



## REPORT

**Agenda Item 4(v)**

<b>SUBJECT:</b>	<b>Transport and Highways Services for Wales- Strategic Programme for Change Report(SPfCR)</b>
<b>MEETING:</b>	<b>Cabinet</b>
<b>DATE:</b>	<b>6<sup>th</sup> February 2013</b>
<b>DIVISION/WARDS AFFECTED:</b>	<b>all</b>

### **1. PURPOSE**

This report outlines the Consultation Strategic Programme for Change Report published in December 2012 (SPfCR). A copy of the document is attached (appendix 1).

### **2. RECOMMENDATIONS**

- 2.1 That Cabinet decide whether Monmouthshire CC should continue to contribute to the development of proposals for greater collaboration amongst local authorities within service areas defined within the report.
- 2.2 That, based upon Cabinet comments, officers prepare a response to Welsh Government in consultation with the cabinet member reflecting members' views.
- 2.3 That cabinet note that the Council's response will be outside the timetable set by Welsh Government.

### **3. KEY ISSUES**

- 3.1 On 20th December 2012, The Minister for Local Government and Communities and the WLGA Spokesperson – Roads, Infrastructure and Transport jointly sent a letter to update Local Authorities on the progress with the Highways and Transportation Compact commitments and advised that work on the "Compact" had moved to the next stage which is the SPfCR. The consultation SPfCR was enclosed with the letter.

- 3.2 Local authorities have been asked to comment on the consultation SPfCR by 31st January 2013 to enable the report to be finalised and reported to the WLGA Council meeting on 22nd February 2013. At that WLGA Council meeting, endorsement of the final SPfCR will be sought, as well the workstream scoping programme plans and resource requirements. Therefore it has been requested that local authorities consider the report prior to the 22nd February 2013 thereby enabling the Leader of each Council to be in a position to endorse the report at the WLGA Council meeting. It appears that there will not be any further opportunity for individual authorities to formally sign up to the Document, rather endorsement will be at the WLGA Council meeting.
- 3.3 The 10 workstreams which have been identified as a result of the transport High Level Review which the council is being asked to comment on, will be led by either Welsh Government officials or Local Authority Directors, supported by a project team drawn from WG , Local Authorities and RTC.
- 3.4 The suggested workstreams based on the evidence gathered in the High Level Transport Report are as follows:-

**Leadership/Governance:**

**WS1 – Strengthen Governance Arrangements for regional collaboration**

**WS2 – Establish a planning framework for the next round of transport plans (covering national and regional)**

**WS3 – Re-define the status of the roads making up the Welsh highway network**

**WS4 – Re-allocate responsibilities for the various categories of the highway network**

**Efficiency:**

**WS5 – Develop business cases for further collaborative working on a national, regional or sub-regional basis**

**WS6 – Introduce arrangements for Welsh Government and local authorities to share their professional skills**

**WS7 – Introduce a programme to roll out procurement processes that have secured efficiency savings at national, regional, sub-regional and local level**

**Effectiveness/Innovation:**

**WS8 – Establish minimum operational and maintenance standards and policies and rationalise specifications for the network**

**WS9 – Increase resilience to deliver planned and non-planned events**

**WS10 – Introduce a requirement and system to produce, record and compare outcomes and outputs against investment.**

- 3.5 The Consultation Document advises that each of the workstreams will generate options and then the preferred and possible options to support new working arrangements will be further developed and if approved further refined into a full business case.
- 3.6 The Consultation Document also outlines the economic, financial, management implications of these workstreams.
- 3.7 The principle of developing opportunities for greater collaboration should be supported, however, it must be recognised that potentially this work could cause your officers that work on transport and highway matters significant extra work and could result in far reaching changes to the way transport services are delivered by this Council and in Wales as a whole.
- 3.8 Local authorities are not being asked to approve any changes to the planning, management or delivery of transport or highway services. Support of the SPfCR will give approval to continue work on the 10 identified workstreams as detailed above. At this stage it is understood that changes to existing transport or highway services will not take place without approval from local authorities. (It is unclear whether such changes would operate on a majority approval decision or whether approval to proceed would be needed from all 22 local authorities in Wales).
- 3.9 Detail of the 10 workstreams including proposed benefits, stakeholders and communication are included in appendix 2.

- 3.10 Whilst the regionalisation of Welsh Government capital funded schemes is recognised as an appropriate method for the prioritisation of major highway infrastructure investment, there is a risk this project could impact on local budgets and decisions. This will be assessed as the project progresses and reported back to Cabinet and select committees as appropriate.

#### **4. REASONS**

- 4.1 The Simpson Report published in March 2011 made recommendations to move forward the planning, management and delivery of strategic highway services on a regional basis as well as promoting joint working to deliver engineering services.
- 4.2 The Welsh Local Government Association and the Welsh Government jointly negotiated a "Compact" which represents a statement of commitment from the Welsh Government and Local Government to prioritise actions that will form the basis of public service reform.
- 4.3 In addition to these "Compact" commitments the Minister has also sought to bring forward projects that can be implemented by the Regional Transport Consortia (in South East Wales this is the South East Wales Transport Alliance (Sewta)) as "Quick Wins".
- 4.4 Evidence has been gathered by a Welsh Government led Steering Group to review the existing transport arrangements in Wales and an assessment made of the potential opportunities for further transport collaboration. The findings of this exercise are set out in the Transport High Level Review Document. (The Transport High Level Review Document outlines the good work currently being undertaken in the transport field in Wales but also identifies issues with the existing arrangements. Link: <http://wales.gov.uk/docs/det/publications/120712transervicesen.pdf>)

#### **5. RESOURCE IMPLICATIONS**

- 5.1 As a result of the continuation of this work, the Council may be approached to commit staff resources to these workstreams. There are also likely to be opportunities to bid for additional funding to sufficiently resource this work and therefore workstream leads are currently scoping the resources required. Notwithstanding the above, it needs to be recognised that progressing the collaboration agenda is resource intensive particularly in terms of staff time being devoted to the issue.

#### **6. SUSTAINABLE DEVELOPMENT and EQUALITY IMPLICATIONS**

The EQiA is attached.

**7. CONSULTEES:**  
Cabinet Members, SLT.

**8. BACKGROUND PAPERS:**

8.1 Transport and Highway Services for Wales: Strategic Programme for Change Report (SPfCR) Welsh Government and Welsh Local Government Association: A Joint Response for Change December 2012 and cover letter dated 20th December 2012.

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Llywodraeth Cymru  
Welsh Government

Consultation Document

# Transport and Highways Services for Wales

## Strategic Programme for Change Report (SPfCR)

Welsh Government and  
Welsh Local Government Association

A joint response to the  
Compact for Change

December 2012



# Foreword

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The priority of Welsh Government and Welsh Local Government is to improve citizen centred service delivery and to step up the pace and scale of the implementation of operational efficiencies.

For a number of years, local authorities in Wales have been meeting their duty of continuous improvement, and the associated improvement objectives, through cost-efficiencies and the introduction of innovative measures. One of the methods used to maintain the viability of and to improve services while achieving efficiencies and savings has been that of increased and deeper collaboration. Much good work has been progressed in this area and this can be seen in the Welsh Local Government Association's Regional Collaboration Compendium<sup>1</sup>. Some examples in transport services are set out below:

## Case study 1 – Decriminalised Parking

A number of Councils are using back office facilities, managed by Denbighshire County Council, to support the introduction of decriminalised parking across Wales. The Centre processes fixed penalty notices issued by parking wardens and prepares evidence for court actions against those who fail to pay the fines.

Through this collaboration, initial set up costs in establishing decriminalised parking have been reduced and, in a number of cases, this has made some smaller parking enforcement business cases viable by enabling local authorities to access the 'shared service' operation. The Centre provides reduced costs for handling penalties, as the information technology costs are shared between partners and back office staffing costs reflect economies of scale, arising from the additional volume of parking enforcement activities that local authorities bring as they join the service.

For the Civil Parking Enforcement collaboration between the local authorities of Bridgend and the Vale of Glamorgan, with back office services provided by Denbighshire:

- joint management and enforcement show projected savings of £152k over five years and an annual saving of £23k thereafter.
- using the Welsh Penalty Processing Partnership based in Denbighshire, joint saving of £429k over five years and an annual saving of £82k thereafter.

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<sup>1</sup> Go to: <http://www.wlga.gov.uk/english/regional-collaboration-compendium-1/>

## Case study 2 – Road Safety

Since 2011–12 funding for road safety has been delivered through the Regional Transport Consortia enabling funding to be managed on a regional basis targeting identified priorities. Strategic regional road safety groups have been established to coordinate activity between partner organisations, including the police and fire services.

In North Wales funding for the revenue parts of the programme is now delivered regionally, with a lead authority for each activity in place of each authority delivering projects independently. This has brought about the reduction in the cost of advertising and road safety promotion campaigns (for example savings this financial year of £50–60k on advertising spend alone). Previously each authority or partner organisation advertised independently, often on the same radio stations or newspapers, there is now an annually agreed coordinated series of campaigns timed to coincide with national policing initiatives or seasonal activities with the associated saving arising from the pooled purchasing power.

