

**West Midlands Regional Transport
Prioritisation Framework**
Final Report

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1.0 Introduction

ECOTEC Research and Consulting Limited and Faber Maunsell were appointed in March 2005 to undertake a scoping study. The purpose of this was to develop a framework to aid the West Midlands region with the prioritisation of proposed transport schemes. The context for this work is the Government's intention, progressively, to devolve decision making on funding for regional transport, housing and economic development within a framework of regional funding allocations¹. This is intended to improve decision making and in particular to improve the integration between transport, housing and economic development policies. Following the release of indicative regional budgets in July 2005² the regions are required to submit advice to the Government by the end of January 2006 on their transport priorities for all major schemes to 2007- 08, as well as indicative longer term priorities to 2015-16. The advice on short-term priorities is being sought in particular as an input into Government policy development in advance of the 2006 Spending Review.

Following the completion of the initial scoping study, further work has now been undertaken to develop and refine the outline framework in line with the current Regional Spatial Strategy³ and the Regional Economic Strategy⁴. It is designed to provide a robust mechanism against which schemes can be tested to allow key decision makers to prioritise potential interventions. Over time it is anticipated that this framework will become a valuable tool in ensuring that transport priorities are aligned with regional strategies such as the Regional Spatial Strategy (RSS) and the Regional Economic Strategy (RES).

Building on the work that was undertaken as part of the initial scoping study, a number of issues have been debated and agreed by the Steering Group, working under the auspices of the region's Strategic Transport Implementation Group. Account has also been taken of feedback from two workshops with technical officers from potential promoter organisations.

In developing the methodology for the testing framework an indicative split has been made between the Regional/Sub-Regional funding pot and the Local funding pot, separating to some extent competition between larger and smaller schemes. For this initial round of advice local schemes are defined as those with a gross capital cost of £5m - £10m with all schemes above this threshold considered to be Regional/Sub-Regional, although the potential weaknesses of a purely cost based division are recognised. It is envisaged that

¹ Devolving decision making: A consultation on regional funding allocation. HM Treasury, DfT, ODPM and DTI December 2004

² Regional Funding Allocations- Guidance on Preparing Advice, HM Treasury, DfT, ODPM and DTI July 2005,

³ ODPM (June 2004), West Midlands Regional Spatial Strategy

⁴ Advantage West Midlands (January 2004), Delivering Advantage – West Midlands Economic Strategy and Action Plan 2004-2010

over time the process may move toward one that is based to a greater extent upon maximising the overall return on transport investment.

A template (see Annex 1) has been produced which promoters have been requested to complete. The purpose of the template, referred to as the RAST, is twofold. Firstly, it is designed to capture any gaps in information from schemes with an Annex E or Project Appraisal Report (PAR)⁵ submission. Secondly, it is designed to enable promoters of schemes without an Annex E or PAR to provide details of their best estimates, including the assumptions used in their development and the evidence to support the assumptions/assertions. Only schemes with an Annex E/PAR which has been audited by DfT will receive a firm recommendation for funding. However, the intention is that schemes which are not yet at this stage will be considered as potential longer term priorities. Any prioritisation of schemes without an agreed Annex E/PAR will necessarily be provisional. In practice it has emerged that few, if any, schemes without an Annex E are at the point where any realistic assessment can be made.

The remainder of this document is organised as follows:

- Section 2 provides an overview of the framework;
- Section 3 sets out the proposed Preliminary Sieve which – at least for the future – is intended to identify those schemes which are ready for assessment;
- Section 4 contains the framework for the assessment of contributions to policy objectives;
- Section 5 comprises the approach to the efficiency assessment;
- Section 6 incorporates the deliverability assessment;
- Section 7 deals with the process of combining the different elements of the framework.

⁵ The PAR is the key document which brings together the need for a project, its costs and benefits (including those that cannot be quantified in money terms) to aid the decision maker in judging the worth and priority of the project. The document provides a method for assessing the benefits against the Government's five objectives for transport (environment, safety, economy, accessibility and integration). The PAR should be reviewed and resubmitted at each key decision stage to provide a justification for the project's continued development and a historical record of the life of the project. The PAR also provides a source of data for the value management of projects and their prioritisation among competing projects. The PAR has been adopted by the Highways Agency Board as a mandatory process to ensure compliance with the HA's delegations from DTLR.

2.0 An Overview of the Revised Framework

Figure 2.1 overleaf sets out the framework in schematic form. At the top of the figure is the pool of transport projects for consideration. Beneath this is the appraisal process for each individual project, with an opportunity for iteration following each stage (shown by the thin dotted lines). The individual project appraisal informs the summary/ prioritisation decision-making process at the bottom. From this, the priority transport projects for regional support will be selected, with some projects potentially referred back to the top of the framework (shown by the thick dotted line).

In summary form, the main stages of the framework are:

2.1 Stage 1 - Preliminary Sieve

At the outset of the each appraisal individual projects will undergo a preliminary qualitative assessment. The process will effectively "sift" the projects that should be referred back to the promoter from those which can proceed through the detailed assessment. This process is intended to ensure that detailed work is focused on those projects which have some reasonable prospect of being recommended for funding.

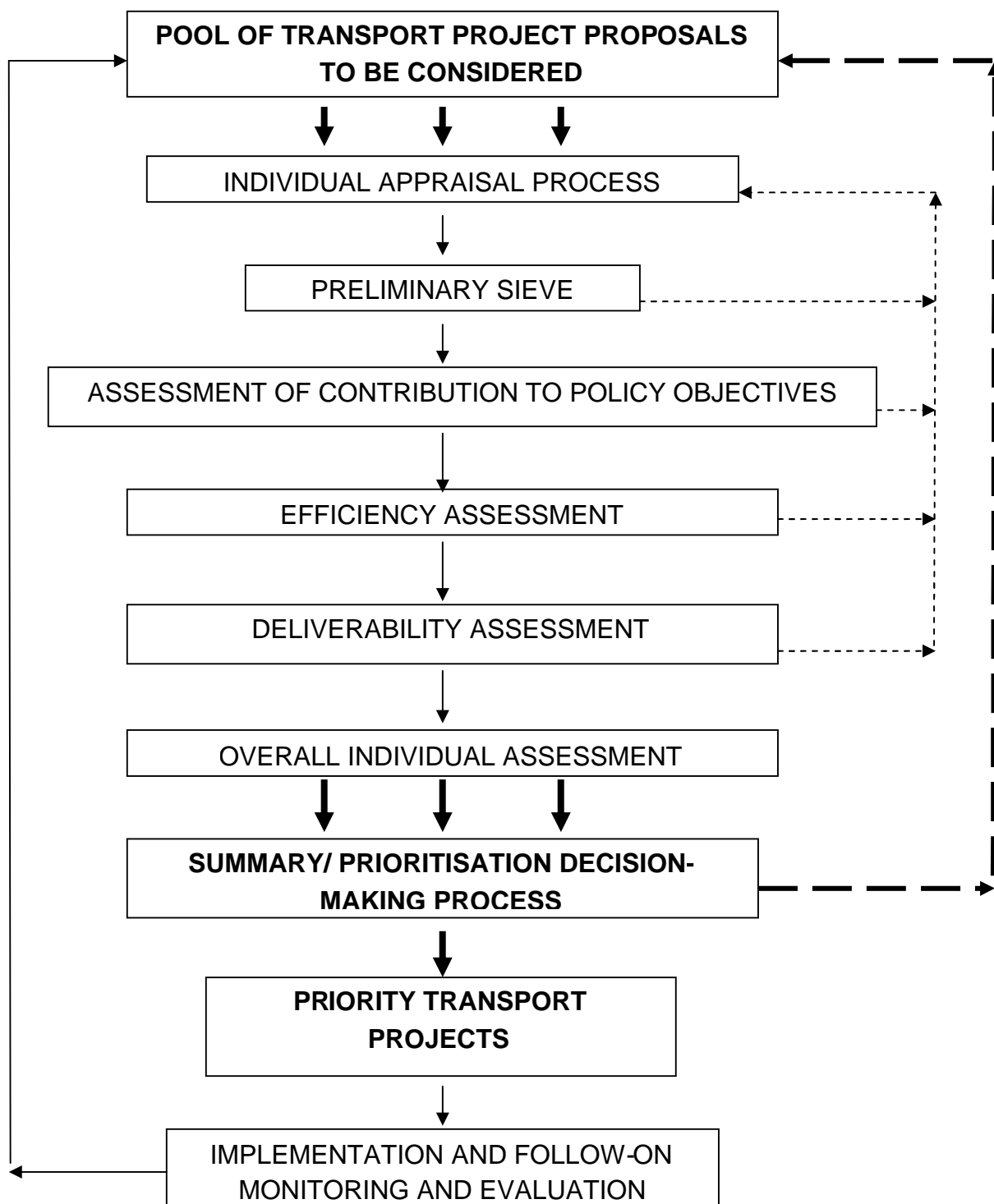
For the first year the projects to be tested will 'bypass' this process. An assessment will be made of an agreed list of schemes regardless of whether they have an Annex E or PAR assessment. To assist the process of assembling the necessary information a template - referred to as the RAST- has been developed on which the details required for the assessment are being assembled with the assistance of the promoters.

2.2 Stage 2 – Assessment of Contribution to the Region’s Policy Objectives

This stage of the framework involves an assessment of the extent to which the individual schemes contribute to regional objectives at different spatial levels, including:

- Overall Regional Objectives – for example, to support sustainable economic growth through developing the business base and enterprise and building on existing economic centres, and to ensure an adequate supply of housing for all groups, providing a mix of tenures and types and greater choice;

Figure 2.1: An Initial West Midlands Regional Prioritisation Framework Structure



- Regional Spatial Objectives – for example, in terms of contributing to a range of objectives for the Regeneration Zones, the High-Technology Corridors and/or the Major Urban Areas;
- Locally Set Objectives, potentially drawn from ‘adopted’ sub-regional/local policy documents such as Structure Plans, Local Plans, Community Strategies, etc. A set of generic criteria have been developed through which contributions to such objectives can be assessed.

In general terms the presumption is that major regional schemes will primarily contribute to - and be assessed against – Overall Regional and where relevant Regional Spatial Objectives whereas local schemes will be assessed primarily against Local Objectives. In some cases, of course, these will be the local counterparts of Regional Spatial Level Objectives – for example, contributing to accessibility or developments within a particular Regeneration Zone.

2.3 Stage 3 – Efficiency Assessment

The efficiency assessment is the process of verifying that value for money (VFM) is achieved by the proposed transport intervention. Projects will be assessed on four bases:

- Economic
- Social Equity
- Environment
- ‘Other’

Economic

The assessment is to be based on each intervention's central case Benefit to Cost Ratio (BCR). The BCRs are to be categorised as follows:

- Very High : BCR > 4
- High : BCR >3
- Good : BCR >2
- Moderate : BCR 1.5 - 2
- Limited : BCR < 1.5

In order to ensure consistency of approach verification procedures will be employed to take account of:

- Optimism Bias;
- Operating/Maintenance and Major Renewal Costs; and
- Appraisal Period.

Social Equity

The assessment aims to consider the extent to which schemes overcome specific problems of access to services, almost certainly via public transport, particularly for different social groups (for example, non car owners, jobseekers). The general approach, particularly for this year when detailed information on accessibility impacts is likely to be limited for many schemes, is to give a degree of preference to projects favouring low income /non -car available groups through adjustments to the BCR ratio to favour public transport projects.

A more detailed qualitative impact assessment of effects core accessibility indicators will be made where/when the necessary information is available. The indicators to be used (based on DfT Accessibility Planning Guidance) are:

- % of a) pupils of compulsory school age; b) pupils of compulsory school age in receipt of free school meals within 15 and 30 minutes of a primary school and 20 and 40 minutes of a secondary school by public transport;
- % of 16-19 year olds within 30 and 60 minutes of a further education establishment by public transport;
- % of a) people of working age; b) people in receipt of Jobseekers' Allowance within 20 and 40 minutes of work by public transport;
- % of a) households b) households without access to a car within 30 and 60 minutes of a hospital by public transport;
- % of a) households b) households without access to a car within 15 and 30 minutes of a GP by public transport; and,
- % of a) households; b) households without access to a car within 15 and 30 minutes of a major centre by public transport.

Environment

An overall assessment of environmental impact is to be made on the basis of nine sub-objectives:

- to reduce noise;
- to improve local air quality;
- to reduce greenhouse gases;
- to protect and enhance the landscape;
- to protect and enhance the townscape;
- to protect the heritage of historic resources;
- to support biodiversity;
- to protect the water environment; and
- to encourage physical fitness.

The assessment is to be converted to a summary 'score' taking account of any particularly serious environmental impacts.

'Other'

The general approach here is to pull together and provide an assessment of the potential impacts of schemes on any issues which may not be covered satisfactorily in other parts of the efficiency framework.

Sensitivity test results will be taken into account by assessing the extent of the sensitivity of the central case BCR and will be reported as a qualitative impact. In principle the BCR includes at least some of the potential impact on safety/accidents through the reduction (or increase) in highway accidents. However, personal security/safety issues may not be taken into account and an additional qualitative assessment will be made where relevant.

Other issues which may be repeated here will include impacts in terms of reducing problems of severance. This will also be a convenient point to highlight contributions to national, regional or local transport, economic and social objectives which may not be adequately taken into account elsewhere – such as helping to deliver the targets of Air Quality Management Plans. Such impacts will be reported separately within the framework in the overall individual assessment table (see Section 7).

Overall Efficiency Assessment

Schemes will be classified into an overall efficiency index as shown overleaf in Table 2.1

Table 2.1: Overall Value for Money Assessment Efficiency Index

Category	Entry Criteria		
Very High	BCR>4 Environmental Impact not -2 or -3	Or BCR 3-4 and (Year 1 only) a public transport scheme or particular impacts in terms of DfT accessibility indicators Environmental Impact ≥ 0	
High	BCR > 3 Environmental Impact not -2 or -3	Or BCR>4 and Environmental Impact -2 or -3	Or BCR 2 - 3 and (Year 1 only) a public transport scheme or particular impacts in terms of DfT accessibility indicators Environmental Impact ≥ 0
Good	BCR > 2 Environmental Impact not -2 or -3	Or BCR > 3 and Environmental Impact -2 or -3	Or BCR1.5 – 2 And (Year 1 only) a public transport scheme or particular impacts in terms of DfT accessibility indicators Environmental Impact ≥ 0
Moderate	BCR1.5 – 2 Environmental Impact not -2 or -3	Or BCR > 2 and Environmental Impact -2 or -3	Or BCR1 - 1.5 And (Year 1 only) a public transport scheme or particular impacts in terms of DfT accessibility indicators Environmental Impact ≥ 0
Limited	BCR <1.5	Or BCR > 1.5 – 2 and Environmental Impact -2 or -3	

2.4 Stage 4 Deliverability Assessment

The approach here will be to classify schemes on the basis of the following:

- Potential timescales for delivery; and,

- Level of associated risk.

