will take the form of a report on, and rationales for, suggested methods of overcoming communication problems between evidence-based and experience-based approaches. Should any novel communication methods be tested these will also be reported upon.

Output deliverables

Formal Deliverable FD1a: process barriers report

Due April/May 2006. A brief report will be produced which highlights (in a generic, unascrbed way) the process barriers between actors *relevant to our chosen case studies*. These are barriers which may be addressed by different working (and management) practices.

Formal Deliverable FD1b: process barriers report update

Due Nov 2007. This report will be updated after Internal Deliverable Dk.

Formal Deliverable FD2 : structural barriers report

Due June/July 2006. A report will be produced which highlights (in a generic, unascrbed way) the structural barriers between actors. These are barriers which necessitate a structural change to 'the system' and, thus, are less likely to be barriers to which we can suggest and test solutions.

Formal delivery FD3: writeup of literature and data review

Due August 2007. This will be a formal writeup synthesizing the work which leads up to Deliverables Di and Dj below.

Formal Deliverable FD4: Final Report

Due end 2007. A complete and final report. The full report will revisit the issues raised in FD1a and 2 and report fully on the case studies, all contextualised upon the foundation of FD3.

Internal deliverables

NB. These deliverables will be provided in the first instance separately for **each** case study partner. Thus the internal deliverables will be of interest internally to the individual case study partners themselves and also should be of interest for **all** other DISTILLATE projects working with that DISTILLATE partner authority unless otherwise indicated.
All dates (except for the LFA) should be considered to be provisional.

Deliverable Da: report on links to project A

Completed

Deliverable Db: Logical Framework Analysis for Project D

Due May 2005. The LFA provides an explanation in a coherent and clear way – to partners and wider – the selection process, the areas of investigation, and the rationale for the methods used in project D and it also provides an internal structure for Project D to follow with case study partners.

Deliverable Dc: definitions of terms

Due ASAP and updated as required – a ‘living’ document. Project D will provide a list of terms and their (sometimes conflicting) definition as they are understood by us and as they are understood by the different actors in the policy process. This will be on VKP.

Deliverable Dd: Network map (one for each case study)

Due Nov/Dec 2005 (provisional). The ‘Network’ is the series of personal and interpersonal relationships between actors within the institutions (and at the meta level external to the institutional) and the knowledge that flows between these actors.

Deliverable De: Interim analysis of interviews and documentary sources

Due Dec 2005/Jan 2006. An analysis (‘diagnosis’) of the **causes** of the structural and process barriers arising in each case study authority.

Deliverable Df: Identification of targets for targeted literature and data review

Due March/April 2006. This deliverable is largely internal to Project D.

Deliverable Dg: New layer on Network Map

Due September 2006. A new layer on the network map will be presented which will identify the relationships of ‘power and influence’ – i.e. where pivotal decisions are made – and allow us to identify how these relationships are perceived differently by different actors.

Deliverable Dh: Analysis of New layer on Network Map and related data

Due Dec. 2006. This analysis will be related to the deliverable above and will also, hopefully be able to identify where decision support tools enhanced (or could have enhanced) the process and so this deliverable will be of particular interest to the ‘tools’ projects B, C, F and G.

Deliverable Di: Suggestions for novel methods of organisational good practice – institutional

Due Feb/March 2007. Arising from the targeted data and literature review we will suggest novel methods of institutional organisational practice to meet the internal needs of DISTILLATE partners

Deliverable Dj: Suggestions for novel methods of organisational good practice – process

Due March/April 2007. Arising from the targeted data and literature review we will suggest novel methods of organisational practice to meet the needs of DISTILLATE partners when dealing with external organisations.

Deliverable Dk: report(s) on testing of novel methods

Due Sept/Oct 2007. We will Report on the tests with the Partners of the novel methods suggested in the above two deliverables.

References

- Collins, H. & Evans, R. (2002) "The Third Wave: Studies of expertise and expertise" *Social Studies of Science* 32(2):235-96.
- Parsons, W. (1995) *Public Policy* (Cheltenham UK and Northampton MA: Edward Elgar).
- Zeller, R. (1993) "Focus group research on sensitive topics" in D.Morgan (ed) *Successful Focus Groups: advancing the state of the art* (Newbury Park CA, London and New Delhi: Sage): 167-183.