As a result of regional working, a reduction in funding levels has not led to deterioration in the level of service. The regional approach has led to a more strategic delivery of the projects.

## Case study 3 – Regional Service Provision through the Central Wales Infrastructure Collaboration (CWIC)

This shared services initiative between Powys and Ceredigion County Councils has concentrated on regional service provision through the establishment of joint teams. The programme is focussed on driving improvements in the four workstreams of Property Services, Engineering Strategy, Engineering Operations (includes consultancy), and Transport and Road Safety. Progress so far has seen shared managers appointed for Passenger Transport, Engineering Design and Streetworks, with more appointments expected by April 2013. A Benefits Realisation Plan has been developed which demonstrates many areas of service improvement as well as savings in the order of £350k for 2012/13.

The two counties' engineering design services have been re-branded as CWIC EDS under a single regional manager. The four existing design offices have been retained and workload is shared across the region. The team operates to a single Quality Assurance System which has already been accredited to ISO 9001–2008 and uses a common resource planning and job costing system. Work sharing is already smoothing out peaks and troughs in workload, and is expected to allow specialisms to develop which will help to keep skilled jobs based in the local area.



### Case study 3 – Regional Service Provision through the Central Wales Infrastructure Collaboration (CWIC)

The Councils have been operating a regional Streetworks service since September 2012. The team carries out duties from bases in both counties under a shared administrative system. Service improvements include reduction in duplication, improved accuracy of the Gazetteer, regional consistency with associated cost savings.

Consultation is currently underway on plans for regional delivery of Property Services. Once this has been established the region will have a single regional team delivering all property functions for both Councils.

The High Level Review of Transport and Highways Services<sup>2</sup> undertaken as part of the Transport Compact Workstream clearly highlights that far more needs to be done to ensure our services are responsive, appropriate to the customer's requirements and sustainable.

To enable this vision to be developed and implemented, an extensive programme of change will be needed to facilitate and enable new ways of working to be driven forward within available resources.

This Strategic Programme for Change Report (SPfCR) aims to establish the case for change and the way forward in relation to modernising and improving the way Transport and Highways services are planned and delivered. It sets out a programme to support the development of services to meet current and future service needs. It has been developed through a comprehensive process of engagement with partner organisations. This process will continue through a series of next steps set out within the document.

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<sup>2</sup> <http://wales.gov.uk/topics/transport/publications/transervices/?jsessionid=6C73C624C6440F30529B45A28BBFF305?lang=en>

# 1. Introduction

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1.1 The key partners presenting this Strategic Programme for Change Report (SPfCR) are:

- Welsh Government
- Welsh Local Government Association
- Local Authorities
- Regional Transport Consortia

1.2 These bodies represent the interests of the key public service organisations within Wales with statutory responsibilities for the delivery of Highways and Transportation services at the local, regional and national levels.

## Purpose

1.3 On 5 December 2011 the 'Compact for Change between the Welsh Government and Welsh local government'<sup>3</sup> was signed by the Welsh Government and the Welsh Local Government Association and that has since been ratified by all the local authorities in Wales.

1.4 The Compact recognises the harsh economic climate and increasing public service demands and identifies collaboration as a key tool in dealing with the challenges of variable service quality, fragmented delivery, duplication of effort and inefficiency.

1.5 The Compact is based on the development of voluntary collaboration between Councils and the Welsh Government and its purpose is to deliver resource savings and demonstrable improvements in service delivery for the people of Wales and any case for change must be evidenced against these criteria.

1.6 Where there is a business case for change that exists with demonstrable service or resource benefits collaboration is expected to proceed.

1.7 This Strategic Programme for Change Report provides for transport and highways services:

- An assessment of the current service provisions and governance arrangements against set objectives and associated criteria;
- Sufficient information to allow a decision to be made as to whether work on the business case should proceed to the next stage and
- Recommendations for the next steps.

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<sup>3</sup> <http://wales.gov.uk/topics/improvingservices/publicationevents/publications/compact/?lang=en>

1.8 The Strategic Programme for Change Report follows the 5 case model<sup>4</sup> in line with Welsh Government guidance. The main focus of the SPfCR is to set out clearly the strategic case for change. Through the development of strong business planning, the strategic case will be developed and tested robustly in terms of the economic and financial case for change. The overarching aim is to introduce change which meets the objectives of the Compact of improved service delivery and resource savings. Consideration will also given to the commercial and management approach to be taken to support the strategic programme.

## Context

1.9 The Implementation Contract within the Compact includes the following commitments for transport and highways:

- **Local Government and Welsh Government to review the interface between the Trunk Road Agencies and the Regional Transport Consortia's constituent authorities; and**
- **Joint working between highway engineering services.**

1.10 Both of the above are to support the planning, management and delivery of strategic highways services, and in addition:

- **Local Government with support of Welsh Government to identify and implement 'Quick Wins' by Regional Transport Consortia.**

1.11 The Compact refers to reviewing the planning, management and delivery of strategic highways services, this would therefore include improvements, maintenance, and operational/transport services. In addition, as the Compact refers to strategic highways this covers roads for which the Welsh Government is Highway Authority and the remainder for which the local authorities are Highway Authority.

1.12 In relation to the scope of this work, the Transport Compact Steering Group has determined to include details of both current operating models (Welsh Government and local government), covering the whole highways network of Wales, and to include all transport and highways services in Wales. This latter decision to include both the trunk and county road network was endorsed by the Organisational Development and Simpson Implementation Board (ODSI)<sup>5</sup>.

1.13 In addition, early in 2012 the Minister for Local Government and Communities initiated a review of the arrangements for supporting bus networks in Wales. The review is intended to identify preferred options for a new grant scheme to support bus, community transport and local authority provided services in Wales (education/social services transport delivered directly by the local authorities). The new scheme is to be phased in from 1 April 2013, with a new approach to implementation and delivery; and replacing the existing Bus Service Operator Grant (BSOG) and Local Transport Services Grant (LTSG) funding arrangements.

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<sup>4</sup> [http://www.hm-treasury.gov.uk/d/greenbook\\_toolkitguide170707.pdf](http://www.hm-treasury.gov.uk/d/greenbook_toolkitguide170707.pdf)

<sup>5</sup> <http://wales.gov.uk/topics/improvingservices/pslg/nwp/orgdevelopment/?lang=en&status=open>

1.14 The key outcomes intended to result from a new, better-targeted scheme of funding bus services are higher service quality and growth in the number of fare-paying passengers. It is hoped that in this way a healthy bus network might be improved upon and sustained.

1.15 The delivery of the new scheme will lead to revised arrangements for managing bus networks at a regional level and therefore impacts on the Compact commitments to review transport services.

## Method

1.16 A Transport Compact Steering Group was established in December 2011 to take forward the Compact commitments relating to transport and highways. The Steering Group membership was drawn from senior officers from the Welsh Government, the Welsh Local Government Association and the Regional Transport Consortia<sup>6</sup>.

1.17 The Steering Group set out its assessment of the required work-streams<sup>7</sup> and has identified objectives and essential criteria, summarised to three broad themes:

- Leadership/Governance
- Efficiency
- Effectiveness/Innovation<sup>8</sup>

These were used to assess the proposed future arrangements to achieve the required service improvements and efficiency improvements.

1.18 A wide-ranging consultation exercise has been undertaken including workshops throughout Wales covering heads of service in local government, Regional Partnership Boards, and the joint committees and corporate management boards set up to represent the Regional Transport Consortia. This has ensured that both levels of government have been able to identify the inherent challenges and opportunities within the current arrangements and suggest effective ways forward.

1.19 On the basis of the information and views gathered, the Steering Group prepared a detailed document **'The High Level Review of Transport and Highways Services Report'** which includes the outcomes of the All Wales Consultation Workshop. This SPfCR draws heavily from this report and effectively summarises the issues and opportunities that it contains.

1.20 The review and the production of this SPfCR have been undertaken jointly by the Welsh Government and Welsh local government. Senior representatives of the Welsh Local Government Association, the Regional Transport Consortia and the Welsh Government have gathered the evidence to inform the review and worked together to prepare the findings set out in this report.

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<sup>6</sup> The High Level Review of Transport and Highways Services Report – Appendix 3

<sup>7</sup> The High Level Review of Transport and Highways Services Report – Section 5

<sup>8</sup> The High Level Review of Transport and Highways Services Report – Section 4

## 2. The Strategic Case

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### Current Service Arrangements Overview

2.1 The Welsh Government sets the strategic context and the outcomes that are intended to be achieved as a result of transport interventions. These outcomes relate to economic, social and environmental objectives and reflect sustainable development as the central organising principle of the Welsh Government. The Welsh Government's policy is set out in a range of policy documents, standards and guidance (both statutory and non statutory).