Schemes will be assessed against a number of deliverability constraints, such as availability of land and the status of the scheme in relation to statutory documents such as Local Plans/LDF/UDPs and RSS, to take account of the timescale and risk. They will be categorised under the following:

Short term (0-3 years)

- high risk – apparently unresolved obstacles to delivery
- medium risk - some obstacles to delivery but deemed to be resolvable
- low risk – no significant unresolved obstacles to delivery other than DfT funding.

Medium Term (3-10 years)

- high risk – substantial unaddressed/unresolved risks
- medium risk - some obstacles to delivery but deemed to be resolvable
- low risk – clear programme with milestones to address all remaining obstacles to delivery.

Long Term (10+ years, i.e. beyond the timescale of the currently sought advice)

- high risk – substantive opposition and/or major process risks
- medium risk - some obstacles to delivery but deemed to be resolvable
- low risk – no substantive opposition and credible plans to deal with all major delivery risks.

2.5 Stage 5 - Overall Assessment

The overall assessment pulls together the objectives analysis, the efficiency assessment and the delivery aspects for each individual project appraisal. In general terms priorities over different timescales are expected to be set on the basis of a combination of:

- The extent of the contribution to Overall Regional and Regional Spatial or – in the case of smaller schemes – Local Objectives and value for money aspects on the one hand; and,
- The assessment of delivery obstacles and risks.

A scheme for banding the combination of contribution to objectives and value for money aspects has been developed and is included in Section 7. This is to be accompanied by the deliverability assessment and qualitative observations as relevant. The assessment

will provide guidance to the decision makers, whilst still providing scope for the exercise of judgement and negotiation.

2.6 Stage 6 – Summary and Prioritisation

This stage is concerned with summarising and prioritising projects. The suggested approach within the framework is:

The emerging priorities for the short, medium and long term will be drawn together in summary form:

- An overall assessment will be made of whether the emerging packages:
 - reasonably reflect the framework of the region's objectives;
 - involve a reasonable balance in terms of types and sizes of scheme;
 - are reasonably equitable as between different parts of the region.
- Issues emerging from this review will be highlighted to the decision maker(s) to inform the detailed negotiations.

At this stage we have not thought through this process any further since it will only become clear whether/how far adjustments are indicated once the framework has been applied to the full list of competing schemes.

2.7 Monitoring and Evaluation

Equally important for the long term, a process for the monitoring and evaluation of the framework will need to be developed and applied. This will focus on :

- Evaluating the process to determine how it has performed and identifying the lessons to be learned;
- Monitoring and evaluation of completed schemes which were recommended for funding to assess how far they have achieved their expected/claimed results;
- Monitoring the subsequent development process for/progress of schemes which were referred back to the promoter

At this stage we have not sought to develop this any further and envisage that it will evolve as the process moves forward and it becomes clearer what the emerging issues are.

3.0 Stage 1 – Preliminary Sieve

3.1 Introduction

At the outset of the appraisal process each individual project will undergo a preliminary qualitative assessment. The general purpose of this assessment is to “sift” those interventions that should be referred back to the promoter from those which can proceed to detailed assessment. Interventions that are rejected at this stage may be referred back for further development work. This section sets out the process for the preliminary sieve. A proforma has been developed to guide the assessment.

However, for this year rather than applying a preliminary filter, it has been agreed that an assessment will be made of an agreed list of schemes regardless of whether these have Annex E or PAR assessments. To assist the assessment each project sponsor will be expected to submit a Regional Appraisal Summary Table (RAST) in addition to the Annex E or PAR document. The purpose of the RAST, (see Annex 1) will be to ensure that information required from the promoters is collated and that any potential gaps in information are dealt with. A key element of this exercise will be to ensure that schemes that do not have an Annex E or PAR submission will be able to submit details for the scheme(s) based on their best estimates. This method will ensure that a robust assessment of all schemes, including non Annex E and non PAR projects, is undertaken as part of the provisional longer term prioritisation process.

3.2 Preliminary Sift Process

The following section sets out the process that is normally envisaged in the preliminary sift:

3.2.1 Front Page

Information required on the first page of the template and the appraisal form (see Figure 3.1) principally relates to the administrative and monitoring function, and will store background information to enable the appraiser (s) to track each application through the Framework.

This will contain information on:

- The step reached in the appraisal process;

- Administrative information on the date of the application, the unique reference number, the application version (to reflect iterations in the process), the type of application and the spatial area covered by the intervention;
- Scheme details, in terms of the title of the project and promoter;
- Contact details for the applicant;
- Details of the funding sought (in summary);
- Details of the appraiser;
- Details of the appraisal; and
- Comments boxes, to be completed by the appraiser.

Figure 3.1: Preliminary Sieve Document

Decision Tracker (drop-down box)	
	Rejected
	Passed Preliminary Sift - Further Development Work Required
	Initial Appraisal Undertaken - Further Development Work Required
	Appraisal Completed - Awaiting Decision
	Decision - Approved, Approved in Principle, Referred Back, Rejected
BACKGROUND INFORMATION	
Date Application Received	
Unique Reference Number	
Version of Application	
Type of Application (drop-down box)	Proposed for Investigation
	Outline Investigation/ Application
	Further Appraisal Work Required
	Committed/ Further Appraisal Work Required
	Annex E or PAR
	Committed
	Currently Underway/ Completed
Area covered by application (drop-down box)	List Details:
SCHEME DETAILS	
Title	
Promoter	

Decision Tracker (drop-down box)	
CONTACT DETAILS FOR APPLICANT	
Name	
Telephone	
E-mail	
FUNDING DETAILS	
Total Scheme Cost	Indicative or Fully Costed
Total Public Sector Funding Requirement	Indicative or Fully Costed
Contribution Sought from West Midlands Regional Government	Indicative or Fully Costed
Other Funders	List Details:
Local or Regional/Sub Regional Pot (drop-down box)	Local or Regional/Sub Regional
DETAILS OF APPRAISER	
Name	
Telephone	
E-mail	
DETAILS OF APPRAISAL	
Date of Appraisal	
Checked by	
COMMENTS BOX	
Comment 1	
Comment 2	
Comment 3	
Comment 4	
Comment 5	

3.3 Preliminary Sieve

Figure 3.2 overleaf presents a structure for the remainder of the preliminary sieve. As indicated, its purpose is to ensure that detailed work is focussed on those projects which have some reasonable prospect of being recommended for funding.

In this section the promoter will be required to provide information on the proposed intervention against which the appraiser(s) will provide a qualitative assessment in the box against each criteria. This process will determine whether any schemes need to be referred back to the promoter for additional information or for further development work.

3.3.1 Stage One

A qualitative assessment will establish the details of the transport problem and proposed intervention problem and will be based upon the following:

- A description of the problem that the intervention addresses;
- A description of the proposed intervention;
- A description of the anticipated outcomes as a result of the proposed intervention.

3.3.2 Stage Two

This stage will establish information on the objectives of the proposed schemes, constraints to delivery, the level of funding sought and the consideration of alternative options. An assessment will be made against each of the following criteria:

- An assessment of the scheme's objectives and whether these objectives are SMART;
- An assessment to determine whether any alternative options have been considered and whether there is an alternative option to the proposed scheme which may still deliver the same outcomes;
- An assessment of whether a similar scheme has been implemented in the past and the outcomes achieved from this;
- An assessment of the promoter's track record in delivering similar schemes and any constraints that may impact upon the scheme's delivery;
- An assessment of whether the scheme is compatible with policy aspirations and objectives;
- An assessment of the consequences of not taking any action based on a "do doing" scenario;
- Identification of any risks and obstacles to the scheme;

- Identification of any significant constraints to the scheme to justify a rejection of the scheme at the preliminary sieve stage.

3.3.3 Stage Three

Stage 3 invites the promoter to demonstrate how the proposed scheme contributes to Overall Regional, Regional Spatial and Local Policy Objectives.

3.3.4 Stage Four

Promoters for schemes without an Annex E or PAR will be requested to submit "best estimate" details using the key elements of the efficiency and deliverability parts of the prioritisation framework. This will require details of:

- the promoter's best estimates of the extent to which VFM is likely to be achieved through the proposed intervention based on the themes of economic, social equity, environment and 'other', including the robust identification and application of assumptions; and
- the scheme's deliverability and any likely constraints.

3.3.5 Stage Five

The final stage of the process will set out the conclusions of the preliminary sift on whether the scheme (s) should be approved, to undergo the next stage in framework process; to be referred back to the promoter for further information; referred back to the promoter with development funding; or rejected.

Figure 3.2: Preliminary Sieve

DETAILS OF PROBLEM AND PROPOSED INTERVENTION	
	Qualitative Comments
Does the proposal describe the problem that the intervention addresses	
Does the proposal describe the proposed intervention	
Does the proposal describe the anticipated outcomes as a result of the proposed intervention	
ASSESSMENT CRITERIA	
Does the scheme have clear, preferably SMART objectives and is it well thought through?	

DETAILS OF PROBLEM AND PROPOSED INTERVENTION	
Have alternative options been considered to address problem?	
Is there potentially a better way (including non-transport solutions) of achieving the outcomes described above?	
Has a similar intervention be implemented in past and achieved the desired outcomes?	
Does the promoter have a successful track record of delivering similar schemes?	
Are there any constraints towards the delivery of the scheme?	
Is the scheme compatible with policy aspirations?	
What will be the consequences of not taking action? (the do-doing scenario)?	
Are there any significant show-stoppers to justify rejection now (e.g. unacceptable direct and indirect impacts)? What are the risks and Obstacles to the scheme?	
Are there any significant constraints to delivery to justify rejection now?	
What is the funding sought as a proportion of the funding available?	
OVERALL REGIONAL, REGIONAL SPATIAL AND LOCAL POLICY OBJECTIVES	
How/how far does the scheme contribute to Overall Regional, Regional Spatial and/or Local Policy Objectives.	
NON ANNEX E AND OUTLINE PAR SCHEMES	
Has the sponsor submitted the required Supplementary Information and is this sufficiently completed:	
<p>Efficiency Assessment:</p> <ol style="list-style-type: none"> 1. Has the promoter demonstrated how the intervention provides VFM. What is the BCR; 2. Has the promoter demonstrated if/how the intervention seeks to provide benefits to vulnerable, non car owners and socially deprived groups; 3. Has the promoter demonstrated the direct and indirect impacts of the intervention on the environment – probably in the form of an AST 	
<p>Deliverability Assessment:</p> <ol style="list-style-type: none"> 1. Has the promoter demonstrated the feasibility of the proposed intervention; 2. Has the promoter developed or implemented a best practice procurement strategy 3. Has the proposed intervention received commitment from partners 	

DETAILS OF PROBLEM AND PROPOSED INTERVENTION	
OVERALL ASSESSMENT	
DECISION (drop-down box)	Passed Preliminary Sift
	Referred back to promoter for further information
	Referred back to promoter with development funding
	Other

3.4 Regional Appraisal Summary Table (RAST)

As indicated, in order to capture all the information required to undertake the full assessment of schemes in the current round, a template has been produced and has been referred to as the RAST (Annex 1). A key element of this template will be to ensure that promoters of proposed schemes without an Annex E or PAR will be able to submit details of their best estimates. However, it will also ensure that there are no gaps in information required to undertake the assessment and all promoters have the opportunity to elaborate on any scheme details. The template will also provide a checklist for the appraiser when undertaking the preliminary sift.

The RAST contains five sections which largely correspond to the overall framework.

- 1 Section A and B of the RAST requests the promoters of schemes to provide background information relating to the scheme, including a description of:
 - the proposed intervention;
 - the current problems;
 - the anticipated outcomes as a result of proposed intervention;
 - evidence of the promoter's track record of implementing other schemes;
 - details of the alternative options considered;
 - an outline of the consequences should any action not be taken; and
 - evidence of similar interventions carried out elsewhere.

- 2 All scheme promoters will be required to complete Section C and requests details of how the scheme will contribute to:

- Overall Regional Objectives;
- Regional Spatial Objectives; and,
- Local Objectives.

3 Section D and E of the RAST will need to be completed by promoters where a scheme an Annex E or PAR assessment is not available. This will ensure that an efficiency and deliverability assessment of the proposed intervention can be undertaken.

Section D requests the promoter to verify how the scheme achieves value for money. In order to undertake the efficiency assessment the promoter will need to provide evidence that the following elements/indicators have been accurately identified in the development of the BCR:

Economic Theme

- Benefit/cost ratio
- Optimism Bias uplift
- Appraisal period Operating/Maintenance Costs
- Sensitivity Testing

Social Equity Theme

- Access to Schools
- Access to Further Education
- Access to Work
- Access to Hospitals
- Access to GPs
- Access to major Centres

Environment

- Reduction in noise
- Improvements in air quality
- Reduction in greenhouse gases
- Protection and enhancement of the landscape
- Protection and enhancement of the townscape
- Protection of the heritage of the historic environment
- Encourage physical fitness

- 4 Section E of the RAST requires the promoter to provide information to support the scheme's deliverability assessment. The promoter will need to provide evidence on the following:

Feasibility

- Intervention is technically feasible
- All necessary legal powers
- Detailed costings
- Detailed work programme
- Risk assessment and acceptable level of contingency
- Labour availability
- Feasibility of the delivery period
- Funding dependability
- Land availability

Effectiveness

- Procurement Strategy

Acceptability

- Commitment of Partners
- Wide Institutional Support

4.0 Stage 2 – Assessment of Contribution to Policy Objectives

4.1 Introduction

This section sets out the Strategic Policy Contribution section of the framework. It begins by outlining the process by which the policy objectives have been identified. It then presents the objectives, their associated assessment criteria and sets out how this part of the framework is to be used.

4.2 The Approach to Identifying Policy Objectives

The objectives were selected primarily from a review of five key regional strategies for the West Midlands: the Regional Spatial Strategy (RSS) (incorporating the Regional Transport Strategy (RTS))⁶, the Regional Economic Strategy⁷, the 2003 Regional Housing Strategy⁸ and issues paper for the forthcoming 2005 version⁹, the Regional Sustainable Development Framework¹⁰ and the Regional Transport Delivery Plan¹¹. Collectively these strategies provide the strategic articulation of regional policy in the West Midlands which sets the context for the assessment of the contribution of transport interventions to regional objectives. The other key policy document which was reviewed was the West Midlands Regional Skills Partnership Strategy¹², although the view which has been taken is that the specific relationship of transport interventions to objectives in relation to skills will be fairly limited.

Of course, the region also has a number of other regional strategies, for example for energy and waste but the linkages between transport interventions and their objectives are considered to be adequately picked up in the main regional strategies. Nevertheless provision is made in the framework to identify to decision makers scheme specific contributions to wider regional objectives in these or other areas which are identified by promoters.

⁶ ODPM (June 2004), West Midlands Regional Spatial Strategy.

