



Local Sustainable Transport Fund Key Component Key Commuter Routes

Programme Manual

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Note on Control of Appendices

All appendices will be individually monitored to ensure their ongoing usefulness as a tool and may be brought back individually to agree changes/updates to their format.

Appendices marked with * are dynamic and will be kept up to date every month on the LSTF shared facility. These appendices as they appear here are for base-lining purposes only, and changes will not be specifically brought back for agreement except as part of the regular reporting regime.

1. Introduction: Objectives, Work Packages and Projects

PURPOSE OF THE PROGRAMME MANUAL

The Programme Manual is being provided to the Tranche Project Managers and project staff working for the four authorities of Bath and North East Somerset, Bristol City, North Somerset and South Gloucestershire Councils.

This Manual sets out the PRINCE2 processes and controls that will be applied to delivery of the LSTF Key Component programme. The Manual is part of the contractual agreement between the programme partners. It includes the procedures for handling change, planned or unforeseen. This Manual will be reviewed and adapted should the region be successful in its Major Scheme bid to the Department for Transport (DfT).

Any deviation from the procedures and controls set out in this Manual will invoke immediate suspension of payment to the partner(s) in question and instigate commencement of the exception reporting process set out in this Manual.

PROGRAMME DESCRIPTION AND OBJECTIVES

The Key Commuter Routes programme seeks to reduce car-based commuter trips hence reducing vehicle traffic, increasing non-car modes, reducing carbon emissions and supporting continued economic growth in the key employment areas served by these routes.

In summary, the scheme comprises:

- ◆ Low cost targeted investment plugging missing pedestrian and cycling links and maximising value from GBBN and Cycling City investment.
- ◆ Enhancing and promoting alternatives to car use, such as car sharing and public transport services.
- ◆ Working in partnership with employers located along the commuter corridors, to develop and implement bespoke packages to deliver a shift to more sustainable travel by their staff.
- ◆ Delivering a promotional campaign, which will be informed by the latest understanding about the types of messages and activities that motivate behaviour change (i.e. 'nudges').

Key objectives for the LSTF Key Commuter Routes programme are:

- ◆ Reducing carbon emissions
- ◆ Supporting economic growth
- ◆ Promoting accessibility
- ◆ Contributing to better safety, security and health
- ◆ Improving quality of life and a healthy natural environment

PROGRAMME MANAGEMENT METHOD

The programme management and controls for both the whole programme and delivery of all the individual projects has been developed to be consistent with PRINCE2. Additionally, Managing Successful Programme methodology will be used to manage from a high level and to provide an overview of the strategic direction of the programme.

The key principle behind this Manual is 'management by exception'. By setting the details reporting, financial and change controls within this Manual it will allow the Tranche Project Managers to deliver the programme in a controlled manner. The Programme Board will meet at agreed intervals and provide ad hoc guidance and decision making throughout.

LSTF KEY COMPONENT PROJECTS

A list of the projects can be found in the Projects Dossier at Appendix A.

The LSTF Key Component programme has been split into four tranches for which different Tranche Project Managers are responsible for delivering. These in turn are further broken down into a series of projects under each tranche.

Each authority will have a specific set of projects. Each of these is an individual project with specific time, budget and quality controls.

Changes to the projects can take place in accordance with the change controls set out in this Manual. Under no circumstances will changes be made to any project by parties other than the Independent Programme Manager (IPM). All changes will be ratified by the Programme Board, regardless of the delegated authority to authorise those changes.

Every project will be expected to produce a Project Initiation Document.

2. Programme Management

PROGRAMME GOVERNANCE

The governance arrangements for the LSTF Key Component are shown in Figure 1 and described further below. In addition, the Contacts Document at Appendix B contains membership of Boards and Review Groups.

JOINT TRANSPORT EXECUTIVE COMMITTEE (JTEC)

The West of England Joint Transport Executive Committee's (JTEC) role is to provide strategic co-ordination and oversight and consider quarterly Highlight Reports.

PROGRAMME BOARD

The Programme Board guide and steer the direction of the programme and are responsible for its delivery. The Programme Board will authorise the programme/ project plan (and any agreed variations) to be delivered by the IPM and authorise strategic decisions.

The Programme Board consists of representatives of the four authorities and partners at sufficiently senior level that representatives have the authority to act on behalf of their organisation. Board members may nominate a substitute when necessary.

The Programme Board will meet at a minimum quarterly throughout the duration of the programme and will consider the following standing items as a minimum:

- ◆ Quarterly Highlight Report (including progress, resources, costs, issues)
- ◆ Requests for change
- ◆ Exception Plans (where agreed)
- ◆ Annual Progress Report (where applicable)
- ◆ Procurement report
- ◆ Risk Register
- ◆ DfT communication
- ◆ Any other business.

The Programme Board is responsible for Quality Assurance, with one Programme Board member nominated with this role. They will be responsible for utilising the Quality Review techniques set out in this Manual and reporting to the Programme Board their independent view on progress.

PROJECT DELIVERY BOARD

The Project Delivery Board is responsible for delivery of projects, and will include the lead manager for each tranche of the programme.

The Board will meet on a monthly basis to review Highlight Reports, risks and issues, including which of these need to be escalated to the Programme Board.

EMPLOYER ENGAGEMENT REVIEW GROUP

The Employer Engagement Review Group will initially meet to plan the employer engagement activity and then shall meet on a monthly basis thereafter to review work, progress and spend.

COMMUNICATIONS & MARKETING REVIEW GROUP

The Communications and Marketing Review Group will initially meet to plan the communications and marketing activity and then shall meet on a monthly basis thereafter to review work, progress and spend.