2.2 The Welsh Government provides funding for delivery to local government and other bodies. This can be by way of hypothecated funds (e.g. grants) or non-hypothecated funding (revenue support grant to local government). In addition the UK Government provides funding for non-devolved projects and Welsh local authorities generate local rates, use their borrowing powers and seek European funding to fund delivery.

2.3 The Welsh Government is also responsible for the management of the strategic arterial routes in Wales which comprise the motorway and trunk road networks; the rail franchise in Wales; delivery of major projects on its highway network; and providing financial support for passenger transport including bus and rail services and active travel.

2.4 The largest part of the road network in Wales, by mileage, is managed and maintained by its 22 local authorities. The duties undertaken by each local authority are broadly similar and each provides or procures the full range of activities needed to manage a complex network of different routes.

2.5 The responsibilities of the Welsh Government and local authorities as highways authorities include network management and planning, traffic management, road safety, street lighting, project development and delivery, routine, winter and emergency maintenance, the management and improvement of structures, signage, drainage, maintenance of the soft landscaping, and management of the interface between the network and the utility companies.

2.6 In addition local authorities are responsible for a large number of transport services in their areas. Local bus services on non-commercial routes are procured; bus stations, stops, shelters and other infrastructure provided, and timetable and passenger information made available. The local authorities manage concessionary fares and smartcard infrastructure on behalf of the Welsh Government. Local authorities also act as the front line and main contact point for any problems on the transport network between local citizens and businesses and the other partner bodies.

2.7 There are close linkages between the teams responsible for transport and highways services to all other local government and health services. Transport and highways services are an essential component of virtually all service delivery. Notable examples include the delivery of school children to their schools, health and social care clients to services and the use of the network for the collection and delivery of everything from food and care to waste removal.

2.8 Regional Transport Consortia co-ordinate the development of regional transport policy and lead on the development of the Regional Transport Plans. The Consortia are responsible for programme management of the projects intended to meet the aims and objectives of the relevant Regional Transport Plan. They are responsible for agreement of the funding delivery plan submission to the Welsh Government from the relevant region and the successful delivery and management of the programme thereafter. Projects are delivered by the local authorities within the region. Latterly since April 2011, the Consortia have also managed and monitored the delivery of Road Safety Grant.

## Aims of the Strategic Programme for Change

2.9 The aims of the review and this proposed strategic programme is to:

- assess the existing service arrangements against the three criteria themes as set out on page 15;
- highlight any issues that have been raised in that review;
- consider those issues in the context of the Compact; and
- propose further actions to mitigate or overcome those identified problems as set out in the second bullet point above.

## Issues with Existing Arrangements

2.10 The review acknowledged the good work being undertaken by the Welsh Government and local authorities to manage the services in the current environment. However, it highlighted that a step change is required in both the scale and pace of change in order to maintain and improve services with diminishing resources.

2.11 When undertaking the review of the existing services a number of detailed issues were highlighted in the SWOT analysis<sup>9</sup>. Considering these issues across the service areas common themes could be highlighted<sup>10</sup>:

- i. Inability to effectively respond to reducing funding levels, which are forecast to remain at lower levels for the foreseeable future**
- ii. Opportunity to improve the strategic approach to planning and selection of investment interventions in Wales**
- iii. Disjointed approach to planning, management and delivery of transportation in Wales**
- iv. Duplication of resources due to current delivery structures**
- v. Inability to develop or retain officers with specialist knowledge and skills**
- vi. Inefficient/ineffective procurement**

<sup>9</sup> The High Level Review of Transport and Highways Services Report – Section 5

<sup>10</sup> The High Level Review of Transport and Highways Services Report – Section 6

**vii. Variation across Wales, in some service areas, in standards and policies which are not justified in improving outcomes at a local level**

**viii. Resilience – ability to discharge statutory duties placed on the organisation**

**ix. Lack of baseline data and benefits accrued from investments**

2.12 In addition, when assessing the existing arrangements against the identified desired objectives<sup>11</sup> using a Red Amber Green (RAG) status, the following summary table provides an overview of this assessment process:

	Planning	Management	Delivery	Quick Wins	Productmnt	Bus Services
Leadership/ Governance	Amber	Red	Amber	Red	Amber	Red
Efficiency	Amber	Red	Red	Red	Amber	Red
Effectiveness/ Innovation	Red	Red	Amber	Red	Amber	Red
Overall	Amber	Red	Amber	Red	Amber	Red

**The assessment of current arrangements related to Leadership/Governance, Efficiency and Effectiveness/Innovation all provided an amber or red status against the defined criteria.**

## Business Need

2.13 Based on the issues raised related to the existing arrangements, there appears to be weaknesses in the current governance and service provision, which may be limiting the introduction of changes, and specifically collaborative activities, in securing service improvement and efficiencies.

**There is sufficient information to justify further work being undertaken to determine whether there is a viable business case for change.**

<sup>11</sup> The High Level Review of Transport and Highways Services Report – Section 4

## Scope and Service requirements

2.14 Having reviewed the evidence and summarised this in Section 2.13, it was identified that there is clear justification in proceeding forward to the next stage of the business case methodology by undertaking further work to the Outline Business Case(s) stage.

2.15 The following work-streams (WS) have been identified against each of the themes below:

### ➤ **Leadership/Governance:**

- WS1 – Strengthen Governance Arrangements for regional collaboration
- WS2 – Establish a planning framework for the next round of transport plans (covering national and regional)
- WS3 – Re-define the status of the roads making up the Welsh highway network
- WS4 – Re-allocate responsibilities for the various categories of the highway network

### ➤ **Efficiency:**

- WS5 – Develop business cases for further collaborative working on a national, regional or sub-regional basis
- WS6 – Introduce arrangements for Welsh Government and local authorities to share their professional skills
- WS7 – Introduce a programme to roll out procurement processes that have secured efficiency savings at national, regional, sub-regional and local level

### ➤ **Effectiveness/Innovation:**

- WS8 – Establish minimum operational and maintenance standards and policies and rationalise specifications for the network
- WS9 – Increase resilience to deliver planned and non-planned events
- WS10 – Introduce a requirement and system to produce, record and compare outcomes and outputs against investment