⁷ Advantage West Midlands (January 2004), Delivering Advantage – West Midlands Economic Strategy and Action Plan 2004-2010

⁸ West Midlands Local Government Association (July 2003), Towards a Regional Housing Strategy for the West Midlands

⁹ West Midlands Regional Assembly (January 2005), The West Midlands Regional Housing Strategy Issues Paper

¹⁰ West Midlands Regional and Sustainability West Midlands (January 2005), A sustainable Future for the West Midlands – A Regional Sustainable Framework

¹¹ West Midlands Regional Assembly (March 2005), The Region's Transport Delivery Plan

¹² The West Midlands Regional Skills Partnership Introduction and Priorities 2005

Annex 2 presents the Overall Regional and the Regional Spatial Objectives as extracted from the five strategies. The objectives presented are not verbatim and there was an element of professional judgement in identifying the key objectives of each strategy. The Overall Regional Objectives are objectives that apply across the West Midlands irrespective of geography. The Regional Spatial Objectives are sub-regional expressions of regional objectives. In other words, they are regional objectives that relate to specific part(s) of the region – for example the Major Urban Areas (MUAs).

For the purposes of the prioritisation process, the objectives have a variety of limitations:

- A number are rather general aims which lack specificity;
- Some clearly overlap;
- They include a mix of ends and means;
- The influence of transport on some of the objectives is questionable.

Most importantly, however, in themselves most of the non-transport objectives provide little guide to the types of transport projects which need to be prioritised if the objectives are to be realised. To tackle these limitations the approach has been to ‘stand back’ from the detail and:

- Rework the objectives into a more coherent summary form under a set of broad themes;
- Develop a set of broad assessment criteria for each theme based upon what is believed to be the causal chain through which transport changes potentially impact on their objectives.

It was decided at the outset that the framework should be objective rather than policy led and that it should contain one coherent set of objectives, rather than present the objectives for each strategy. In establishing the single set of objectives, it was also decided not to weight different objectives either by policy theme or by strategy (for example giving extra weight to the objectives of the RSS).

Consideration was also given to including national objectives within the policy contributions part of the framework. However, the view taken is that national transport objectives will mostly be adequately captured through the policy contribution and efficiency parts of the framework. The extent to which future transport interventions in the West Midlands may

contribute to non-transport national objectives has been captured, at least in part, through assessment criteria at the regional level (e.g. appraisal against the assessment criteria of whether the proposed intervention will involve improvement in strategic road links in the West Midlands to major business centres outside the region, or major ports, or Birmingham International Airport and other major international airports). However, to the extent that promoters identify contributions from their schemes to national transport or non-transport objectives which are not considered to be adequately reflected in the assessment framework, these can be drawn to the decision maker's attention in the separate section provided for the purpose.

Local schemes clearly need to be judged to a greater extent against more local objectives. The problems here are ones of both practicality – how to develop a framework which takes account of the multiplicity of local strategies within the region – and dealing with the risk that strategies may be – or may come to be – framed to provide a supporting justification for locally promoted projects.

Our original suggestion – that it should be left to promoters to show how local schemes contribute to local objectives – did not find favour with the Steering Group. In the revised framework we have therefore developed a set of generic criteria through which potential contributions to key policy themes at local level can be assessed. Utilising this framework will require the appraisal team to apply significant elements of judgement about the relevance and significance of the themes and criteria to the locality concerned, as well as in relation to the strength of the linkages involved.

4.3 The Policy Objectives

Table 4.1 below sets out the specific region level transport objectives extracted from the five key documents. The view taken here is that these will be adequately picked up within the efficiency part of the framework, so they have not been included within the presentation of the objectives in order to avoid double counting.

Table 4.1: Transport Objectives

Maintain and improve overall accessibility by all modes
Improve the overall performance and reliability of the highway, rail and public transport networks and tackle problems of congestion
Support the development of high quality, accessible and affordable public transport networks across the region
Promote sustainable transport choices to promote healthier lifestyle decisions

Maintain and improve overall accessibility by all modes

Reduce the demand for private car-based travel

Promote the development of a fully integrated multi-modal system

Table 4.2 sets out the region's environmental objectives as extracted from the strategy documents. These were originally excluded from the objectives framework on the grounds that they are included within the efficiency analysis and their inclusion here would therefore again lead to double counting. However, an argument for their inclusion was made by some participants at the first Workshop and this was agreed by the Steering Group.

Table 4.2: Environmental Objectives

Value, enhance, protect and respect the region's environmental assets (natural, built, historic and heritage) and promote high standards in the environment

Minimise the impact of development and transport on the environment

Value, protect and enhance the biodiversity of the region

Reduce energy use, pollution, generation of waste and the unsustainable use of natural resources; improve the efficiency of current use; and promote the use of more sustainable sources

Minimise the region's contribution to climate change and ensure that it meets or exceeds its responsibilities in addressing national and international obligations

There are clearly issues about how the contribution to these objectives is to be assessed in practice:

- The first is vague and is presumably reflected in the NATA environmental assessment;
- The second and third are directly carried through into the NATA environmental sub-criteria;
- The fourth is to a large extent a duplication of the third.

The agreed approach is to use the score from the NATA environmental assessment in relation to effects on greenhouse gas emissions as the score for contributions to environmental objectives – on the grounds that this appears to be their major thrust¹³. The importance which will then be given to this criterion suggests that particular attention ought then to be paid to the consistency and basis of the assessment in the AST and how this takes account of the scale of the spend involved. Ideally, we would need some measure such as m tonnes of CO₂ reductions per £1m of spend but assembling this information is unrealistic given the timetable.

It has been agreed the assessment criteria for local schemes should be a combination of a scheme's:

- Potential contribution to reducing energy consumption/greenhouse gas emissions, as above; and its,
- Effects in reducing traffic where this is having severe adverse impacts on urban or rural communities.

Table 4.3 overleaf sets out the remaining Overall Region level non-transport objectives along with the suggested assessment criteria organised by four themes (Economic, Social, Spatial Planning and Housing). For ease of presentation the tables exclude the two columns to the right of the assessment criteria column that feature as part of the framework - namely a column for scoring against the assessment criteria, and a column for qualitative comments. The assessment process and its presentation is dealt with in 4.4 below.

Jobs to be created are to be used as a criterion under the economic theme only where there is an Economic Impact Report (EIR) which appears to have at least a measure of acceptance by DfT. Otherwise, the suggested assessment criteria in Table 4.3 are intermediate transport objectives rather than final objectives such as jobs. This reflects the problems in securing comparable, objective analyses of likely outcomes in terms of

¹³ There is an issue here that though both the Contribution to Policy Objectives assessment and the NATA are seven point scores they have a somewhat different Structure. The following conversion is proposed:

NATA	CONTRIBUTION OF ENVIRONMENT TO POLICY OBJECTIVES
Large Positive	Major Contribution
Moderate Positive	Significant Contribution
Slight Positive	Limited Contribution
Neutral	No Significant Contribution
All Adverse	Negative Impact

employment. Assessing impacts in terms of outcomes such as the generation of higher value added activities is regarded as unrealistic.

The objective 'Strategic Importance to Adjoining Regions' is included under the economic theme. This is important, given that schemes may come forward in the West Midlands that will also deliver benefits to other regions. Two assessment criteria need to be used for this objective: whether the scheme under consideration will deliver significant improvements to the strategic transport network in the West Midlands (as defined in the RTS); and the individual case made by the other region(s) concerned¹⁴. The logic is that this opportunity will be reciprocated to allow the West Midlands to make its case to other regions as part of similar exercises.

Table 4.3: Overall Regional Economic, Social, Spatial Planning and Housing Objectives and Associated Assessment Criteria

Theme	Summary Objectives	Assessment Criteria (Intervention supports/ achieves....)
Economic	Support sustainable economic growth – developing the business base and enterprise, building on existing economic centres Increase international engagement through exporting goods, services and attracting inward investment Support the knowledge economy and the development of higher value added activities and jobs Develop the RES priority clusters Support the modernisation of the manufacturing base Support the development of the visitor economy	Jobs created – only if there is an EIR with a measure of acceptance by DfT AND/OR ¹ Improvements in accessibility to ² : Major business centres outside region (taken to be London, Bristol, Cardiff, Manchester, Leeds, Nottingham) ³ Major ports (Southampton, Dover, Hull, Harwich) ⁴ Birmingham and other major international Airports (Heathrow, Stansted, Manchester, East Midlands) ⁵
		Significant improvements in accessibility from the region's business centres to the region's strategic road network (Motorways/Trunk Roads) ⁶
		Significant improvements in the region's strategic rail links to business centres outside the region ⁷
		Significant developments to the region's rail freight network ⁸
		Improvements in access to labour within and outside of region ⁹
	Strategic Importance to economy of adjoining region(s)	It is for the region concerned to make out the case that the improvement is

¹⁴ Double counting with the other economic assessment criteria in relation to this aspect is to be precluded.

		strategically significant. The significance to the West Midlands and the other region(s) are to be considered together (in effect additively) in making the overall assessment of the contribution to the economic theme ¹⁰ .
Social	Improve access to education, health, training and other services – in particular reducing inequalities in access to provision	} Should be captured in transport efficiency assessment and sub-regional social objectives in relation to deprived areas below
Spatial Planning	Promote the creation of thriving, balanced and stable communities with clear, pleasant and vibrant living environments Secure more sustainable patterns of development more generally and reduce the need to travel Promote the reuse of brownfield land and optimise the use of existing buildings and infrastructure	Removal of constraints on the development of a better balance of population and employment within communities Removal of constraints on the redevelopment of major areas of unused or underused sites and premises ¹¹
Housing	Ensure an adequate supply of housing for all groups, providing a mix of tenures and types and greater choice	Removal of transport constraints on bringing forward the necessary housing land allocations ¹²
	Support improvements in the supply and condition of affordable housing	

Footnotes to Table 4.3:

¹ If jobs created is available and is used as a significant factor in the assessment then the assessment will need to ensure that the other criteria are considered only to the extent that they will generate contributions to regional objectives which are not considered to be captured in the jobs figures

² To be measured in terms of absolute and % time savings. Final guidance manual to include an indication of thresholds to be applied in judging significance. Figures to be provided by promoter from traffic model

³ Chosen to provide a reasonable geographical spread of relevant destinations, not to be exhaustive. London to be taken as M25 for this purpose.

⁴ Again chosen to provide a reasonable geographical spread

⁵ Again chosen to provide a reasonable geographical spread

⁶ To be measured in terms of absolute and % time savings in peak and off-peak drive times to a relevant Motorway or Trunk Road. In the case of areas near to the periphery of the region this may be outside the West Midlands. Again, final guidance manual to provide an indication of thresholds to be applied in judging significance. Promoter to provide based on traffic model

⁷ Taken again to be London, Bristol, Cardiff, Manchester, Leeds and Nottingham

⁸ To be judged in terms of whether the intervention opens the way for new services to significant industrial areas within the West Midlands or adds significantly to the capacity of existing services.

⁹ To be judged on basis of increase in population within particular travel times by road or public transport in peak periods to one of the region's major business centres. Significance to be assessed on the basis of a combination of the extent of the catchment area changes relative to the size of the centre concerned and the

extent to which there is evidence of an existing or prospective labour supply constraint. As a general indication a travel time threshold of 1 hour is envisaged.

10 To be assessed in terms of either :

- Unlocking employment creation in areas with a substantial or prospective deficit of employment relative to economically active population. To be assessed on the basis of potential scale of the employment land unlocked for development and/or the potential significance of the contribution of the scheme to bringing about employment growth in the land unlocked, or more generally. Double counting with the economic assessment is to be avoided in the formal scoring, although in these circumstances contributions can still be identified in the qualitative observations.
- Unlocking potential for housing development in areas with a substantial employment surplus. Again double counting with scoring against spatial criteria to be avoided but particular contributions here can still be identified in the qualitative observations.

11 To be assessed on the basis of :

- Areas of brownfield land opened up for development (ha), areas of underused land (ha) benefiting from substantially improved access and sqm of unoccupied premises benefiting from substantially improved access; and,
- Assessment of the contribution of the intervention to securing the development
- Again, formal contributions to scoring are to avoid double counting with Economic theme assessment.

12 To be measured in terms of areas of housing land opened up for potential development.

Table 4.4 sets out the Regional Spatial Objectives along with suggested assessment criteria based on a similar approach. Where schemes achieve scores against the regional criteria the approach here is to seek to identify only contributions to specific priority areas which will have benefits which can be considered to be additional to the contributions to Overall Regional Objectives.

A number of the Regional Spatial Objectives are asterisked. This indicates that no separate assessment against these is envisaged on the grounds that the effect of their inclusion with specific assessment criteria and scoring would simply be to bias investment choices in ways which were probably not envisaged when the objectives were agreed. However, contributions against these objectives are to be noted in the qualitative element of the assessment. There are also other instances where care will be needed in actual analyses to ensure no 'double counting' of what are essentially the same aspects of a scheme – for example, removing constraints on the development of a major brownfield site and contributing to the regeneration of the MUA or RZ within which it is located. However, these different aspects can again be highlighted in the qualitative assessment.

Table 4.4: Regional Spatial Objectives

Theme	Summary Objectives	Assessment Criteria (Intervention supports/ achieves...)
Economic	<p>Support the role of Birmingham as a World City*</p> <p>Provision of high quality sites and buildings to meet regional needs</p> <p>Support focus of economic growth in MUAs and other designated areas for change, linking areas of opportunity with areas of need</p> <p>Support the development of the Regeneration Zones</p> <p>Support the developing role of the high technology corridors</p> <p>Support the diversification and modernisation of the rural economy through appropriate development</p>	<p>Strategically important to economic development objectives/regeneration specifically in relation to:</p> <ul style="list-style-type: none"> an MUA a RZ a high-technology corridor rural areas (in particular market towns) a major investment site/development of regional significance {for areas where there will be overlap e.g. in relation to the MUAs, the criteria above are alternative not additions to public transport accessibility criterion below to avoid double counting, although again qualitative contributions are still to be highlighted)¹
Social	<p>Improve access to and quality of services in MUAs*</p> <p>Provide a comprehensive network of public transport in the MUAs*</p> <p>Tackle poverty and disadvantage, particularly those suffering from multiple deprivation</p>	<p>Significant improvements in public transport accessibility benefiting wards in the 20% most deprived nationally based up IMD²</p>
Spatial Planning	<p>Promoting an urban renaissance in the MUAs to address decentralisation of people, jobs and other activities</p> <p>Promote development of specific roles of sub-regional centres</p>	<p>MUAs should be adequately covered above.</p> <p>Strategically important to support specific form of development of centres outside the MUAs, in particular Hereford, Rugby, Shrewsbury, Telford and Worcester³.</p>
Housing	<p>Provision of high quality housing in MUAs and support for targeted action where the market is weak</p> <p>Provision of housing in centres outside the MUAs</p> <p>Support housing development in rural areas, including affordable housing where this is necessary to meet needs, retain population and support local services</p>	<p>Covered by regional level criteria/assessment – which will necessarily be assessed at sub-regional level. Qualitative observations to be added on the significance of the housing developments involved in regional/sub-regional terms⁴</p>

Footnotes to Table 4.4

1 If there is an EIR with a measure of acceptance by DfT the jobs figure from this is to be considered. Otherwise contributions are to be assessed in terms of :

- Ha of potential employment land in MUAs, RZs, high technology corridors or market towns unlocked for development;
- Extent of accessibility improvements affecting such priority areas;
- Any specific linkages created between areas of projected development and areas with rates of unemployment more than 50% above the regional average
- Whether intervention fairly directly serves a major investment site/development of regional significance.

2 Significance to be judged on basis of :

- Changes in relevant populations brought within 30 minutes journey time of a substantial area of employment opportunities
- DfT accessibility indicators as set out in Section 5 below where available.

3 Double counting with the economic assessment to be avoided and it is not generally expected that projects will also score here.

4 To be judged on the basis of the extent of the accessibility improvements involved and evidence/judgements on their potential significance to the development concerned.

Table 4.5 sets out the proposed generic criteria for local schemes.

Table 4.5: Assessment Criteria for Contribution to Local Objectives

Theme	Assessment Criteria
Economic	Jobs to be created Jobs taken up by residents of wards in worst 20% nationally ¹
	{Only if EIR has a measure of acceptance by DfT
	OR
	Ha of employment land opened up for development ² Journey time savings to/on strategic road network ³ Significant improvements in capacity and/or quality of public transport access to employment centres within or outside the area
Social	Significant improvements in access based on DfT accessibility indicators (see Section 5)
Spatial Planning	Removes significant constraint(s) on development of settlements as proposed in approved UDP/Local Plan/LDF Removes significant constraint(s) on planned redevelopment of substantial areas of unused or underused sites and premises
Housing	Removes constraint(s) on planned bringing forward of key site(s) for housing development Only to 'score' where impacts clearly additional to those counted under Spatial section, although contribution still to be highlighted.

Footnotes to Table 4.5:

1. Significance of jobs to be judged in light of scale of local job needs and whether the area involved has priority status (MUA, RZ, high-technology corridor or market town).

2. Significance to be assessed on the basis of a combination of :
 - Scale of local jobs needs
 - Assessment of potential contribution of intervention to bringing about development
3. Measured in terms of absolute and % reductions in drive times to Motorways/Trunk Roads. As in regional assessment these may be outside the region in some cases.

4.4 Undertaking the Policy Contribution Assessment

This section describes the process for undertaking the policy contribution assessment. The assessment framework will contain the assessment criteria under each theme with columns for scoring and qualitative comments, as shown below. Notwithstanding the duplication of the greenhouse gas criteria – which was agreed by the Steering Group as an exception – the general approach will be to seek to focus on contributions to objectives which will not merely duplicate aspects included in the Efficiency Assessment (so, for example, the focus will be on specific changes in accessibility which are likely to be relevant in regional development terms rather than general time savings).

Table 4.6: Assessment of Contribution to Policy Objectives

Theme	Assessment Criteria	Scoring (seven-point scale)	Qualitative Comments
Contributions not captured above to be noted			

The process of undertaking the assessment will be as follows:

- Each transport project will be appraised against the assessment criteria for each policy theme of the Overall Regional and Regional Spatial Objectives framework and/or the Local assessment criteria as relevant. The appraisal will not be against individual objectives or sub-objectives. Each assessment criteria may clearly contribute to more than one objective or sub-objective;
- The extent to which the transport projects support the assessment criteria will be appraised using a simple seven-point scoring system. If the transport project supports the assessment criteria, a positive score is awarded (shown by a tick) in the scoring column. Up to five ticks can be awarded, reflecting the different degrees to which the transport project may support a criterion in terms of the scale and intensity of its

contribution relative to the resources deployed¹⁵ If the transport project contravenes/ does not support the assessment criterion, a negative score is awarded (shown by a cross). We propose that only one negative scale is included in the system. Finally, if the project neither supports nor does not support the assessment criterion, a neutral score is awarded. The seven-point scaling system therefore takes in five ticks at one end, one cross at the other and a neutral score in between.

- The final column of the framework provides space for qualitative comments by the appraiser. These will be supporting statements to the scoring against the assessment criteria. As indicated, these will be provided even where there are no scores because of the need to avoid double counting.

The general approach will be to score each project against:

- The Overall Regional and/or Regional Spatial assessment framework, as appropriate; or,
- The Local Assessment Framework.

The scores are to be presented, together with an assessment by the appraiser of the contribution of the project to the policy themes, as shown in the tables below. Scores are to be summed by treating the ticks as +5 to -1 numerical equivalents.

Table 4.7: Assessment of Contribution to Overall Regional Objectives

Overall Assessment	Score	Qualitative Assessment
Contribution by theme		
Economic		Summary provided of contribution of transport project to economic theme objectives, highlighting key areas where strong contribution is made, and areas where contribution is negative. Repeated for social, spatial and housing themes.
Social		
Spatial Planning		
Housing		
Total		
Contributions not adequately captured above to be noted		

¹⁵ This is important to presence comparability with the benefits relative to costs approach in the efficiency assessment and to avoid an implicit bias in favour of larger projects.

Table 4.8: Assessment of Contribution to Regional Spatial Objectives

Overall Assessment	Score	Overall score presented
Contribution by theme		
Economic		Summary provided of specific contribution of transport project to sub-regional economic theme objectives, highlighting key areas where strong contribution is made, and areas where contribution is negative. Repeated for social, spatial and housing themes.
Social		
Spatial Planning		
Housing		
Total		
Contributions not adequately captured above to be noted		

Table 4.9: Combined Assessment of Contribution to Overall Regional and Regional Spatial Objectives

Overall Assessment	Score	Overall score presented
Contribution by theme		
Economic		Summary provided of contribution of transport project to economic theme objectives, highlighting key areas where strong contribution is made, and areas where contribution is negative. Repeated for social, spatial and housing themes.
Social		
Spatial Planning		
Housing		
Total		
Contribution not adequately captured above to be noted		

A similar tabular presentation will be made in relation to the assessment of local schemes. The following schema for converting the outputs to an overall assessment is proposed.

✓✓✓✓✓	Major Contribution
✓✓✓✓ Or ✓✓✓	Significant Contribution
✓✓ Or ✓	Limited Contribution

It is not believed that the development of more systematic criteria for assigning ticks is practical or useful given the combination of the weaknesses of the submitted information on contributions to objectives. However, the presumption is that identification of a Major Contribution will be fairly exceptional. Schemes will be assessed to have a significant contribution only where there is clear supporting evidence.

Table 4.10: Interpretation of Combined Assessment of Contributions to Regional and Regional Spatial Objectives

	Criteria
Major Contribution to Overall Regional and Regional Spatial Objectives	Major contribution to at least one theme
Significant Contribution to Overall Regional and Regional Spatial Objectives	Significant contribution to at least one theme
Limited Contribution Overall Regional and Regional Spatial Objectives	Overall score of 3 or more and not meeting criteria for Major or Significant Contribution
No Substantive Contribution Overall Regional and Regional Spatial Objectives	Overall score of 2 or less
Negative Impact Contribution to Overall Regional and Regional Spatial Objectives	Negative overall score

Table 4.11: Criteria for Assessing Contribution to Local Objectives

	Criteria
Major Contribution to Local Objectives	Major contribution to at least one theme
Significant Contribution to Local Objectives	Significant contribution to at least one theme
Limited Contribution to Local Objectives	Overall score of 2 or more and not meeting criteria for Major or Significant Contribution
No Substantive Contribution to Local Objectives	Overall score of 1 or less
Negative Impact on Local Objectives	Negative overall score

5.0 Stage 3 – Efficiency Assessment

5.1 Introduction

The efficiency assessment is the process of verifying that value for money (VFM) is achieved by the proposed transport intervention.

The assessment is based on the application of current New Approach to Appraisal (NATA) style appraisal techniques and is fundamentally based on Central Government's five objectives for transport:

- to contribute to an efficient economy, supporting sustainable economic growth in appropriate locations;
- to improve safety for all travellers;
- to promote accessibility to everyday facilities for all, especially those without a car;
- to protect and enhance the built and natural environment;
- to promote the integration of all forms of transport and land use planning, leading to a better, more efficient transport system

The assessment has reflected these Government objectives within four dimensions within the framework. These have been developed to capture the beneficial and cost impacts of a proposed transport intervention whilst also removing the potential for double counting that may distort the results of the prioritisation framework. The dimensions are:

- Economic - which involves a comparison of those benefits which can be measured in monetary terms with the costs of the intervention (benefits include user time savings and changes in forecast highway accidents taking account of improvements and increases in forecast demand/mode shift);
- Social Equity – which seeks to identify benefits accruing to the vulnerable (for example, security improvements for the elderly), non car owners and socially deprived people as a result of accessibility improvements;
- Environmental - includes the direct and indirect impacts of transport facilities and their use on the environment of both users and non-users; and,

- 'Other' – provides a qualitative assessment of those issues which are not adequately addressed in other parts of the scoring system which merit consideration in the decision making process.

As noted in Section 4, it is considered that the efficiency assessment in general takes account of specific region level transport objectives as shown in Table 4.1.

The following sections provide details pertaining to each of these dimensions and their practical application in the prioritisation framework, and in the development of an overall efficiency assessment score.

5.2 Economic

The economic impact of a proposed intervention is assessed by undertaking cost-benefit analysis to provide the economic VFM.

The analysis involves a comparison of the total benefits of the scheme - such as potential user time savings for a new bypass and road accident savings - and the combination of the scheme's total capital costs over the development period and subsequent operating/renewal costs over recommended appraisal periods, such as 60 years, using standard discount rates shown in HM Treasury Green Book. The method of assessment usually involves the use of bespoke spreadsheet analysis or the use of DfT recommended software, such as the Transport User Benefit Appraisal (TUBA) and Cost Benefit Analysis (COBA) to determine forecast benefits such as travel time savings and highway accidents respectively.

The VFM of an intervention is usually reported as either the net present value (NPV) of the scheme - i.e., benefits minus costs appropriately discounted to a present year such as 2001, or as a benefit cost ratio (BCR), i.e., discounted benefits divided by costs. Within standard appraisals of proposed transport interventions, these results are usually reported in the Transport Economic Efficiency (TEE) table.

These results are a key decision tool for decision makers as they provide an objective, quantifiable evidence base on which to assess the economic efficiency of competing schemes (and options). The VFM of transport interventions in these terms is a key performance measure for projects and therefore promoters are expected to submit their scheme BCR which will be classified against one of the categories shown overleaf in Table 5.1. These categories provide a means to distinguish the economic efficiency performance of competing schemes.

Table 5.1 BCR Scheme Bandings

BAND	BAND CRITERIA
Very High	BCR over 4
High	BCR 3 - 4
Good	BCR 2 - 3
Moderate	BCR 1.5 - 2
Limited	BCR below 1.5

To ensure the process is conducted objectively between competing schemes, it is expected that the promoters should provide evidence that the following components have been accurately identified in the development of the BCR. These are:

- Optimism Bias;
- Operating/Maintenance Costs; and
- Appraisal Period.

Optimism Bias is the demonstrated systematic tendency for appraisers to be overly optimistic about key parameters. To address this tendency appraisers need to make explicit, empirically based adjustments to the estimates of an intervention's costs, benefits, and duration.

Promoters should provide evidence that they have accurately identified the appropriate capital cost optimism bias uplift by classifying the type of intervention and identifying an appropriate upper or lower bound uplift.

Table 5.2 Capital Expenditure Optimism Bias Uplifts

Project Type	Upper Bound	Lower Bound
Standard Buildings	24%	2%
Non-Standard Buildings	51%	4%
Standard Civil Engineering	44%	3%
Non- Standard Civil Engineering	66%	6%
Equipment/Development	200%	10%

Source: MSA Optimism Bias, TAG Unit 3.9.4, April 2004.

Table 5.2 shows the variety of project types that are defined by DfT which should be used to identify the promoters' intervention scheme type and the associated different optimism bias uplifts (both upper and lower bound values). Opportunity for inaccurate or non robust

application of optimism bias to total capital cost exists given the range of values provided in Table 5.2. Promoters should provide robust evidence that within their identified project type, any reduction from the upper bound should have a strong justification and follow advice given in the current (as of 2005) supplementary guidance to HM Treasury's Green Book.

For the current – and perhaps a number of future rounds – there is a problem that some pre-current Green Book schemes will exclude optimism bias. Conversely, they will also be based on a lower discount rate and a longer appraisal period. This will need to be flagged up clearly and its implications commented upon in the reported assessment. Technical work to underpin this is underway.

Strong evidence for identifying the evaluation period of the proposed intervention, for example 30 or 60 years, should be submitted accurately to reflect the scheme's design life on the basis of the following:

- Interventions with indefinite life – for example most road, rail and airports infrastructure (assumed maintenance and major renewal take place when required). Appraisal period should end 60 years after the scheme opening year;
- Interventions with definite life – those schemes that have a limited life of its component assets or, for example, where the transport problem being addressed by the proposed intervention has a short time horizon. Appraisal period would usually be less than 60 years (but would include a residual benefit).

Promoters should ensure that all operating, general maintenance and major capital renewal costs (for example capital build schemes (park and ride multi-storey car park) over 30 years) are included in the economic assessment over the evaluation period.

These verification procedures would ensure that competing schemes are objectively compared within the BCR banding process. A simple check list would be used to provide this information, as shown in Table 5.3. Those interventions that do not satisfy these requirements due to the lack of evidence or from concerns by the appraiser would be referred back to the promoter for revision/clarification. [awaiting clarification from DfT on this]

Table 5.3 Key Economic Parameter and Operating/Maintenance Cost Verification

Appropriate Optimism Bias?	Appropriate Appraisal Period?	Operating/Maintenance Costs/Major Capital Renewal (if applicable) Included?
Yes/No	Yes/No	Yes/No

Within the overall assessment for efficiency, the result of the BCR banding would provide one of the entry inputs in the development of the overall efficiency assessment score.

5.3 Social Equity

The social equity assessment is aimed to reflect the differential impacts of competing projects on different social groups within the area of influence of the proposed intervention.

The Social Exclusion Unit report, “Making the Connections: Final Report on Transport and Social Exclusion” (February 2003), examined the link between social exclusion, transport and location of services. This recommended that local transport authorities, and other agencies, assess accessibility more systematically through audit to identify disadvantaged groups with poor access to key services.

Within the social equity assessment, the identification of different social groups can be based on the systematic accessibility analysis of the extent to which schemes address unmet travel needs and associated problems of social exclusion. DfT has developed a number of core accessibility indicators that aim to measure the proposed impact of an intervention on different social groups. The core indicators are:

- % of a) pupils of compulsory school age; b) pupils of compulsory school age in receipt of free school meals within 15 and 30 minutes of a primary school and 20 and 40 minutes of a secondary school by public transport;
- % of 16-19 year olds within 30 and 60 minutes of a further education establishment by public transport;
- % of a) people of working age; b) people in receipt of Jobseekers' Allowance within 20 and 40 minutes of work by public transport;
- % of a) households b) households without access to a car within 30 and 60 minutes of a hospital by public transport;

- % of a) households b) households without access to a car within 15 and 30 minutes of a GP by public transport; and,
- % of a) households; b) households without access to a car within 15 and 30 minutes of a major centre by public transport.