Figure 1

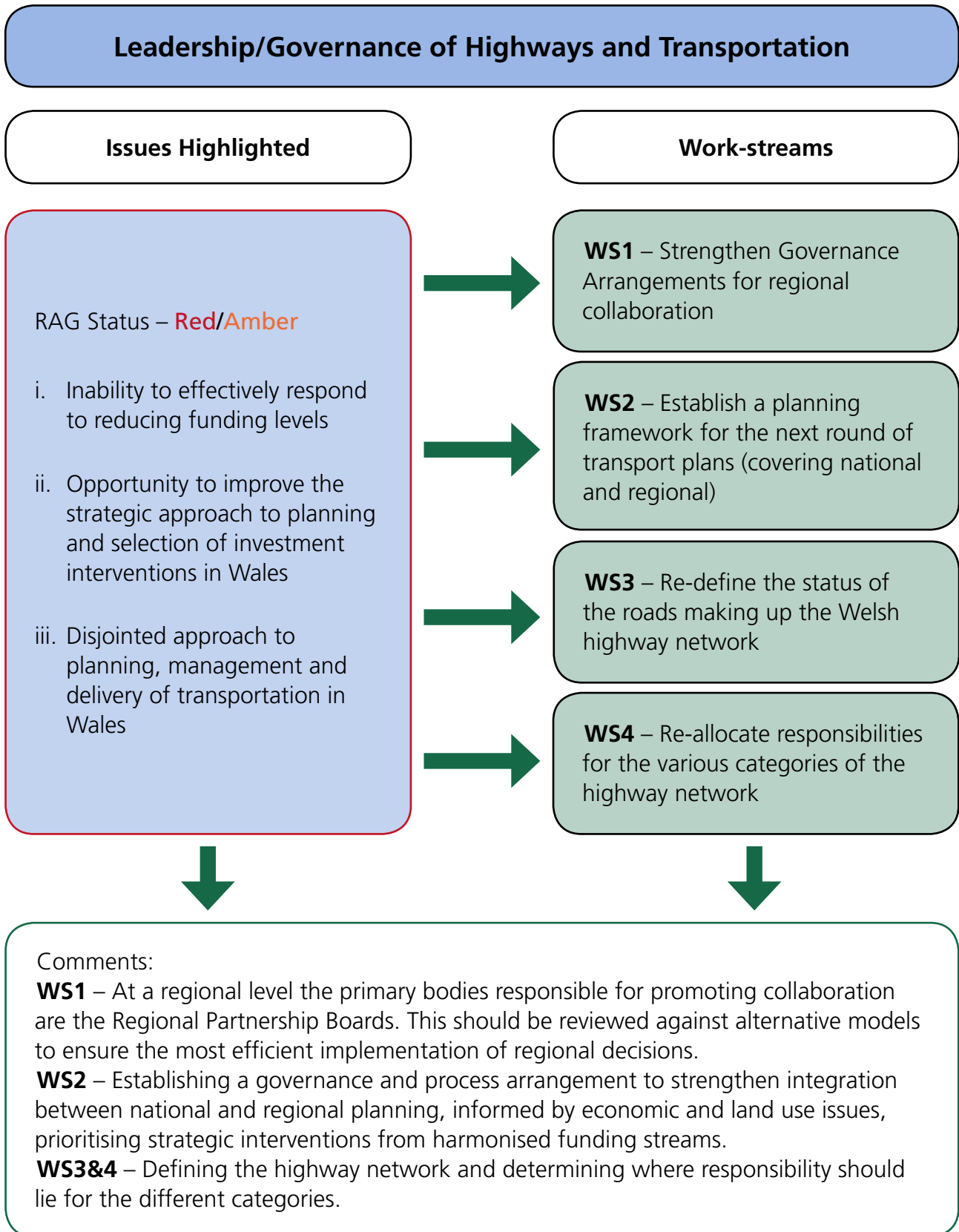


Figure 2

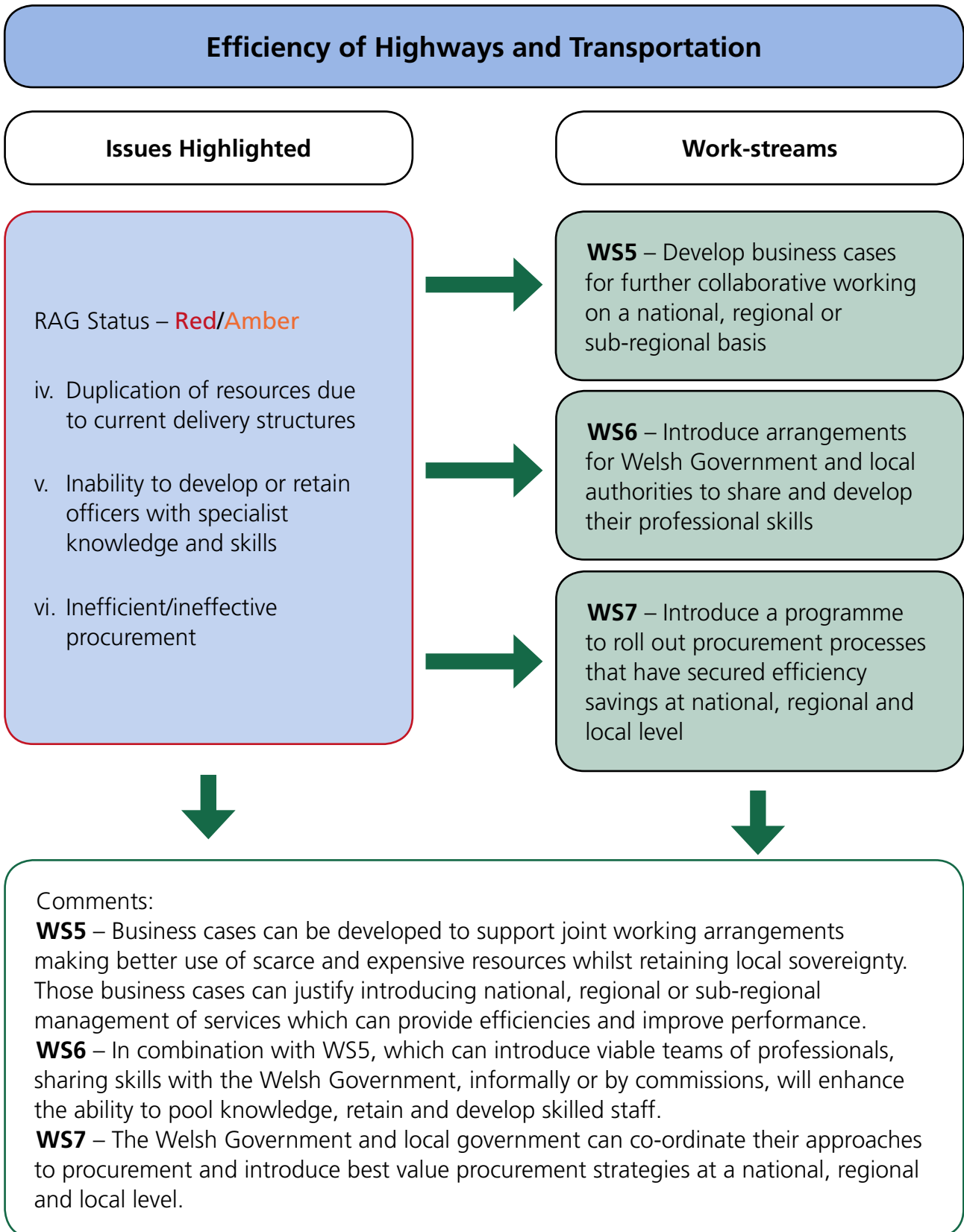
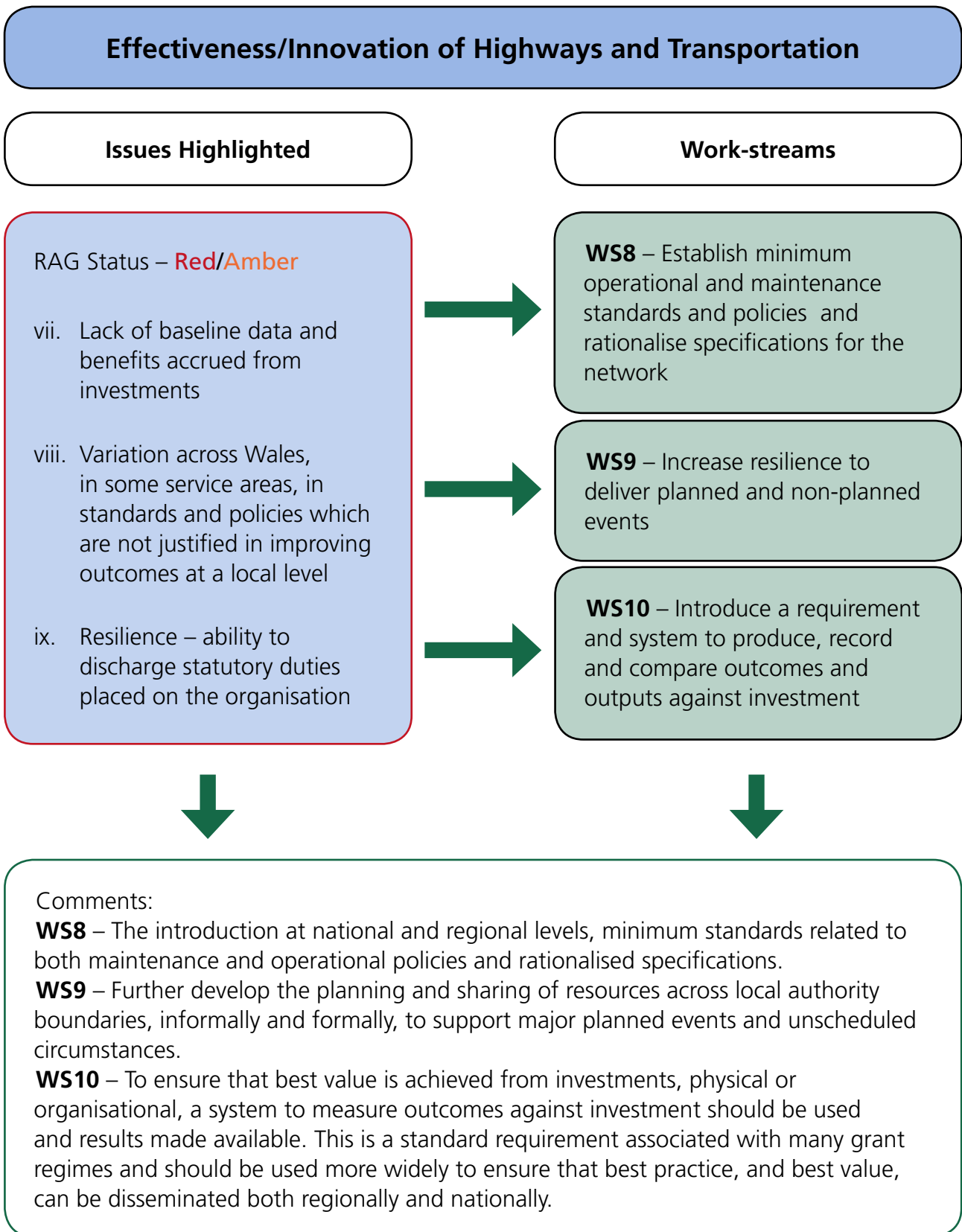


Figure 3



## 3. Economic Case

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### Economic Reason for the Programme

3.1 There is no doubt that investment in transport infrastructure and services can improve economic efficiency through increased accessibility and journey time savings, however, the right investment in transportation can also make a substantial long term contribution towards positively changing the economics of a region. The quality of the transportation system has a direct impact on businesses decision making<sup>12</sup>.