The promoter should provide evidence of the proposed impact of the intervention against these indicators, for example a net increase in the catchment area of households without access to a car within 15 and 30 minutes of a hospital under a 'Do Nothing and Do-Something (i.e., introduction of the proposed intervention) scenario.

However, if no evidence can be provided for the above indicators the promoter should ensure robust information is provided in which to form a judgement on the impact on accessibility levels on different social groups. Where information is not available, the proposal for the first year of the assessment is that a measure of preference will be given to public transport schemes.

At this stage, a qualitative assessment will be undertaken by the appraiser to assess the significance of the intervention on the potential for different social groups to access key services for inclusion within the overall efficiency assessment. This impact may lead to the modification of the BCR within the overall efficiency assessment.

Our recommendation for the future is that consideration should be given to an alternative approach in which BCRs are modified through the attachment of distributional weights – from the new Green Book – reflecting the extent to which the benefits of schemes accrue to different income groups.

5.4 Environment

The environmental assessment is aimed at estimating the proposed interventions' impact in protecting the built and natural environment.

Understanding and estimating the implications of non-monetised impacts for environmental value for money is by its nature very difficult. It is therefore recommended that use be made of NATA to assess the impact on the environment of a proposed intervention. A number of sub-objectives/ criteria are subject to assessment and are outlined below:

- to reduce noise;

- to improve local air quality inc. demonstration of links to Air Quality Management Areas;
- to reduce greenhouse gases;
- to protect and enhance the landscape;
- to protect and enhance the townscape;
- to protect the heritage of historic resources;
- to support biodiversity;
- to protect the water environment; and
- to encourage physical fitness.

Journey ambience was also considered as a separate sub-objective but has been excluded as it is deemed to be a conceptually separate issue.

The environment assessment is to be completed via a three stage approach:

- Setting out the standardised qualitative impact on individual NATA environment sub-objectives;
- Converting each qualitative impact into cardinal scores (+3 to –3); and,
- Aggregating the cardinal scores to provide an overall assessment (subject to the criteria below).

Promoters are expected to submit the relevant information in an AST with the results reported within the standard NATA seven point scale. These scales will be converted into a cardinal score (shown in brackets below):

- Large Adverse (-3)
- Moderate Adverse (-2)
- Slight Adverse (-1)
- Neutral (0)
- Slight Positive (+1)
- Moderate Positive (+2)
- Large Positive (+3)

The cardinal scores would be aggregated and averaged to create a total environmental score of the scheme. To reflect potential acceptability constraints the total aggregated score will then be subject to amendment. Where a scheme records a large or moderate adverse impact for five or more sub-objectives/criteria the total score is to be reduced by one. The final score will be input to the overall efficiency assessment which may impact on the overall BCR.

5.5 'Other'

This dimension provides the opportunity for the appraiser to provide qualitative statements that relate to aspects of the costs and benefits of a scheme that are considered not to be adequately captured in the economic, social equity and environment dimensions, but which merit inclusion in the decision making process.

The appraiser may, for example, want to provide qualitative evidence that the economic BCR is mainly driven by user time savings as forecast highway accident benefits are relatively low. In addition the appraiser may identify other information that would provide robust evidence to the performance of the scheme, for example the proposal is seeking to make best use of the existing infrastructure. This section of the framework can also be used to cover any contributions to national, regional or local transport, social and/or environmental objectives – for example, to targets in an Air Quality Management Plan - which are considered not to be adequately covered elsewhere.

Particular examples of information which may need to be covered here, dependant on the project involved, are provided below.

- **Sensitivity and Scenario Testing**

As part of the principle of optimism bias, sensitivity and scenario analysis are required to make adjustments to the central case estimates in line with optimistic or pessimistic scenarios which may be based on either exogenous and endogenous factors.

Such tests are useful in identifying interventions that may be highly sensitive to changes – and which therefore might be regarded as relatively risky - as opposed to those that are of more certain benefit.

The issue is that current appraisal guidance does not specify precisely which variables should be subject to such analysis or the magnitude of the variations which should be considered. Currently it is only recommended to undertake tests that vary the optimism bias uplift, or changes to the level of benefits. However, there is no specific test that is prescribed for the promoters to complete in order for a consistent comparison to be made. Thus there is no satisfactory means of comparing the available analyses.

For those proposed interventions that have undergone sensitivity and/or scenario testing, the promoter is expected to submit the BCR results for those tests (including the assumptions applied within those tests) undertaken as part of the development of the business case.

The appraiser would make a qualitative assessment of the extent of the sensitivity of the BCR due to potential risk factors against the 'central case' assessment, i.e., the BCR input to Table 5.1 above. However, the promoter will also be provided with an opportunity to express a qualitative view on this.

- **Safety**

There is an additional dimension of the extent to which the intervention has positive or negative consequences through its effects on the actual or perceived sense of security/safety of users and/or non-users to all groups within society. Potential positive or negative impacts on personal security/safety effects may not be properly captured in the changes in highway accident costs within the standard VFM assessment reflected in the BCR.

The promoter is expected to identify any expected impacts on personal security/safety of the intervention, such as a new public transport interchange facility with improved CCTV and help points, or highway schemes that provide well-lit rest locations, such as parking lay-bys. This effect will be recorded as a qualitative impact within the overall efficiency assessment score following the NATA format, i.e., Moderate adverse, Minor positive, etc.

- **Severance**

Again, this is a potential additional impact which the promoter can identify where relevant and which the appraiser would then score following the NATA format.

- **Linkages Between Projects**

The efficiency assessment of a particular transport intervention may be partially dependent on the implementation of another proposed scheme. Promoters are expected to provide evidence that the proposed intervention is/is not scheme dependent and the framework will consider the evidence on the following basis:

- If the other scheme is committed then the assessment should simply be based on the assumption that it goes ahead;
- If not, then the assessment clearly has to be based on the assumption that the other project does not proceed but the effects on the BCR need to be shown through a

sensitivity test. The relevance of this to the decision then needs to be considered as part of the qualitative assessment.

Promoters may have submitted this information within their business case submission as part of the sensitivity testing analysis. However, if this has not been completed then it would be expected that an additional sensitivity test would need to be undertaken to proceed the scheme within the regional prioritisation process.

Where a scheme forms one element in a group of closely linked/interdependent schemes as part of a wider strategy, the approach is to involve:

- Undertaking an analysis of the overall package and making an assessment of the probability that it will warrant sufficient priority to be allocated funding in full within, say, 20 years. In this case the individual components can be dealt with on the basis of a combination of:
 - ▶ An assessment of their contribution to objectives and efficiency aspects based upon an assumed phasing of the rest of the package; and,
 - ▶ Deliverability aspects.

Where future funding for the package as a whole looks problematic, the components need to be assessed and prioritised individually, with the potential effects on benefits of implementing other elements dealt with through sensitivity tests, as noted above.

The appraiser would provide comments within the qualitative column in the overall individual assessment table (see Section 7).

5.6 Overall Efficiency Assessment

The overall assessment would enable the three dimensions of economic, social equity and environment to be categorised into either a Very High, High, Good, Moderate or Limited band. Each scheme will also have an accompanying qualitative assessment to inform the decision making process as noted above which would include the 'other' assessment.

The entry criteria for these bands are shown in Table 5.4.

Table 5.4 Overall Efficiency Assessment

Category	Entry Criteria		
Very High	BCR>4 Environmental Impact not -2 or -3	Or BCR 3-4 and (Year 1 only) a public transport scheme or particular impacts in terms of DfT accessibility indicators Environmental Impact ≥ 0	
High	BCR > 3 Environmental Impact not -2 or -3	Or BCR>4 and Environmental Impact -2 or -3	Or BCR 2 - 3 and (Year 1 only) a public transport scheme or particular impacts in terms of DfT accessibility indicators Environmental Impact ≥ 0
Good	BCR > 2 Environmental Impact not -2 or -3	Or BCR > 3 and Environmental Impact -2 or -3	Or BCR1.5 – 2 And (Year 1 only) a public transport scheme or particular impacts in terms of DfT accessibility indicators Environmental Impact ≥ 0
Moderate	BCR 1.5 – 2 Environmental Impact not -2 or -3	Or BCR > 2 and Environmental Impact -2 or -3	Or BCR1 - 1.5 And (Year 1 only) a public transport scheme or particular impacts in terms of DfT accessibility indicators Environmental Impact ≥ 0
Limited	BCR <1.5	Or BCR > 1.5 – 2 and Environmental Impact -2 Or -3	

6.0 Stage 4 – Deliverability Assessment

6.1 Introduction

The deliverability assessment focuses on identifying significant risks to the successful implementation of a proposed intervention. The delivery aspects within the framework are defined as possible constraints to implementation.

The delivery constraints have been identified as those that provide a ‘reality check’ to the intervention that ensure that the intervention is robust, and can be delivered on the basis of the business case.

6.2 Overview of Deliverability Criterion

Table 6.1 provides the list of deliverability constraints to an intervention and the justification for their inclusion.

Table 6.1 Deliverability Constraints

Criteria	Justification
Commitment of Partners	Potentially an intervention that is reliant on the commitment of more than one partner may be at a higher risk of unsuccessful delivery. This risk may increase in the short-term if there is a lack of, or only partial, commitment to the proposed intervention.
Technically Feasible	The proposed specification of an intervention and/or capital works may require new or highly innovative technology. This may be a constraint if the technology does not have a proven track record or is under development (for example for ultra light rail schemes. Conversely, using proven technology may reduce the risk to delivery, especially over the short term.
Legal Powers – Primary Legislation and Statutory Procedures and Consents	There may be circumstances where new legal powers are required for particular interventions, or where the necessary statutory procedures need to be followed, for example if a scheme has to apply under the Transport and Works Act (TWA) Order ¹⁶ and the current planning status of the project. Obtaining the necessary legal powers and statutory planning powers may act as a constraint to delivery. Again, the extent of this risk may be higher over the short-term if the necessary powers are not in place. In the case of the TWA, projects looking for early implementation will normally have to be at or close to the decision stage. In the framework, we have split legal powers into two categories – primary legislation and statutory procedures and consents (including planning permission, S106 obligations, listed building consent,

¹⁶ Particular types of intervention usually require an order to be made under the Transport and Works Act 1992 (the TWA) to authorise the scheme. These are usually guided transport schemes. The powers available under the Act vary, but can include Compulsory Purchase Orders, the purchase of land and the closure or alteration of roads and footpaths.

Criteria	Justification
	conservation area consent, compulsory purchase and third party (such as Highways Agency).
Detailed Costing	A proposed intervention that has detailed capital (and operational) costings will be at a lower risk to successful delivery. Conversely an outline feasibility may only provide broad scheme costs which would necessitate further costing work, potentially acting as a constraint to delivery. It should be noted that this criterion relates to 'most likely' costs and does not include any element of cost contingency, which is dealt with elsewhere in the framework.
Detailed Work Programme	The specification of the works programme will be dependant on the current status of the intervention. A transport project with a fully worked up programme should be a lower risk to delivery over the short-term. Conversely, a project with an outline programme or one that is under development can be assumed to be a higher risk to delivery, particularly over the short-term.
Procurement Strategy	To capture forecast benefits the promoter would need to develop or implement a 'best practice' procurement strategy model to obtain goods, services or works for the efficient and effective use of resources.
Funding Dependability	Funding dependability may be a constraint to delivery. It may be necessary for promoters to obtain funding from private partners, third party bodies or other private/public sources. Projects without the necessary funding in place can be assumed to be a higher risk to successful delivery, particularly where the funding is being sought from non-DfT budgets.
Acceptable Level of Contingency	Interventions that have undergone a quantified risk assessment with a detailed 'Risk Register' prepared, i.e., all components of risk recorded with responsibility, should be a lower risk to delivery, especially for short term priorities. Conversely, interventions with only a qualitative risk assessment could be a higher risk to delivery.
Labour Availability	Labour may be a constraint to delivery for major projects, depending upon the availability of labour and contractors with the specialised skills. For example, it may be that the scale or location of an intervention is constrained in terms of the availability of labour. This should be assessed as part of the framework, both in terms of when the constraint may apply and the extent of the risk.
Widespread Support	This constraint relates to whether a transport project has widespread institutional support. If not, this could act as a constraint to successful delivery, over the different time periods.

Table 6.2 overleaf provides the assessment criteria (status) for the deliverability constraints.

Table 6.2: Deliverability Assessment

CATEGORY	Deliverability Constraint	Assessment Criteria
PARTNERS	Commitment	Full Agreement/s / Part Agreement/s / No Agreement / N/a
TECHNICAL	Proven Technology	Yes / Under Testing / No
LEGAL POWERS – PRIMARY LEGISLATION	Primary Legislation Required	Yes/ No
LEGAL POWERS – STATUTORY PROCEDURES AND CONSENTS	Transport and Works Act Order	Application Stage / 'Objection Period' Stage / 'Hearing' Stage / 'Public Inquiry' Stage / Written Representation Stage / Decision Stage / Post Objection Stage / Special Parliamentary Procedure Stage / Appeal Stage / TWA Granted / TWA Rejected / N/a
	Statutory Planning Documents	Confirmation of the status of the scheme in current statutory planning documents – inc current Development Plan and RSS
	Planning Permission	OPP Application Stage / OPP Application Pending / OPP Granted / FPP Application Stage / FPP Application Pending / 'Hearing' Stage / 'Public Inquiry' Stage FPP Granted / Part of TWA Application / N/a
	Listed Building Consent	Preparation Stage / Application Pending / Consent Granted (with conditions) / Consent Granted (without conditions) / Consent Rejected / N/a
	Conservation Area Consent	Preparation Stage / Application Pending / Consent Granted (with conditions) / Consent Granted (without conditions) / Consent Rejected / N/a
	Availability of Land	Confirmation of Availability/Under negotiation/Not Confirmed
	Compulsory Purchase Order	Preparation Stage / Application Pending / Consent Granted (with conditions) / Consent Granted (without conditions) / Consent Rejected / N/a
	Third Party Powers (e.g., Highways Agency)	Consent/No Consent
COST	Fully Developed Estimated Cost	Outline Cost (Indicative Estimate) / Fully Developed Cost
DETAILED WORK PROGRAMME	Phasing	Detailed Programme / Outline Programme / Under Development
PROCUREMENT STRATEGY	Procurement	No Strategy/Be-Spoke Strategy/Best Practice Strategy
FUNDING DEPENDABILITY	Non-DfT Funding Secured for Intervention	Fully Secured / Under Negotiation / Not Secured / N/a
ACCEPTABLE	Quantified Risk Assessment and	Full Risk Assessment / Quantified Risk Assessment

CATEGORY	Deliverability Constraint	Assessment Criteria
LEVEL OF CONTINGENCY	Risk Register Completed	/ Qualitative Risk Assessment / No Assessment
LABOUR	Availability of Necessary Construction Resources	Confirmation of Availability / Under Negotiation / Not Confirmed
INTEGRATION	Wide Institutional Support	Full Support / Under Negotiation / Part Support / None

6.3 The Overall Deliverability Assessment

There are two aspects to the overall delivery assessment which are to be applied to each delivery constraint:

- Potential timescale for delivery; and,
- The degree of risk associated.