3.2 In addition investment in maintaining and improving the existing transport infrastructure also generates important economic benefits. Maintenance and improvement reduces journey times, enhances capacity and safety and supports resilience.

3.3 Investment in transport infrastructure can provide important community and social benefits. It can increase mobility and access, provide a greater choice of travel modes, improve safety and security, enhance the appearance of our communities, towns and cities, reduce social exclusion and increase community cohesion. In short, transportation investments can improve our quality of life.

3.4 A recent Institute of Fiscal Studies report commissioned by the WLGA shows that the service area of transport has seen a cut in real terms of 27.4% per person in England and Wales from 2009/10 to 2012/13, with this trend set to continue for the next four years or even longer. If service areas such as education and social service continue to be relatively protected from the cuts, this would imply greater cuts going forward for non-protected services such as transport.

3.5 To ensure that the transport network and services support the economic regeneration of Wales, in the face of these significant and sustained cuts, there is a requirement to progress a programme of review with the aim of introducing improvements and efficiencies to the way in which these services are provided.

### Critical Success Factors

3.6 The key Critical Success Factors (CSF's) for this programme have been developed by the Steering Group and are derived from the Compact commitments and from the consultation exercises undertaken to date<sup>13</sup>, and are listed below:

#### CS1 – Achievability and Affordability

- The Programme can be implemented within the required timescales
- The Programme is potentially affordable to implement in respect of both cost and resources

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<sup>12</sup> Lakshmanan, 2011, The broader economic consequences of transport infrastructure investments, Journal of Transport Geography, Vol 19, Issue 1, Pages 1 – 12

<sup>13</sup> The High Level Review of Transport and Highways Services Report – Section 4

## **CS2 – Leadership and Governance**

- Ability to prioritise strategic interventions but maintain local accountability
- Capacity and capability to deliver outcomes
- Ability to provide the required level of resilience
- Arrangements with sound legal basis, supporting robust governance and accountability
- Arrangements that will provide coherence across regional boundaries and be workable for both Welsh Government and local authorities
- Ability to implement partnerships with clear responsibility and accountability structures

## **CS3 – Efficiency**

- Reduce duplication
- Potential to deliver continual service improvements
- Deliver innovation, savings and best value from public and private sector supply chains
- Develop/capitalise on innovative funding models
- Deliver cost savings (reduction in overheads etc.) and/or service improvements

## **CS4 – Effectiveness and Innovation**

- Support the local economy and employment
- Sustain the professional skill base necessary for maintaining a safe cost effective service and delivering the required wider socio-economic benefits
- Share best practice and harmonise policies and standards
- Provide arrangements that are 'scaleable' (facilitating the future delivery/integration of other transport services/functions)

## **Options**

3.7 The scope of this review has identified that to take the overall programme forward requires the development of 10 work-streams, some of which are programmes in their own right.

3.8 Each work-stream will generate options which will be assessed against the aims of this Strategic Programme for Change, and the Critical Success Factors highlighted above.

3.9 The preferred and possible options to support new working arrangements will be developed in line with the 5 case business model process, at Outline Business Case stage. The benefits and costs will be developed in each Outline Business Case and, if approved, will be further refined through the Full Business Case.

## 4. Commercial Case

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4.1 From time to time there will be the need to secure external services in order to deliver the overall programme and associated workstreams. Under those circumstances the relevant Contract Standing Orders and Financial Regulations will be employed at all times.

4.2 Where other procurement may be required, this will be taken forward within the Welsh Government and local authority standards and best practice.

4.3 In addition, work-stream 7 aims to introduce a programme to roll out procurement processes that have secured efficiency savings at national, regional and sub-regional and local level.

4.4 This transformation agenda will be supported by an overall programme risk register, whilst each work-stream will have its own risk register which will be linked to the overall register.

4.5 The implementation of some work-streams or projects within this programme may necessitate the enactment of Transfer of Undertakings (Protection of Employment) TUPE to deliver the transformational change. In the event of changes to staffing structures advice will be taken on TUPE and its application and the revenue implications on this programme.

## 5. Financial Case

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5.1 The financial case acknowledges the requirement of the Compact to undertake a review and set in place proposals for change in the way in which transport and highways services are provided.

5.2 The case studies in the Foreword, along with the evidence in the review document, highlight efficiency savings are achievable through collaboration.

5.3 The key aim of the work-streams identified is to assess the business case for implementing new working arrangements and rolling out examples of best practice. A key element of this process will be a detailed business cases to support the changes, and in each case a robust financial analysis will be undertaken to provide a sound case for moving forward.

5.4 The Steering Group will have an on-going role in relation to monitoring the benefits realisation of the programme, including cost savings.

5.5 Welsh Government, Welsh Local Government Association and local authorities are all contributing resources to the programme, and will continue to do so to support the majority of the work-streams. In so doing this will provide development opportunities for existing staff.

5.6 European Social Fund (ESF) support has been secured by Sewta and Taith to provide resources to take forward regional collaboration initiatives. Similarly, the Central Wales Infrastructure Collaboration (CWIC) has secured the services of an ESF funded Project Officer to assist CWIC in taking forward collaborative infrastructure projects involving Powys and Ceredigion Councils, including discrete areas of transportation and highways. Further opportunities will be sought to bid for appropriate funds in the regions.

5.7 As the work-streams are developed and individual projects taken forward the resources required for business case development and implementation will be significant.

5.8 There will be resource needs for programme and project management and co-ordination, analytical capacity, change management and implementation.

## 6. Management Case

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6.1 As can be seen from 2.14 to address the issues raised with the current arrangements related to the planning, management and delivery of highway and transport services will require the development of 10 work-streams/programmes each of which will have a number of projects within them.

6.2 The first task for each work-stream will be to establish its scope, detailed timeline and the resources required to progress each stage of the work. It will be necessary to be clear whether a work-stream is intended to result in a specific output with a clear end point or to establish an on-going programme of work (for example on revising standards). It is worth noting that in some work-streams, for example on procurement, work is already on-going that can be built on and a key task will be to establish where added value can be provided.

6.3 It is unrealistic to assume that sufficient resources will be made available to progress all of these in parallel at the same rate of development. In addition when considering the work-streams it is clear that some are dependent on the outcomes of others. The table below describes some of the dependencies:

WS1 & WS2:	Comprise the primary 'governance' arrangements for collaboration and planning and are required to be in place to allow the programme of delivery to take place.
WS3 & WS4:	WS3 is already underway, while WS4 will be dependent on the outcome of WS3.
WS5:	Business plan development is already underway in a number of service areas, primarily related to the 'Quick Wins' reviews, however, for approval and implementation, some will be dependent on the outcome of WS1. These plans should continue to be developed to ensure they are ready for implementation when the governance arrangement has been established and approval given.  Further business plan development will be directed by the 'governance' arrangements introduced by WS1.

	One regional collaboration development which has a very specific timeline is 'grant funding arrangements to support local bus services and community transport and manage Quality Bus Partnerships and Contracts'. New grant arrangements must be in place by 1 April 2013, with additional changes being introduced during the transitional year 2013/14. A dedicated steering group and working group consisting of Welsh Government, local authority officers representing the regional consortia, bus and community operators is in place to progress this work.
WS6:	In part this work-stream is dependent on the outcome of WS5.
WS7:	Work is already underway on this but is not effectively co-ordinated and to some extent will rely on the outcome of WS1 & WS2.
WS8:	Work is already underway on defining the required operational and maintenance standards and policies however is dependent on WS1 to allow effective implementation.
WS9:	A number of local initiatives are in place however these need to be co-ordinated via WS1.
WS10:	This exercise will have to be developed, likely based on the 5 case model, however, the requirement to introduce will lie with the Welsh Government and the regional governance arrangement.