For each delivery constraint, an assessment is made of whether it applies over the short, medium or long term, and the risk level for each specified time period.

The potential delivery timescale is related in part to the status of the intervention at the time of the assessment. For example, it is clear that those interventions that have been developed at a high level in both scheme design and assessment, such as Annex E, are usually proposed for delivery over the short term and prepared for capital funding for a substantive start. This is supported by the DfT's proposed decision to allocate 3 year regional funding settlements as opposed to annual (12 months) arrangements. However, there are other interventions that may only be at outline stage, such as those shown in the West Midlands Regional Transport Delivery Plan (to 2011), or higher level (i.e., blue sky) thinking with no detailed scheme definition, as these interventions are focussed on longer term planning objectives such as those outlined in the West Midlands Regional Spatial Strategy.

The following timescales have therefore been identified to take account of these issues (brackets indicate the main driver of deliverability timescale):

- Short Term (proposed DfT settlement): 0-3 years
- Medium Term (Regional Transport Delivery Plan/LTPs): 3-10 years
- Long Term (Regional Spatial Strategy): 10+ years

The degree of associated risk relates to those criteria identified as a deliverability risk to the intervention. These are classified as:

- High Risk;
- Medium Risk; and,
- Low Risk.

The definition of these risk categories is dependant on the deliverability timescale and the level of control by the promoter, i.e., the promoter has influence over the constraint. For example, if an intervention is developed as an Annex E, and therefore defined as a short term scheme, a deliverability constraint that is deemed as high risk at the time of the regional assessment may not have sufficient time to become resolved. However, the same constraint may become resolved if an intervention is defined as deliverable in the medium or long term. In addition, if the scheme promoter has not undertaken a detailed work programme, it is within their capacity and control to ensure this is completed.

The approach would be to allocate each transport project to one or more bands:

- short-term delivery but high risk;
- short-term delivery but medium risk
- short-term delivery and low risk;
- medium-term delivery but high risk;
- medium-term delivery but medium risk;
- medium-term delivery and low risk;
- long-term delivery but high-risk;
- long-term delivery but medium-risk; and
- long-term delivery and low-risk.

Entry criteria for each band would be based on a set number of risk categories identified for each deliverability constraint. The individual risk categories would be defined by the appraiser from a judgement of whether there are significant risks that problems relating to that constraint may not be overcome. To determine the level of risk the entry criteria is outlined below for all deliverability dimensions:

- high risk: if one constraint is defined as 'high';
- medium risk: if no 'high' risks have been identified but one constraint defined as 'medium';

- low risk: no 'high' or 'medium' risks identified.

The criteria outlined above will allow the appraiser to allocate each proposed intervention to one (or possibly two) of the time periods. This will be the earliest time when the project can be realistically delivered. Importantly, the overall assessment will then introduce the levels of risk associated with delivering the project within the time period; either high risk, with apparently unresolved obstacles to delivery, or low risk, with no significant unresolved obstacles to delivery.

7.0 Stage 5 – Overall Individual Assessment

This section sets out the approach that will be used in pulling together the objectives analysis, the efficiency assessment and the delivery aspects. In general terms, the recommendation is that priorities over different timescales would be set on the basis of a combination of:

- The contribution to Overall Regional and Regional Spatial or – in the case of smaller schemes – Local Objectives and efficiency aspects on the one hand; and,
- The assessment of delivery obstacles and risks. The presumption is that substantial funding would only be allocated once short term delivery risks can be assessed to be low. A judgement that medium and long term delivery risks are high would not affect prioritisation but would act as a diagnostic tool – on the basis of which applicants would be advised of issues which need to be resolved before substantive funding could be allocated. A high assessed level of delivery risk would also be a factor in decisions on development funding.

Table 7.1 below sets out a 6 point banding framework. This process will be used for combining each scheme's contribution to overall Regional/Regional Spatial and Local Objectives and the efficiency aspects. Each transport project which is considered to be capable of assessment at this stage will be allocated to one of six bands, depending on the combination of its contribution to objectives and the outcome of efficiency assessment. The results that emerge from this process will be presented as an array of summary information/scores for each scheme along with qualitative assessments. In addition to the 6 point banding details will be included of the deliverability assessment.

Table 7.1: Six Point Banding Framework Combining Contribution to Objectives, Efficiency and Deliverability

Qualitative Assessment					
Band 1	Very High VfM and Major Contribution to Objectives				
Band 2	High VfM and Major Contribution to Objectives	or	Very High VfM and Significant or Limited Contribution to Objectives		
Band 3	Good VfM and Major Contribution to Objectives	or	High VfM and Significant or Limited Contribution to Objectives	or	Very High VfM but No or Negative Contribution to Objectives
Band 4	Moderate VfM and Major Contribution to Objectives	or	Good VfM and Significant Contribution to Objectives	or	High VfM and Limited or No Contribution to Objectives
Band 5	Limited VfM but Major Contribution to Objectives	or	Moderate VfM and Significant Contribution to Objectives	or	Good VfM but Limited or No Contribution to Objectives
Band 6	All Other Schemes which have been Assessed		-		-

To this banding framework the comments emerging from the qualitative assessments will be added as well as results of the deliverability assessment (Stage 4). This will provide details of the assessment of when each transport project could realistically be delivered and the risks (constraints) associated with this.

It will then be for the decision makers to use the information to take judgements about their priorities for the use of the available resources within the indicative regional/sub-regional and local budgetary allocations over different timescales. As noted, the decision makers will receive a supporting analysis of the composition of the schemes within the higher priority bandings which will highlight particular issues around the types of scheme involved or their spatial balance.

Annex One

Regional Appraisal Summary Table

REGIONAL APPRAISAL SUMMARY TABLE (RAST)

The RAST table should be completed **CLEARLY IN BOLD** by the promoter of the intervention under the following guidelines:

***Section A, B & C is mandatory (all proposed interventions to be assessed)**

***Sections D and E should only be completed if an Annex E/PAR has not been completed or if the appraisal does not provide evidence against the assessment criteria - otherwise please input "Shown in Annex E/PAR".**

Please indicate on the RAST where reference is made to AnnexE/PAR

***Completion of the template should be cross-referenced to the Regional Prioritisation Framework report**

SECTION A	SCHEME DETAILS	ASSESSMENT CRITERIA	EVIDENCE FROM PROMOTER#
	NAME OF PROPOSED INTERVENTION	Formal Name	
	DESCRIPTION OF PROBLEMS	Clear description of problem/s	
	DESCRIPTION OF INTERVENTION	Description and does the proposed intervention demonstrate clear "SMART" objectives	
	DESCRIPTION OF OUTCOMES	Anticipated outcomes as a result of intervention	
	PROJECT COSTS	Evidence of total and annual scheme costs (present values and out-turn costs); Contribution sought from West Midlands Regional Transport Fund and source of other funding contributions	
	PROJECT TIMESCALE	Evidence of proposed timescale for scheme delivery.	

SECTION B	DEMONSTRATE YOUR TRACK RECORD OF IMPLEMENTING OTHER SCHEMES	Evidence to demonstrate delivery of other schemes	
	WHAT ARE THE CONSEQUENCES OF NOT TAKING ANY ACTION	Evidence of consequences of not taking action (the do-doing scenario)	
	WHAT ALTERNATIVE OPTIONS HAVE BEEN CONSIDERED	Evidence of alternative options considered and anticipated outcomes	
	DEMONSTRATE EVIDENCE OF SIMILAR INTERVENTIONS	Evidence of similar interventions undertaken and the achieved outcomes	

SECTION C	OBJECTIVE	THEME	SUMMARY OF OBJECTIVES	ASSESSMENT CRITERIA	EVIDENCE FROM PROMOTER#
	CONTRIBUTION TO OVERALL REGIONAL POLICY OBJECTIVES -	Economic	<ul style="list-style-type: none"> • Support sustainable economic growth – developing the business base and enterprise, building on existing economic centres • Increase international engagement through exporting goods, services and attracting inward investment • Support the knowledge economy and the development of higher value added activities and jobs • Develop the RES priority clusters • Support the modernisation of the manufacturing base • Support the development of the visitor economy 	Jobs Created only if there is an EIR with a measure of acceptance by DfT AND/OR:	
Improvements to strategic road links to:					
Major business centres outside region (taken to be London, Bristol, Cardiff, Manchester, Leeds, Nottingham)					
Major ports (Southampton, Dover, Hull, Harwich)					
Birmingham and other major international Airports (Heathrow, Stansted, Manchester, East Midlands)					
Significant improvements in links from the region's business centres to the region's strategic road network (Motorways/Trunk Roads)					
Significant improvements in the region's strategic rail links to business centres outside the region					
Significant developments to the region's rail freight network					
Improvements in access to labour within and outside of region					

		<ul style="list-style-type: none"> • Strategic Importance to economy of adjoining region(s) 	{It is for the region concerned to make out the case that the improvement is strategically significant. The significance to the West Midlands and the other region(s) are to be considered together (in effect additively) in making the overall assessment of the contribution to the economic theme}.	
	Social	<ul style="list-style-type: none"> • Improve access to education, health, training and other services – in particular reducing inequalities in access to provision 	Captured in transport efficiency assessment and sub-regional social objectives in relation to deprived areas below	
	Spatial Planning	<ul style="list-style-type: none"> • Promote the creation of thriving, balanced and stable communities with clear, pleasant and vibrant living environments • Secure more sustainable patterns of development more generally and reduce the need to travel • Promote the reuse of brownfield land and optimise the use of existing buildings and infrastructure 	Removal of constraints on the development of a better balance of population and employment within communities	
			Removal of constraints on the redevelopment of major areas of unused or underused sites and premises	
	Housing	<ul style="list-style-type: none"> • Ensure an adequate supply of housing for all groups, providing a mix of tenures and types and greater choice • Support improvements in the supply and condition of affordable housing 	Removal of transport constraints on bringing forward the necessary housing land allocations	
	THEME	SUMMARY OF OBJECTIVES	ASSESSMENT CRITERIA	EVIDENCE FROM PROMOTER#

CONTRIBUTION TO REGIONAL SPATIAL POLICY OBJECTIVES -	Economic	<ul style="list-style-type: none"> • Support the role of Birmingham as a World City* • Provision of high quality sites and buildings to meet regional needs • Support focus of economic growth in MUAs and other designated areas for change, linking areas of opportunity with areas of need • Support the development of the Regeneration Zones • Support the developing role of the high technology corridors • Support the diversification and modernisation of the rural economy through appropriate development 	Strategically important to economic development objectives/regeneration in relation to:	
			a Major Urban Area	
			a Regeneration Zone	
			a High-Technology Corridor	
			rural areas (in particular market towns)	
			a major investment site/development of regional significance	
	{For Areas where there will be overlap, e.g., in relation to the MUAs, the criteria above are alternatives not additions to public transport accessibility criterion below to avoid double counting, although qualitative contributions are still to be highlighted}			
Social	<ul style="list-style-type: none"> • Improve access to and quality of services in MUAs • Provide a comprehensive network of public transport in the MUAs • Tackle poverty and disadvantage, particularly those suffering from multiple deprivation 	Significant improvements in public transport accessibility benefiting wards in the 20% most deprived nationally based upon IMD		

	Spatial Planning	<ul style="list-style-type: none"> Promoting an urban renaissance in the MUAs to address decentralisation of people, jobs and other activities Promote development of specific roles of sub-regional centres 	MUAs should be adequately covered above Strategically important to support specific form of development of centres outside MUAs, in particular Hereford, Rugby, Shrewsbury, Telford and Worcester	
	THEME	SUMMARY OF OBJECTIVES	ASSESSMENT CRITERIA	EVIDENCE FROM PROMOTER#
	Housing	<ul style="list-style-type: none"> Provision of high quality housing in MUAs and support for targeted action where the market is weak Provision of housing in centres outside the MUAs Support housing development in rural areas, including affordable housing where this is necessary to meet needs, retain population and support local services 	Covered by regional level criteria - which will necessarily be assessed at sub-regional level. Qualitative observations to be added on the significance of the housing developments involved in regional/sub-regional terms	
CONTRIBUTION TO LOCAL POLICY OBJECTIVES -	Economic	Confirmed, i.e., Draft, Economic Impact Report (EIR) which has a level of acceptance from DfT >> OR Unconfirmed/no EIR	Jobs to be created	
			Jobs taken up by residents of wards in 20% worst deprived output areas nationally	
			Ha of employment land opened up for development	
			Journey time savings to/on strategic road network	
			Significant improvements in capacity and/or quality of public transport access to employment centres within or outside the area	

Social	>>	Significant improvements in access, based on DfT accessibility indicators (see below)	
Spatial Planning	>>	Removes significant constraint(s) on development of settlements as proposed in approved UDP/Local Plan/LDF	
		Removes significant constraint(s) on planned redevelopment of substantial areas of unused or underused site and premises	
Housing	>>	Removed constraint(s) on planned bringing forward of key site(s) for housing development	
		Only to 'score' where impacts clearly additional to those counted under Spatial section, although contribution still to be highlighted	

SECTION D	OBJECTIVE	THEME	SUMMARY OF OBJECTIVES	ASSESSMENT CRITERIA	EVIDENCE FROM PROMOTER#
	EFFICIENCY	Economic	Intervention provides value for money	Benefit/Cost Ratio (BCR)	
				Optimism Bias Uplift	
				Appraisal Period	
				Operating/Maintenance Costs	
		Provide secure environs for all social groups using the transportation system	Improvements to personal security at designated public transport waiting areas for all social groups		
			Improvements to personal security at designated highway waiting areas (for example lay-bys) for all social groups		
		Social Equity	Improve access to life opportunities for different socio-economic groups	Access to School	
				Improved access by public transport to a primary school for pupils of compulsory school age	
				Improved access by public transport to a secondary school for pupils of compulsory school age	
				Improved access by public transport to a primary school for pupils of compulsory school age in receipt of free meals	
				Improved access by public transport to a secondary school for pupils of compulsory school age in receipt of free meals	
				Access to Further Education	
				Improved access by public transport to a Further Education establishment for 16-19 year olds	
				Access to Work	
				Improved access by public transport to a workplace for people of working age	
Improved access by public transport to a workplace for people in receipt of jobseekers allowance					
Access to Hospitals					
Improved access by public transport to a hospital for all households					

		Improved access by public transport to a hospital for non car owning households	
		Access to GPs	
		Improved access by public transport to a GP for all households	
		Improved access by public transport to a GP for non car owning households	
		Access to Major Centres	
		Improved access by public transport to a major shopping centre for all households	
		Improved access by public transport to a major shopping centre for non car owning households	
THEME	SUMMARY OF OBJECTIVES	ASSESSMENT CRITERIA	EVIDENCE FROM PROMOTER#
Environment	Improving the built and natural environment	Reduction in Noise	
		Improvements in local air quality	
		Reduction in greenhouse gases	
		Protection and enhancement of the landscape	
		Protection and enhancement of the townscape	
		Protection of the heritage of historic resources	
		Support biodiversity	
		Protection of the water environment	
		Encourage physical fitness	
Other	To provide an assessment of potential impacts of the scheme not covered above	Sensitivity Test BCR:	
		Test 1 <Description and Assumptions>	
		Test 2 <Description and Assumptions>	

				Test 3 <Description and Assumptions>	
				Test 4 <Description and Assumptions>	
				Test 5 <Description and Assumptions>	
				Safety	
				Severance	
				Linkages between projects	
				Other examples	

SECTION E	OBJECTIVE	THEME	SUMMARY OF OBJECTIVES	ASSESSMENT CRITERIA	EVIDENCE FROM PROMOTER#
	DELIVERABILITY	Feasibility	Ensuring the feasibility of the intervention	Proven technology	
				Has necessary legal powers (Primary legislation and Statutory procedures)	
				Detailed costing	
				Detailed work programme (phasing)	
				Funding dependability	
				Acceptable level of contingency	
				Labour availability	
				Feasible delivery period	
			Land availability		
			Effectiveness	Compliance with best practice procurement	Procurement strategy
		Acceptability	Intervention is acceptable to all	Commitment of partners	
				Wide institutional support	

Annex Two

Regional Objectives

ANNEX 2 - REGIONAL OBJECTIVES

The following objectives and sub-objectives have been identified through the review of key regional strategies. We have focused on objectives/ sub-objectives which transport has an influence on. Each sub-objective has been given a 'spatial expression' – R for regional, SR for sub-regional and L for local.

A Sustainable Future for the West Midlands – A Regional Sustainable Development Framework Version One, January 2005

An economically successful, outward looking and adaptable region, rich in culture and environment, where all people, working together, are able to meet their aspirations and needs without prejudicing the quality of life of future generations.

Objective	Sub-Objective	Spatial Expression
Social Progress which recognises the needs of everyone – Develop thriving sustainable communities	Participation – Provide opportunities for communities to participate in and contribute to decisions that affect their quality of life and neighbourhood	R
	Crime - Reduce crime, fear of crime and antisocial behaviour	R
	Health – Improve health and reduce health inequalities through promoting healthy lifestyles and protecting services	R
	Poverty – Tackle poverty and disadvantage, particularly for those suffering from multiple deprivation	R
	Access – Promote and improve access to services and opportunity, regardless of location, income, lifestyle or background	R
	Culture and Recreation – Improve opportunities to participate	R
	Housing – Provide decent and affordable housing for all in clean, safe and pleasant environments	R
Effective protection of the environment – Enhance and protect the environment	Environmental Assets – Value, enhance and protect region's environmental assets (natural, built environment and heritage)	R
	Biodiversity – Value, enhance and protect biodiversity	R
	Land Use – Encourage development that optimises the use of previously developed land and buildings and creates high quality built environments	R/ SR
	Urban Development – Encourage urban development that improves the quality of the urban	SR

Objective	Sub-Objective	Spatial Expression
	environment to stem the unsustainable decentralisation of people, jobs and other activities away from the MUAs	
	Stewardship – Encourage local stewardship of the environment	R
	Pollution – Minimise air, water and soil pollution levels	R
	Climate Change – Minimise region’s contribution to climate change and manage unavoidable impacts	R
Prudent use of natural resources – Ensure prudent and efficient use of natural resources	Energy - Reduce overall energy use through increasing energy efficiency and increasing generation of energy from renewable sources	R
	Conservation – Conserve natural resources	R
	Standards – Promote and ensure high standards	R
	Planning – Make sure development makes efficient use of existing physical infrastructure and reduce the need to travel	R/ SR
	Transport – Reduce the production of pollutants and congestion from transport while creating good accessibility for all people	R
	Waste – Encourage and enable waste minimisation reuse	R
	Local Sourcing – Encourage local sourcing of goods and materials	R
Maintain high and stable levels of economic growth and employment – Develop a flourishing, diverse and stable economy	Growth – Achieve sustainable economic growth and prosperity	R
	Employment – Create high quality employment opportunities suited to the needs of the local workforce	R
	Investment – Promote investment in future prosperity	R
	Skills – Encourage investment and engagement in learning and skills development	R
	Innovation – Encourage culture of enterprise and innovation	R
	Technology – Promote and support development of new technologies, especially those with high value and low impact	R
	Responsibility – Encourage corporate and social responsibility.	R

West Midlands RSS

Economically successful, outward looking and adaptable region, which is rich in culture and environment, where all people, working together, are able to meet their aspirations and needs without prejudicing the quality of life of future generations

Spatial strategy in response to four major challenges – urban renaissance in MUAs, rural renaissance, diversifying and modernising the economy and modernising the transport infrastructure. For RPG this means addressing the decline in the economy of urban and rural areas, reversing movement of people and jobs from MUAs, tackling road/ rail congestion and promoting balanced and sustainable patterns of development.

Spatial hierarchy - Highest priority to MUAs and designated RZs (6) and HTC's (3). In other areas development will be focused on large settlements and sub-regional foci of Hereford, Rugby, Shrewsbury, Telford and Worcester.

Objective (Principles)	Sub-Objective	Spatial Expression
To secure more sustainable patterns of development	Stemming unsustainable decentralisation of people, jobs and other activities away from MUAs through improving quality of urban environment	SR
	Supporting Birmingham's role as a World City	SR
	Making the best use of existing urban capacity, built environment and infrastructure	R
	Improving or where necessary replacing existing infrastructure	R
	Respecting environmental quality and historical heritage	R
	Prioritising development on brownfield land in sustainable locations (76% target)	R
	Promote good quality housing within the MUAs and targeted action where the housing market is particularly weak.	SR
	Promote housing development in sub-regional foci outside of the MUAs	SR
	To encourage a better balance between jobs, houses and services across the region	Promoting appropriate mixes of new development to limit the need for travel and for social reasons
Adopting an integrated approach to policy		R
Adopt principles of plan, monitor and manage		R
To encourage economic growth and increased prosperity that serves the broad sustainable development needs of the region.	Encouraging higher quality jobs, particularly where they meet sustainability criteria	R
	Supporting development of priority business clusters (including tourism and culture) and exploiting HE/FE and research establishments	SR
	Providing employment that meets the needs of the region, including access to better quality jobs	R

Objective (Principles)	Sub-Objective	Spatial Expression
	(polycentric development)	
	Promoting economic activity where it can deliver environmental and social benefits particularly in areas of need (regeneration)	SR
	Ensuring adequate supply of land in appropriate locations	R
	Ensuring provision of regionally and sub-regionally significant strategic sites (regional investment sites, major investment sites, regional logistics sites)	SR
To narrow regional inequalities in education, employment, health, environment and social and cultural potential	Ensuring wide and open access to opportunities	R
	Promoting development of appropriate facilities	R
	Ensuring that there is an adequate supply of housing to meet local needs	R
	Addressing environmental qualities	R
To facilitate appropriate development in rural communities	To support appropriate development to meet local employment and service needs but which doesn't encourage further decentralisation	SR
	Improving the availability of services in rural areas	SR
	Encouraging the diversification of the rural economy	SR
To protect and enhance the quality of the environment	Protecting and enhancing the region's natural, historic and cultural assets	R
	Minimise environmental impacts from development	R
	Reducing waste, pollution, the unsustainable use of natural resources and the negative effects of climate change	R
	Ensuring region meets or exceeds its responsibilities in addressing national and international obligations	R
To ensure that region's potential is not undermined by congestion and inaccessibility but is supported through a better balanced and improved transport system	Maintain and improve transport accessibility by all modes into, within and through all parts of the region, so that it is comparable with competitor regions	R
	Develop transport network for all modes to support economic prosperity	R
	Support role and expansion of Birmingham International Airport and access to other strategic airports outside of region	SR
	Develop high and affordable quality public	R

Objective (Principles)	Sub-Objective	Spatial Expression
	transport network	
	Aspire to a fully integrated and multi-modal transport system	R
	Ensure transport infrastructure supports regeneration aims	SR
	Encourage more sustainable patterns of living to reduce the need and demand for travel	R
	Reducing the impact of transport on the environment	R
To ensure that each part of the region has a positive role to play in achieving the vision	Promoting consistent policy approaches with neighbouring regions	R
	Help develop the specific roles of different sub-regions	SR

Delivering Advantage – RES

The WM is recognised as a world-class region in which to invest, work, learn, visit and live and the most successful in creating wealth to benefit all of its people.

Spatial hierarchy – MUAs, RZs, HTC and Priority Business clusters; market towns and other towns; and other areas.

Objective	Sub-Objective	Spatial Expression
Developing a Diverse and Dynamic Business Base	Improving our Enterprise Performance	R
	Modernising our Manufacturing Base	R
	Developing the knowledge economy with a focus on Priority business clusters and exploiting HE and research institutions	SR
	Increasing International Engagement, through exporting goods and services and attracting inward investment (especially in higher value added activities)	R
	Developing an Environmental Economy through exploiting opportunities (waste, renewable)	R
	Developing the visitor economy	R
Promoting a Learning and Skilful Region	Tackling the Basic Skills Gap, with a focus on 14-19 age group	R
	Developing Workforce Skills	R
	Improving Leadership and Management Skills	R
	Developing an Enterprise and Entrepreneurship Culture	R

Objective	Sub-Objective	Spatial Expression
	Expanding Higher Level Skills	R
Creating the Conditions for Growth	Improving our Transport System	R
	Developing a Better ICT infrastructure	R
	Delivering Good Quality Sites and Buildings, with priority to providing a balanced portfolio, developing on brownfield land and small number of strategic sites	R/SR
	Delivering a Housing Agenda for Economic Growth with greater choice across all income ranges and adequate provision	R
	Sustainable Use of Natural Resources	R
Regenerating Communities	Linking Opportunity to Needs (Bridges to Success)	SR
	Building the Capacity of Our Communities	R
	Developing Sustainable Communities	SR

Putting Our House in Order: Towards a Regional Housing Strategy for the West Midlands – July 2003

Aim: To develop a pattern of housing investment that meets the needs and aspirations of the people of the West Midlands and, in conjunction with both the Spatial Strategy for the Region and the Regional Economic Strategy develops patterns of housing provision which will support the economic development of the region, protect and enhance the environment, stem patterns of out migration from the older urban centres and contribute to urban and rural renaissance.

The 2005 Issues Paper outlines the purpose of the RHS as to:

Deliver sustainable communities;

Make the best use of scarce resources;

Join housing up with other regional strategies, including land use planning, economic development, transport and other services (including supporting people)

Objective	Sub-objective	Spatial Expression
To work with other strategies to secure the protection and improvement of quality of life in the West Midlands	Address links between housing and other key activities in the region	SR
	Develop effective partnerships between local authorities and housing associations	SR
	Develop a strong regional approach to housing	R
To create growth centres and successful housing and economic activity in the West Midlands's major urban areas	Identify opportunities for growth	SR

Objective	Sub-objective	Spatial Expression
	Ensure that the level of resources being devoted to these areas are sufficient to make a significant impact	SR
To contribute to urban renaissance and help stem net out-migration from the urban areas within the Region	Address patterns of low demand and facilitate the restructuring of housing markets – including the support of existing, and development of new, HMRA's.	R/ SR
	Address issues of housing condition and improve the quality of affordable housing stock	R/ SR
	Encourage the development of more sustained and balanced communities	SR
	Address issues of crime and safety, the quality of the local environment and local services	SR/ L
	Stimulate and facilitate the development of local communities	L
	The 2005 issues paper emphasizes that housing renaissance must go hand and hand with economic regeneration – including better schools, community and leisure facilities and improved transport connections	SR
To contribute to rural renaissance and help to ensure there are opportunities for people to remain in their local communities	Provide opportunities for further housing in appropriate locations where this is necessary to meet local housing needs, retain population and support local services	SR
	Ensure increased provision and improved condition of affordable housing – The 2005 issue paper considers that the location of affordable housing should take access to local transport into account	SR
	Encourage the development of more sustainable and balanced communities	SR
	Address issues of crime and safety, the quality of the local environment and access to local services	SR/ L
	Stimulate and facilitate the development of local communities	L
To provide pathways of choice – in terms of type, tenure and location - for households and communities within different parts of the Region	Build diversity of housing at a local level	L
	Provide a greater opportunities for movement between tenures within a local area	L
	Improve integration between different organisations and agencies and policy areas	R/ SR
	Ensure accessibility to public transport and other local services, focusing on people with disabilities	SR/ L
To contribute to sustainable	Ensure that policies, priorities, promote sustainable	R

Objective	Sub-objective	Spatial Expression
development and the delivery of sustainable communities	communities	
	Integrate housing policies with economic, social and environmental initiatives	SR
	The 2005 issues paper emphasizes that BME housing requirements need to be addressed in order to secure community cohesion and diversity	R
To provide a basis for the development of related strategies and investment priorities	Develop Regional Housing Investment Plans	R
	Develop Supporting Regional Strategies and Initiatives including: Homelessness Strategy; Supporting People Strategy	R
	Build up data and develop a shared understanding of the operation of housing markets.	R

West Midlands Regional Assembly Transport Delivery Plan

The TDP provides current information on the status of implementing each element of the Regional Transport Strategy. The TDP also illustrates how the West Midlands Region's five transport priorities will be delivered.