6.4 It is therefore proposed to phase the works as detailed on the next page:





## Phase 1

**WS 1** – Develop and agree the primary regional governance arrangements for collaboration

**WS 2** – Establish a framework integrating national and regional planning

**WS 3&4** – Re-define the highway network in Wales and establish where responsibility should lie for the various categories

**WS 5** – Establish regional arrangements for the administration of ‘bus grants’

**WS 5** – Scope and agree a programme of business case development for the introduction of joint collaborative working

**WS 6/7/8** – Undertake scoping work



## Phase 2

**WS 1** – Introduce the agreed regional governance arrangements for collaboration

**WS 5** – Develop business cases in accordance with the agreed programme

**WS 5** – Implement collaboration based on the business case outcomes

**WS 6** – Introduce systems of skill development and sharing between the Welsh Government and local authorities

**WS 7** – Establish appropriate management and roll out procurement best practice

**WS 8/9/10** – Continue to develop



## Phase 3

**WS 8** – Establish minimum national and regional operational and maintenance standards, policies and specifications

**WS9** – Introduce effective co-ordination and management of cross boundary support for planned and non-planned events

**WS 10** – Introduce effective collection and co-ordination of outcome measures and dissemination to ensure best value is achieved from investments

## 6.5 In relation to the programme governance and management arrangements:

- A robust monitoring and reporting framework has been established to support the implementation of the Compact with the primary responsibility lying with the Partnership Council for Wales.
- Supporting the Partnership Council in monitoring public service improvement is the Public Service Leadership Group (PSLG).
- The Organisational Development and Simpson Implementation national work programme of the PSLG will act as the Programme Board for the implementation of the Simpson Review.
- To deliver the commitments contained in the Compact, related to highways and transportation the Transport Compact Steering Group has been set up with representatives of the Welsh Government, Regional Transport Consortia and Welsh Local Government Association, chaired by the Director of Transport, Welsh Government.
- The Steering Group will continue to co-ordinate and manage the development and implementation of the all Wales overall programme arising from the Compact commitments.
- All programmes and projects arising from the Strategic Programme for Change will be managed in accordance with 'Managing Successful Programmes' and 'PRINCE 2' respectively.
- The proposed work programme consists of a number of elements, and a comprehensive programme structure consisting of communication, service planning, technical and local reference groups will be established to reflect the broad nature of the programme and this will be developed to support specific strands of work as it moves forward ensuring that there is alignment and consistency between all of the streams of work.
- Due to the number of work-streams and the different responsibilities of the partners involved in this change process, it is proposed that each work-stream will have a dedicated lead as detailed in the following table:

Workstream	Lead
1. Strengthen Governance Arrangements for regional collaboration	Steering Group
2. Establish a planning framework for the next round of transport plans (covering national and regional)	Welsh Government
3. Re-define the status of the roads making up the Welsh highway network	Welsh Government supported by County Surveyors Society Wales (CSS) (Wales)
4. Re-allocate responsibilities for the various categories of the highway network	Welsh Government supported by CSS (Wales)
5. Develop business cases for further collaborative working on a national, regional or sub-regional basis	Steering Group
6. Introduce arrangements for Welsh Government and local authorities to share their professional skills	Steering Group
7. Introduce a programme to roll out procurement processes that have secured efficiency savings at national, regional, sub-regional and local level	Welsh Government
8. Establish minimum operational and maintenance standards and policies and rationalise specifications for the network	Welsh Government supported by CSS (Wales)
9. Increase resilience to deliver planned and non-planned events	Local Government
10. Introduce a requirement and system to produce, record and compare outcomes and outputs against investment	Welsh Government

## 7. Timetable for Delivery

7.1 It can be seen from the level of interdependency demonstrated in 6.3 and the phasing proposed in 6.4 that the work-streams will progress along different but potentially interconnecting timelines. Development of the associated programme plans will provide more clarity and allow critical paths and milestones to be detailed. However, as indicated in the Compact, it is anticipated that positive signs of progress will be in place by 1 April 2013 and demonstrable advancement by 1 April 2014.

## 8. Conclusion

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8.1 In conclusion the Transport Compact Steering Group is seeking endorsement to take forward a comprehensive programme of change and development to meet the expectations and requirements set out within the Compact for Change. The case for change is compelling and the proposal for a way forward has been developed through a comprehensive review process involving key stakeholders.

8.2 This Strategic Programme for Change Report provides a single strategic framework to support the development of transport and highways services across Wales through collaboration.

## APPENDIX A - DRAFT WORKSTREAM PROJECT BRIEFS - Transport and Highways Commitments - 25 January 2013

Workstream	Background	Objectives	Scope	Outcomes/Deliverables	Business Benefits	Stakeholders	Communication
<b>WS1 – Strengthen governance arrangements for regional collaboration.</b>	The weakness identified in the current arrangements was a lack of a formal regional decision making process which would support the implementation of regional decisions on collaboration.	To identify robust decision making arrangements for highways and transport services within each region, including a mechanism to oversee the delivery of collaborative activities and appropriate regional/local processes.	<b>In Scope:</b> Existing and potential governance arrangements for co-ordinating and managing all highways and transport services where there is a case for collaboration. This will include the inter relationship between Regional Partnership Boards, Regional Transport Consortia and other bodies in the control of the Welsh Government and local government regarding the services in the scope of this project.  <b>Out of Scope:</b> Other Welsh Government and local authority services.	A revised governance arrangement for Wales related to highways and transport services which will drive forward collaboration where appropriate.  A governance arrangement which will consider and where appropriate, introduce collaboration at a national, regional and sub-regional level.  Structures which will ensure clear and effective scrutiny and ensure that whatever systems are introduced will be subject to local accountability.  Critical success factors: A leadership and governance arrangement which has the: (i) Ability to prioritise strategic interventions but maintain local accountability. (ii) Capacity and capability to deliver outcomes. (iii) Ability to provide the required level of resilience. (iv) Arrangements with sound legal basis, supporting robust governance and accountability. (v) Arrangements that will provide coherence across regional boundaries and be workable for both Welsh Government and local authorities. (vi) Ability to implement partnerships with clear responsibility and accountability structures.	The introduction of these new governance and leadership arrangements will drive forward collaborative exercises which will introduce efficiencies, more effective use of resources, and improved service delivery.	<ul style="list-style-type: none"> <li>Welsh Government</li> <li>Welsh Local Government Association</li> <li>Local Government Members and Leadership Teams</li> <li>Regional Partnership Boards</li> <li>Regional Transport Consortia</li> <li>Trunk Road Agencies</li> <li>Trade Unions and employees</li> <li>Organisational Development and Simpson Implementation Board</li> </ul>	Communication strategy will need to include the stakeholders identified and also include engagement with other related stakeholders who have an indirect interest including cross-border interested bodies.
<b>WS2 – Establish a framework for the next round of transport plans (covering national and regional)</b>	The relevant areas of weakness identified in the current arrangements relate to opportunities to improve:  (i) the strategic approach to planning and selection of investment interventions, along with; (ii) the approach to planning, management and delivery of transportation in Wales.	A new transport planning framework for Wales that is based on outcomes and strengthens the process for investment decisions, monitoring and evaluation.	<b>In Scope:</b> All transport modes, pan-Wales and at regional level and giving full consideration to cross-border and international connectivity.	We will produce a new transport planning and policy framework for Wales that will replace the current National Transport Plan and Regional Transport Plans for the period beyond 2015. It will:  <ul style="list-style-type: none"> <li>take sustainable development as its core principle and identify and prioritise interventions on the basis of how they will contribute to supporting jobs and the economy, tackling poverty and reducing our impact on the environment</li> <li>address all modes and focus on how to ensure effective integration between modes</li> <li>provide a long term view of strategic priorities, with shorter term interventions highlighted</li> <li>be based on outcomes and identified business case development, strategic investment decisions and measures to evaluate achievement against outcomes</li> <li>link effectively with other key strategies and plans both in transport, for example Network Rail's planning documents, and to other policy areas, for example land use planning</li> </ul> <b>Phase 1</b> <ul style="list-style-type: none"> <li>Evaluate the effectiveness of current National Transport Plan and Regional Transport Plans particularly in terms of how well they have enabled prioritisation of investment, effective delivery and provided consistency between the national, regional and local level</li> <li>Review alignment of Wales Transport Strategy (WTS) with the Programme for Government and effectiveness of the current National Transport Plan and Regional Transport Plans in delivering against the Welsh Government's priorities as set out in these documents</li> <li>Based on this assessment, define scope and key outcomes to be achieved through the new framework</li> <li>Define and appraise options for next transport planning framework</li> <li>Agree preferred transport planning and policy framework</li> </ul> <b>Phase 2</b> <ul style="list-style-type: none"> <li>Prepare new planning documents and associated assessments for consultation</li> <li>Prepare final version of plans</li> </ul>	(i) Improved ability to effectively respond to reducing funding levels (ii) Improved strategic approach to planning and selection of investment interventions in Wales (iii) Joined-up approach to planning, management and delivery of transportation in Wales	<ul style="list-style-type: none"> <li>Welsh Government</li> <li>Welsh Local Government Association</li> <li>Local Government Members and officers</li> <li>Regional Partnership Boards</li> <li>Regional Transport Consortia</li> <li>Trunk Road Agencies</li> </ul>	A communication plan will be developed for this project
<b>WS3 – Re-define the status of the roads making up the Welsh highway network</b>	The relevant areas identified in the current arrangements relate to opportunities to improve:  (i) The strategic approach to planning and selection of investment interventions; (ii) The approach to planning, management and delivery of highways services in Wales; and (iii) The use of resources to reduce duplication within the current delivery structures.	(i) The development of a potential new hierarchy for the Welsh highway network based on status/function.  (ii) The assignment of all existing roads to categories within the potential new hierarchy.	<b>In Scope:</b> The whole of the Welsh highway network including motorway and trunk roads and local roads ('A', 'B', 'C' and unclassified roads).  <b>Out of Scope:</b> Changes to the EU and UK classification and numbering system for roads.	(i) A potential new hierarchy for the Welsh highway network  (ii) The assignment of all existing roads to categories within the potential new hierarchy	<b>Key Outcome:</b> Clarity on the status and function of each route within the Welsh Road Network  <b>Providing the following Key Benefits:</b> (i) The setting of appropriate service levels/ objectives for each route;  (ii) Improved revenue and capital investment decision making; and  (iii) Improved monitoring of performance and evaluation of outcomes	<b>Key Stakeholders:</b> Network Management Division (Welsh Government); Business, Economy, Technology & Science Directorate (Welsh Government); Local Authorities; Regional Transport Consortia; Trunk Road Agents and Welsh Local Government Association  <b>Other:</b> EU, Other Welsh Government Departments, Highways Agency (DfT), Emergency Services; Freight Groups	A communication plan will be developed for the project
<b>WS4 – Re-allocate responsibilities for the various categories of the highway</b>	The relevant areas identified in the current arrangements relate to opportunities to improve:  (i) The strategic approach to planning and selection of investment interventions; (ii) The approach to planning, management and delivery of highways services in Wales; and (iii) The use of resources to reduce duplication within the current delivery structures.	(i) Determination of the appropriate level of government/ body to act as Highway Authority (in accordance with the Highways Act 1980) for the various highway categories contained in the potential new Welsh highway network hierarchy (WS3).  (ii) Identification of the appropriate funding model for each Highway Authority.	<b>In Scope:</b> (i) The role of Welsh Government, Regional Transport Consortia and individual local authorities (ii) Revenue Support Grant, Other Central Government Grants, Community Charge, Prudential Borrowing etc.  <b>Out of Scope:</b> Private sector funding models (PFI, PPP etc.)	(i) A new Highway Authority model for the various highway categories contained in the potential new Welsh highway network hierarchy (WS3).  (ii) Identification of the appropriate funding model for each Highway Authority in the new model.	<b>Key Outcomes:</b> (i) Proposed Highway Authority model for the Welsh highway network (ii) Proposed funding model for Highway Authorities in Wales  <b>Providing the following Key Benefits:</b> A Highway Authority and associated funding model which: (i) Appropriately assigns responsibility for sections of the network based on function in accordance with the potential new hierarchy for the Welsh Highway Network (WS3) (ii) Optimises the use of specialist resource/ knowledge (iii) Facilitates collaboration (iv) Maximises use of available sources of funding	<b>Key Stakeholders:</b> Network Management Division (Welsh Government); Business, Economy, Technology & Science Directorate (Welsh Government); Local Authorities; Regional Transport Consortia; Trunk Road Agents and Welsh Local Government Association  <b>Other:</b> EU, Other Welsh Government Departments, Highways Agency (DfT), Emergency Services; Freight Groups	A communication plan will be developed for the project

## APPENDIX A - DRAFT WORKSTREAM PROJECT BRIEFS - Transport and Highways Commitments - 25 January 2013

Workstream	Background	Objectives	Scope	Outcomes/Deliverables	Business Benefits	Stakeholders	Communication
<b>WS5 – Develop business cases for further collaborative working on a national regional or sub-regional basis</b>	The weakness identified was a lack of coherence in the current management arrangements and duplication of service delivery arrangements. The reducing budget scenario also means there is a need to identify greater efficiencies in delivery arrangements.	Based on the outcomes of existing collaboration projects underway and on the governance (WS1), planning (WS2) and structure (WS 3+4) workstreams; this workstream will develop and implement a series of project business cases to support the introduction of further collaborative working at a national regional or sub-regional level.  The identified options should : (i) Maintain/improve service provision and /or make delivery more efficient and effective, producing savings to minimise the possible impact of budget reductions (ii) Remove unnecessary duplication and make more efficient use of existing resources. (iii) Ensure coherent delivery mechanisms across Wales so that highways and transport services support the delivery of political priorities regionally and nationally (iv) Build resilience into highways and transport delivery structures across Wales.	<b>In Scope:</b> All highways and transport activities delivered and managed by Welsh Government and Local Authorities in Wales (subject to the outcomes from WS2-4)  <b>Out of Scope:</b> Any other Welsh Government and Local Authority services	1. Develop and progress existing collaboration projects and ensure that best practice is applied across Wales 2. To identify the core suite of highways and transport services and to agree a prioritised programme to develop further collaboration opportunities 3. Develop business cases for identified service areas, which achieve the objectives identified in the review.  Critical success factors: Efficiency (i) Reduce unnecessary duplication (ii) Potential to deliver continual service improvements (iii) Deliver innovation, savings and best value from public and private sector supply chains (iv) Develop/capitalise on innovative funding models (v) Deliver cost savings (reduction in overheads etc.) and/or service improvements Effectiveness and Innovation (i) Support the local economy and employment (ii) Sustain the professional skill base necessary for maintaining a safe cost effective service and delivering the required wider socio-economic benefits (iii) Share best practice and harmonise policies and standards (iv) Provide arrangements that are 'scaleable' (facilitating the future delivery/integration of other transport services/functions)	The identified programme will assess which areas of highways and transport delivery are suitable candidates for further collaboration. Each proposal will develop a business case that establishes the outcomes and benefits possible from that project. The success of the overall programme will need to be monitored by the core steering group.	<ul style="list-style-type: none"> <li>Welsh Government</li> <li>Local Authorities</li> <li>Trade Unions and employees</li> <li>Regional Transport Consortia</li> <li>Regional Director Groupings</li> <li>Trunk Road Agents</li> </ul>	An over-arching communication plan will be required as well as individual plans for specific business plans developed.
<b>WS6 – Introduce arrangements for Welsh Government and local authorities to share and develop their professional skills</b>	A number of weaknesses were identified in the current arrangements: (i) Inability of individual local authorities and the Welsh Government to afford separate teams of dedicated skilled professional officers; (ii) Professional skill levels within individual local authorities and Welsh Government are variable; (iii) The Welsh Government and individual local authorities abilities to undertake statutory duties due to limited professional resources; (iv) Significant levels of work are being commissioned from consultants which, if appropriate arrangements were put in place, could be undertaken by Welsh Government and local authority staff; and (v) Training and continuous professional development of staff is usually undertaken individually by authorities or Welsh Government rather than through a co-ordinated collaborative basis.	To provide the necessary arrangements to ensure that skilled professional staff are available within the public sector and are able to provide effective and efficient highway and transportation services across Wales. (i) Identifying the required skill sets needed to provide effective, efficient and sustainable highways and transportation services across Wales; (ii) Undertake a skills audit to establish the existing skills available on a national and regional basis and undertake a 'gap analysis'; and (iii) Establish appropriate models to establish, training, development, and utilisation of skilled staff responding to the demands of Welsh public service.	<b>In Scope:</b> All Welsh Government and local authority highway and transportation professional services  <b>Out of Scope:</b> Private sector highways and transportation professionals and other Welsh Government and local authority services  Notes: 1) Within scope will include Welsh Government, local authorities, Regional Transport Consortia, trunk road agencies and any other public sector groupings. 2) Consideration will have to be given to any existing Joint Ventures, contracts or commissions involving the private sector.	Teams of highly trained public sector professionals having viable mass to pool knowledge, skills and resources, undertake continuous professional development, succession planning and deliver sustainable, effective and efficient highways and transport services across Wales at a national, regional and local level.  Mechanisms that allow public sector professional teams to undertake work across organisational boundaries, contributing their unique skill set to projects.  An 'all Wales' approach to develop a resilient and sustainable skilled highways and transportation workforce.  Critical success factors: (i) Capacity and capability to deliver outcomes (ii) Ability to provide the required level of resilience (iii) Reduce unnecessary duplication (iv) Potential to deliver continuous service improvements (v) Support the local economy and employment (vi) Sustain the professional skill base necessary for maintaining a safe cost effective service and delivering the required wider socio-economic benefits (vii) Arrangements that will provide coherence across local and regional boundaries and be workable for both Welsh Government and local authorities	The introduction of these proposals will ensure a resilient, sustainable and flexible skilled workforce is available to deliver an efficient, effective and sustainable highways and transportation service across Wales.	<ul style="list-style-type: none"> <li>Welsh Government</li> <li>Local Authorities</li> <li>Professional Institutions</li> </ul>	A communication plan will be developed for the project
<b>WS7 – Introduce a programme to roll out procurement processes that have secured efficiency savings at national, regional, sub-regional and local level</b>	The issues identified in the current arrangements are a lack of consistency (in specification, guidelines and contracts), lack of coordination (and potential to deliver economies of scale), traditional approach (cheapest doesn't always deliver best value), no structured approach to delivering community benefits and scale/capacity issues may restrict innovation.	To identify more robust arrangements for sharing specifications, guidelines and contracts that have already delivered efficiency benefit: (i) a mechanism to oversee the delivery of regional/sub-regional/national collaborative activities; and (ii) regional monitoring arrangements.	<b>In Scope:</b> Procurement arrangements for goods and services associated with transportation and highway services and works.  <b>Out of Scope:</b> Other Welsh Government and local authority services  Note: This will include the existing remits of Regional Partnership Boards, Regional Transport Consortia and other bodies in both the Welsh Government and local authorities.	A revised approach to procurement arrangements for Wales related to highways and transportation services which will assist in the delivery of efficiency benefits.  A consistent approach at national, regional and sub-regional level.  Systems that will ensure clear and effective monitoring and ensure that whatever systems are introduced they will be subject to local accountability.	The introduction of proven, consistent procurement best practice will introduce efficiencies, more effective use of resources, and improved service delivery.	<ul style="list-style-type: none"> <li>Welsh Government</li> <li>Local Authorities</li> <li>Trade Unions and employees</li> <li>Regional Transport Consortia</li> <li>Regional Director Groupings</li> <li>Trunk Road Agents</li> </ul>	A communication plan will be developed for the project
<b>WS8 – Establish minimum operational and maintenance standards and policies and rationalise specifications for the network</b>	The relevant areas identified in the current arrangements relate to opportunities to improve: (i) Lack of baseline data and benefits accrued from investments (ii) Variation across Wales, in some service areas, in standards and policies which are not justified in improving outcomes at a local level. (iii) Resilience – ability to discharge statutory duties placed on the organisation.	(i) To develop minimum operational and maintenance standards for each category of highway in the potential new Welsh highway network hierarchy  (ii) Consistent standards of service for road users across Wales at minimum whole life cost	<b>In Scope:</b> (i) Routine maintenance and inspection standards ensuring the day to day safety of the highway in accordance with the Highway Act 1980 (ii) Major maintenance and renewal standards for the carriageway  <b>Out of Scope:</b> Major maintenance standards and policies for all other assets comprising the highway (e.g. structures, lighting, drainage etc.)	(i) Minimum operational and maintenance standards for each category of highway in the new Welsh highway network hierarchy  (ii) Consistent standards of service for road users across Wales at minimum whole life cost	(i) Improved revenue and capital investment decision making; and  (ii) Improved monitoring of performance and evaluation of outcomes	<p>Key Stakeholders: Network Management Division (Welsh Government); Local Authorities; Regional Transport Consortia; Trunk Road Agents and Welsh Local Government Association</p> <p>Other: EU, Other Welsh Government Departments, Highways Agency (DfT), Emergency Services; Freight Groups</p>	A communication plan will be developed for the project