Objective	Sub-objective	Spatial Expression
Promote a Change of Hearts and Minds of the Region's Population	Change travel behaviour and deliver sustainable transport choices that promote healthier lifestyle decisions	R
	Encourage land use that reduces the need to travel.	R
Make the Best Use of the Existing Regional Transport Networks	Achieve a shared understanding of the potential impacts of traffic 'demand management'	R
	Deliver rail performance improvements for passengers and freight, particularly at Birmingham New Street Station.	R/ SR
Provide a Comprehensive Public Transport System that serves the Urban Areas	Achieve a comprehensive network of Midland Metro in the West Midlands conurbation, and bus rapid transit in urban areas.	SR
	Improve the integration of bus, metro and rail services.	SR
	Deliver strategic park and ride.	SR
Improve Access to Birmingham International Airport (BIA) and the NEC	Support the on-going sustainable development of BIA and the NEC to sustain and improve connections with international markets	SR

Objective	Sub-objective	Spatial Expression
	Produce a surface access strategy that increases the proportion of sustainable trips	SR
	Carry out a Route Management Strategy for the M42/M5/M6 Motorway Box, including a Land Use Development Control Statement for each length of motorway	SR
Ensure that the West Midlands is a reliable hub to serve Regional, National and International Connections	Make better connections with international gateways, the key airports and ports, to support the economy;	R
	Improve the performance of the highway and rail networks to serve the region and beyond	R
	Improve co-ordination between all the organisations responsible for delivering and maintaining the transport network.	R

West Midlands Regional Prioritisation Framework

Supporting Information - Revised Summary and Scheme Banding

West Midlands Regional Prioritisation Framework

Supporting Information - Revised Summary and Scheme Banding

C3000 / November 2005

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Table1: Summary of Scheme Distribution

Banding Category	Previous Banding		Revised Banding	
	Absolute	Percentage	Absolute	Percentage
Band 1	1	2	5	9
Band 2	9	15	9	15
Band 3	10	17	15	25
Band 4	1	2	3	5
Band 5	6	10	6	10
Band 6	2	3	2	4
No Band	30	51	19	32
TOTAL	59	100	59	100

Table 2: Scheme Assessment Summary

Scheme	Regional/Sub-regional or Local	Contribution to Objectives						Efficiency Assessment			Previous Banding	Revised Banding
		Economic	Social	Spatial Planning	Housing	Environment (Greenhouse gas emissions)	Overall	Environment	BCR	Efficiency Score		
Tunstall Northern Bypass (Provisionally Approved)	Local	Major	No Significant	Major	Significant	Limited Contribution	Major	Neutral	10.65	Very high	1	1
Rotherwas Access Road	Regional/ Sub Regional	Major	Limited	Significant	Significant	Negative Impact	Major Contribution	Neutral	13.2	Very high	2	1
Rugby Western Relief Road (Provisionally Approved)	Regional/ Sub Regional	Significant Contribution	Limited Contribution	Significant Contribution	Major Contribution	No Significant Contribution	Major Contribution	Neutral	11.168	Very High	2	1
Birmingham New Street Station Redevelopment	Regional/ Sub Regional	Major Contribution	Limited Contribution	Significant Contribution	Limited Contribution	Limited Contribution	Major Contribution	Slight positive	Over 3	Very High	3	1 (Provisional) Need to consider how scheme can be accommodated in future
Walsall Town Centre Transport Package (Provisionally Approved)	Regional/ Sub Regional	Major Contribution	Significant Contribution	Significant Contribution	Limited Contribution	Limited Contribution	Major Contribution	Neutral	6.7	Very High	2	1
Walsall Integrated Transport Package PFI (Provisionally Approved)	Regional/ Sub Regional	Significant Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Significant Contribution	Neutral	4.2	Very High	2	2
West Midlands Red Routes Network Packages 2-5	Regional/ Sub Regional	Significant Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Significant Contribution	Neutral	4	Very High	No Band	2 (provisional)
Shrewsbury North West Relief Road	Regional/ Sub Regional	Limited Contribution	Limited Contribution	No Significant Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Neutral	4.82 – 7.89	Very High	2	2 (Very Provisional)
Selly Oak New Road (Provisionally Approved)	Regional/ Sub Regional	Major	Limited	Significant	Significant	No Significant Contribution	Major Contribution	Slight Positive	3.8	High	2	2
Coleshill Multi Modal Interchange (Coleshill Parkway) (Provisionally Approved)	Local	Limited	Limited	Limited	Limited	No Significant Contribution	Limited Contribution	Neutral	5.19	Very high	2	2

Scheme	Region/Sub-regional or local	Contribution to Objectives						Efficiency Assessment			Previous Banding	Revised Banding
		Economic	Social	Spatial Planning	Housing	Environment (Greenhouse gas emissions)	Overall	Environment	BCR	Efficiency Score		
West Midlands UTC Major Transport Scheme	Regional/ Sub Regional	Limited	Limited	Limited	Limited Contribution	Limited Contribution	Limited Contribution	Neutral	11.2	Very high	2	2
Coventry Rapid Transit 2	Regional/ Sub Regional	Significant Contribution	Major Contribution	Significant Contribution	Significant Contribution	Limited Contribution	Major Contribution	Neutral	2.33	High	No Band	2 (Provisional)
Stourport-on-Severn Relief Road (Highways)	Regional/ Sub Regional	Limited	Limited	Significant	Limited	Negative Impact	Significant Contribution	Slight Adverse	4.75	Very High	No Band Potential Band 2	Band 2
Brierley Hill Sustainable Access Network (Provisionally Approved)	Regional/ Sub Regional	Limited	Limited	Significant	Significant	No Significant Contribution	Significant Contribution	Slight Positive	5.7	Very High	3	2 (may move to band 1 in later rounds)
Chester Road Access Improvements	Regional/ Sub Regional	Limited Contribution	Limited Contribution	Significant Contribution	No Significant Contribution	Significant Contribution	Significant Contribution	Slight Positive	3.6	High	2	3
A41 Expressway/ A4031 All Saints Junction improvement	Regional/ Sub Regional	Significant	No Significant Contribution	Significant	Limited	No Significant Contribution	Significant	Neutral	3.8	High	3	3
Brownhills Transport Package	Regional/ Sub Regional	Significant Contribution	Significant Contribution	Limited Contribution	Limited Contribution	Significant Contribution	Significant Contribution	Slight positive	3.6	High	3	3
A4123-A461 Junction Improvement (Burnt Tree Island)	Local	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Slight positive	3.3	High	3	3
Midland Metro Phase 2 Extensions	Regional/ Sub Regional	Significant Contribution	Significant Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Significant Contribution	Neutral	2.09	High	3	3 (Very Provisional)
SPARK (Leamington Spa and Warwick) Integrated PT Improvements	Regional/ Sub Regional	Significant Contribution	Limited Contribution	Limited Contribution	No Significant Contribution	Limited Contribution	Significant Contribution	Neutral	2.84	High	3	3
Coventry Rapid Transit 1	Regional/ Sub Regional	Significant	Major	Significant	Limited	No Significant Contribution	Major Contribution	Neutral	1.9	Good	3	3

Scheme	Region/Sub-regional or local	Contribution to Objectives						Efficiency Assessment			Previous Banding	Revised Banding
		Economic	Social	Spatial Planning	Housing	Environment (Greenhouse gas emissions)	Overall	Environment	BCR	Efficiency Score		
BIA/ NEC Public Transport Access Scheme	Local	Major	Significant	Significant	Significant	No Significant Contribution	Major Contribution	Neutral	1.8	Good	3	3
Midland Metro Phase 1 extensions (Provisionally Approved)	Regional/Sub Regional	Major	Significant	Significant	Limited	Limited Contribution	Major	Neutral	1.66	Good	3	3 (Very Provisional)
Coventry Station Interchange	Regional/Sub Regional	Major Contribution	Limited Contribution	Significant Contribution	Significant Contribution	Limited Contribution	Major Contribution	Neutral	1.5 – 2	Good	No Band	3 (Provisional)
Owen Street Level Crossing Relief Road (Provisionally Approved)	Regional/Sub Regional	Limited Contribution	Limited Contribution	Limited Contribution	No Significant Contribution	Limited Contribution	Limited Contribution	Neutral	Over 3	High	6	3 (On the basis that assumed rail network benefits are realised otherwise assigned Band 5)
Brinsford Strategic Park and Ride	Regional/Sub Regional	Significant Contribution	Significant Contribution	Limited	Limited	Limited Contribution	Significant Contribution	Neutral	2.9	High	No Band	3 (Provisional)
Londbridge Link Road	Local	Major	Limited	Significant	Limited	Limited Contribution	Major	Neutral	2.18	Good	No Band	3
Wobaston Road Corridor – i54 Access	Local	Major Contribution	No Significant Contribution	Major Contribution	No Significant Contribution	Limited Contribution	Major Contribution	Neutral	2-3	Good	No Band	3 (Provisional)
Wolverhampton Railway Station	Regional/Sub Regional	Significant Contribution	No Significant Contribution	Significant Contribution	Limited Contribution	Limited Contribution	Significant Contribution	Slight Positive	2.94	High	4	3
Frankley Cross City Line Extension	Regional/Sub Regional	Limited Contribution	Significant Contribution	No Significant Contribution	Limited Contribution	Limited Contribution	Significant Contribution	Neutral	1.58	Good	5	4
Cannock Line Rail Showcase 1	Regional/Sub Regional	Limited Contribution	Limited Contribution	Limited Contribution	Significant Contribution	Limited Contribution	Significant Contribution	Slight Positive	1.5 – 2.0	Good	No Band	4 (Provisional)

Scheme	Region/Sub-regional or local	Contribution to Objectives						Efficiency Assessment			Previous Banding	Revised Banding
		Economic	Social	Spatial Planning	Housing	Environment (Greenhouse gas emissions)	Overall	Environment	BCR	Efficiency Score		
Longbridge Strategic Park & Ride	Regional/Sub Regional	Significant Contribution	Significant Contribution	No Significant Contribution	No Significant Contribution	No Significant Contribution	Significant Contribution	Neutral	1.84	Good	5	4 (Provisional)
Darlaston Strategic Development Area (Provisionally Approved)	Regional/Sub Regional	Major	Limited	Significant	Limited	Limited Contribution	Major	Slight Positive	1.4	Limited	5	5
Dudley Road Traffic Management Phase 3	Regional/Sub Regional	Significant Contribution	Significant Contribution	Significant Contribution	Significant Contribution	Limited Contribution	Significant Contribution	Slight positive	1.77	Moderate	5	5
Worcester Parkway	Local	Limited Contribution	No Significant Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Neutral	1.58	Good	No Band	5
Hanley Bentilee Link	Regional/Sub Regional	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	No Significant Contribution	Limited Contribution	Neutral	2.075	Good	5	5
Bradford Place PT Interchange	Regional/Sub Regional	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Slight Positive	1.6	Good	No Band	5 (Provisional)
A41 Sandford Bypass	Local	Possible Limited Contribution	Possible Limited Contribution	Possible Limited Contribution	Possible Limited Contribution	Limited Contribution	No Significant Contribution	Slight Positive	2.04	Good	No Band	5 (Provisional)
North Staffordshire Public Transport Public Transport Improvement Scheme	Regional/Sub Regional	Significant	Significant	Significant	Limited	Limited Contribution	Significant Contribution	Slight Positive	0.1	Limited	5	6
A483 Pant – Llanyrnech Bypass	Regional/Sub Regional	Limited	No Significant Contribution	No Significant Contribution	Limited	Limited Contribution	Limited	Slight Positive	1.45	Limited	6	6
Worcester Transport Strategy	No Efficiency Assessment	Significant Contribution	No Significant Contribution	Limited Contribution	Significant Contribution	No Score	Significant Contribution	No Score	No Score	No Score	No Band	No Band
Wyre Forest Transport	No	No	No	Significant	No Significant	No Score	Significant	No Score	No Score	No Score	No	No Band

Scheme	Region/Sub-regional or local	Contribution to Objectives						Efficiency Assessment			Previous Banding	Revised Banding
		Economic	Social	Spatial Planning	Housing	Environment (Greenhouse gas emissions)	Overall	Environment	BCR	Efficiency Score		
Strategy	Efficiency Assessment	Significant Contribution	Significant Contribution	Contribution	Contribution		Contribution				Band	
M6 Junction 10	No Efficiency Assessment	Limited Contribution	No Significant Contribution	Limited Contribution	Limited Contribution	No Score	Limited Contribution	No Score	No Score	No Score	No Band	No Band
Sutton Coldfield Public Transport & Environment Improvements	No Efficiency Assessment	Limited Contribution	No Significant Contribution	Limited Contribution	Limited Contribution	No Score	Limited Contribution	No Score	No Score	No Score	No Band	No Band
Swanswell Regeneration	No Efficiency Assessment	Limited Contribution	No Significant Contribution	Limited Contribution	Limited Contribution	No Significant Contribution	Limited Contribution	Neutral	No Score	No Score	No Band	No Band
Solihull Park and Ride Expansion	No Efficiency Assessment	Limited Contribution	Limited Contribution	No Significant Contribution	No Significant Contribution	No Score	Limited Contribution	No Score	No Score	No Score	No Band	No Band
Snow Hill Line Rail Showcase 2	No Efficiency Assessment	Limited Contribution	Limited Contribution	No Significant Contribution	No Significant Contribution	No Score	Limited Contribution	No Score	No Score	No Score	No Band	No Band
Cross City Line/ Walsall Line Rail Showcase 3	No Efficiency Assessment	Limited Contribution	Limited Contribution	Limited Contribution	No Significant Contribution	No Score	Limited Contribution	No Score	No Score	No Score	No Band	No Band
Wolverhampton – Coventry Line Rail Showcase 4	No Efficiency Assessment	Limited Contribution	Limited Contribution	No Significant Contribution	No Significant Contribution	No Score	Limited Contribution	No Score	No Score	No Score	No Band	No Band
Minworth/ Chelmsley Wood Link Road	No efficiency Assessment	Significant	Limited	Significant	Limited	No Score	Significant	No Score	No Score	No Score	No Band	No Band
West Midlands Quality Bus Network 2	No Efficiency Assessment	No Score	No Score	No Score	No Score	No Score	No Score	No Score	No Score	No Score	No Band	No Band

Scheme	Region a/ Sub-regional or local	Contribution to Objectives						Efficiency Assessment			Previous Banding	Revised Banding
		Economic	Social	Spatial Planning	Housing	Environment (Greenhouse gas emissions)	Overall	Environment	BCR	Efficiency Score		
	ent											
Shrewsbury Parkway Rail Station	No Efficiency Assessment	No Score	No Score	No Score	No Score	No Score	No Score	No Score	No Score	No Score	No Band	No Band
Wolverhampton Bus Station	No Efficiency Assessment	No Score	No Score	No Score	No Score	No Score	No Score	No Score	No Score	No Score	No Band	No Band
North-South Corridor (Leamington Spa to Nuneaton) PT Scheme	No efficiency Assessment	Limited Contribution	No Significant Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	No Score	No Score	No Score	No Band	No Band
East Birmingham North Solihull Mobility Access Project	No efficiency Assessment	Significant Contribution	Significant Contribution	Limited Contribution	Significant Contribution	No Score	Significant Contribution	No Score	No Score	No Score	No Band	No Band
Eastside	No efficiency Assessment	Limited Contribution	Significant Contribution	Limited Contribution	No Significant Contribution	No Score	Significant Contribution	No Score	No Score	No Score	No Band	No Band
Bus Rapid Transit 2	No efficiency Assessment	No Score	No Score	No Score	No Score	No Significant Contribution	No Score	Neutral	No Score	No Score	No Band	No Band
Bus Rapid Transit 3	No efficiency Assessment	No Score	No Score	No Score	No Score	No Significant Contribution	No Score	Neutral	No Score	No Score	No Band	No Band
Canley Regeneration (CANS)	No efficiency Assessment	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Limited Contribution	Neutral	No Score	No Score	No Band	No Band