# **Equality Impact Assessment Screening Form**

**and**

# **Sustainable Development Checklist**

## EQUALITY IMPACT ASSESSMENT SCREENING FORM

<b>Assessor(s):</b>	<b>Directorate:</b>	<b>Department:</b>
Roger Hoggins	R&C	INS
<b>Policy author / service lead</b>	<b>Date of assessment:</b>	
Roger Hoggins	28/01/2013	

**1 Purpose of Policy/Service:**

The report has no impact upon Highways and Transport services directly. It seeks Cabinet support to continue with work on collaboration at a national, regional and sub regional level promoted through the Strategic Programme for Change report published by Welsh Government in December 2012.

**2** Are there any people or groups of people with protected characteristics that this policy/service is likely to affect in a **negative** way? Please tick appropriate boxes below and move on to question/s **4** and/or **5** below

Or does the policy/service have a **neutral or positive (good)** effect? Please tick appropriate boxes below and move on to question **3** below.

	Negative	Neutral	Positive		Negative	Neutral	Positive
Age		X		Race		X	
Disability		X		Religion or Belief		X	
Gender reassignment		X		Sex		X	
Marriage or civil partnership		X		Sexual Orientation		X	
Pregnancy and maternity		X		Welsh Language		X	



- 3 If you have assessed that the impact is either **neutral or positive** could you please give some detail below to justify/evidence this. Once you have done this there is **no requirement to carry on completing this part of the form**. Please move on to complete the **Sustainable Development checklist** on page 9

This is only a decision to pursue work on increased collaboration Amongst authorities and other public bodies. It does not make any recommendations to change any services at this time.

- 4 What evidence (actual or perceived) do you have that this policy/service etc has a negative impact on any **external group(s)** or individuals with protected characteristics? Please tick any relevant characteristics below that may be affected and describe the negative impact/s.

Age		Race	
Disability		Religion or Belief	
Gender reassignment		Sex	
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

none

5 What evidence (actual or perceived) do you have that this policy/service etc has a negative impact **on individuals or groups of staff (internal)** with protected characteristics? Please tick any relevant characteristics below that may be affected and describe the negative impact/s.

Age		Race	
Disability		Religion or Belief	
Gender reassignment		Sex	
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

none

6 Please list the data that has been used for this assessment? eg Household survey data, Welsh Govt data, ONS data, MCC service user data, Staff personnel data etc.

none

7 Please give details of any consultation(s) or engagement carried out in the development of this policy/service?

As described within the body of the report

8 What actions have been taken to mitigate **negative** impact(s)?

9 Please indicate below whether you consider this policy/service to have a high, medium or low risk of **negative** impact.

	Negative Impact		
	High	Medium	Low
Are a large number of people affected?	3	2	1
Is the potential impact significant?	3	2	1
Is the scale/cost to the Authority significant?	3	2	1
<b>Score</b>	<b>3</b>		

### Scoring

<input type="checkbox"/> 3	Low	No significant impact	No further action required
<input type="checkbox"/> 4 - 6	Medium	Some impact	Additional consultation to further mitigate negative impact
<input type="checkbox"/> 7 - 9	High	Significant impact	A Full impact assessment is required

10 Is a full equality impact assessment required?  
Using the matrix and scoring information above:

- A **low** rating means that there is no further action required
- A **medium** rating will require, as a first stage, further consultation in order to determine whether a full impact assessment is required
- A **high** rating in question 6 will mean that a Full impact assessment is required.

~~Yes / No~~

# SUSTAINABLE DEVELOPMENT CHECKLIST

PEOPLE IN MONMOUTHSHIRE BENEFIT FROM AN ENVIRONMENT THAT IS DIVERSE, VIBRANT AND SUSTAINABLE					
Elements	Contribution			Evidence	Ideas for Improvement
What contribution does this make to:	-	0	+		
Reduce, reuse and recycle waste and water		X			
Reduce carbon dioxide emissions by increasing energy efficiency or use of renewable energy		X			
Prevent or reduce pollution of the air, land and water		X			
Protect or enhance wildlife habitats (e.g. trees, hedgerows, open spaces)		X			
Protect or enhance visual appearance of environment		X			
Reduce car and road freight mileage, and encourage public transport, walking and cycling		X			
Have a positive impact on people and places in other countries		X			
PEOPLE IN MONMOUTHSHIRE LIVE HEALTHY AND FULFILLED LIVES					
Elements	Contribution			Evidence	Ideas for Improvement
What contribution does this make to:	-	0	+		
Ensure that more people have access to healthy food		X			
Improve housing quality and provision		X			
Reduce ill health		X			
Improve facilities and choice of health care provision		X			
Encourage physical activity		X			
Promote independence		X			

**PEOPLE IN MONMOUTHSHIRE LIVE SAFELY AND ARE PROTECTED FROM HARM**

<b>Elements</b>	<b>Contribution</b>			<b>Evidence</b>	<b>Ideas for Improvement</b>
<b>What contribution does this make to:</b>	<b>-</b>	<b>0</b>	<b>+</b>		
Encourage community participation/action		X			
Targets socially excluded		X			
Help reduce crime and fear of crime		X			
Improve access to local facilities for all local people, regardless of age, gender, ability etc.		X			

**PEOPLE IN MONMOUTHSHIRE BENEFIT FROM EDUCATION, TRAINING AND SKILLS DEVELOPMENT**

<b>Elements</b>	<b>Contribution</b>			<b>Evidence</b>	<b>Ideas for Improvement</b>
<b>What contribution does this make to:</b>	<b>-</b>	<b>0</b>	<b>+</b>		
Improve access to education and training		X			
Value and support voluntary work		X			
Increase and improve access to leisure and recreation facilities		X			
Increase and improve access to cultural facilities		X			

**PEOPLE IN MONMOUTHSHIRE BENEFIT FROM AN ECONOMY WHICH IS PROSPEROUS AND SUPPORTS ENTERPRISE AND SUSTAINABLE GROWTH**

<b>Elements</b>	<b>Contribution</b>			<b>Evidence</b>	<b>Ideas for Improvement</b>
<b>What contribution does this make to:</b>	<b>-</b>	<b>0</b>	<b>+</b>		
Protect local shops and services		X			
Link local production with local consumption		X			
Improve environmental awareness of local businesses		X			
Increase employment for local people		X			
Preserve and enhance local identity and culture		X			
Consider ethical purchasing issues, such as Fairtrade, sustainable timber (FSC logo) etc		X			