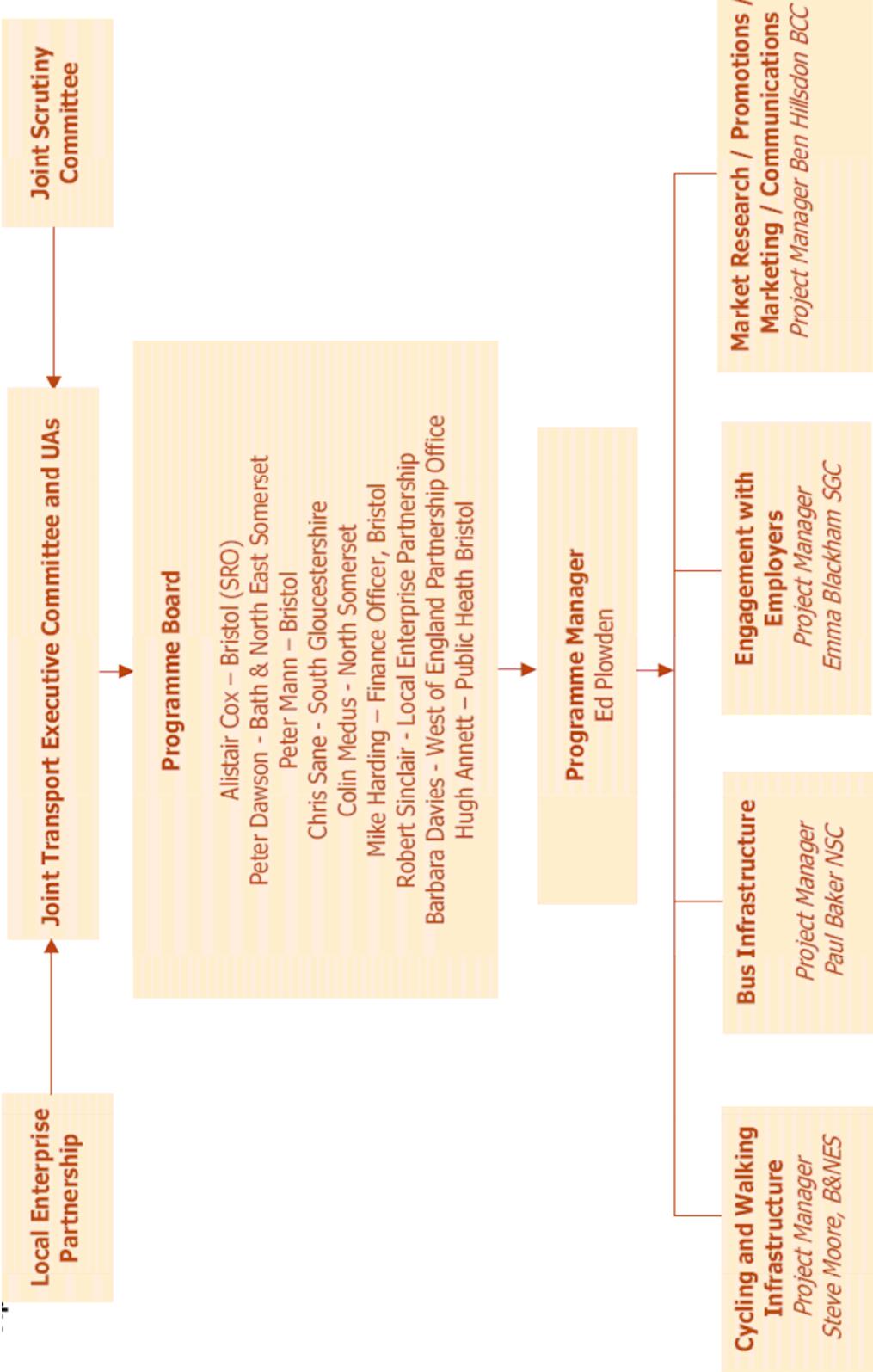
INFRASTRUCTURE REVIEW GROUPS

Monthly meetings will be set. The IPM and the Tranche lead will review Progress and Highlight reports for each project in the tranche and notify individual project managers if they need to attend the meeting. This will depend on the significance and scale of any changes to each individual project.

EVALUATION & MONITORING REVIEW GROUP

This group will meet quarterly to review and plan evaluation and monitoring activities across the programme. This group will be chaired by the IPM.

Figure 1 LSTF Key Component Governance Structure



PROGRAMME ROLES

The programme management arrangements for the LSTF Key Component are shown in Figure 2 and described further below.

SENIOR RESPONSIBLE OFFICER

The Senior Responsible Officer (SRO) for the programme is provided by Bristol City Council. The SRO has overall responsibility for:

- ◆ Ensuring that the programme meets its objectives and delivers the projected benefits within the time and cost parameters
- ◆ Chairing of the Programme Board
- ◆ Delivery to the timescale, budget and agreed quality standards
- ◆ Approving changes to projects and work packages within the agreed tolerances set out in Section 4 of the Manual.

Any change to the SRO will be subject to agreement from the LSTF Programme Board.

INDEPENDENT PROGRAMME MANAGER

The Independent Programme Manager (IPM) will be responsible for delivering the programme in line with the controls and procedures set out in this Manual.

The primary focus of the IPM will be to define the programme and to ensure that it is delivered on time and within specification and budget, seeking additional authorities as necessary. This will involve development, monitoring, progress chasing and co-ordination of the programme as a whole and ensuring that all elements of the programme are delivered with the appropriate technical competency.

In addition to general monitoring of progress against objectives, the IPM will be responsible for quality control of deliverables and outputs of the project, where these are not statutorily covered by the quality and safety procedures of each separate Highways Authority.

Amongst other things this will require the IPM to:

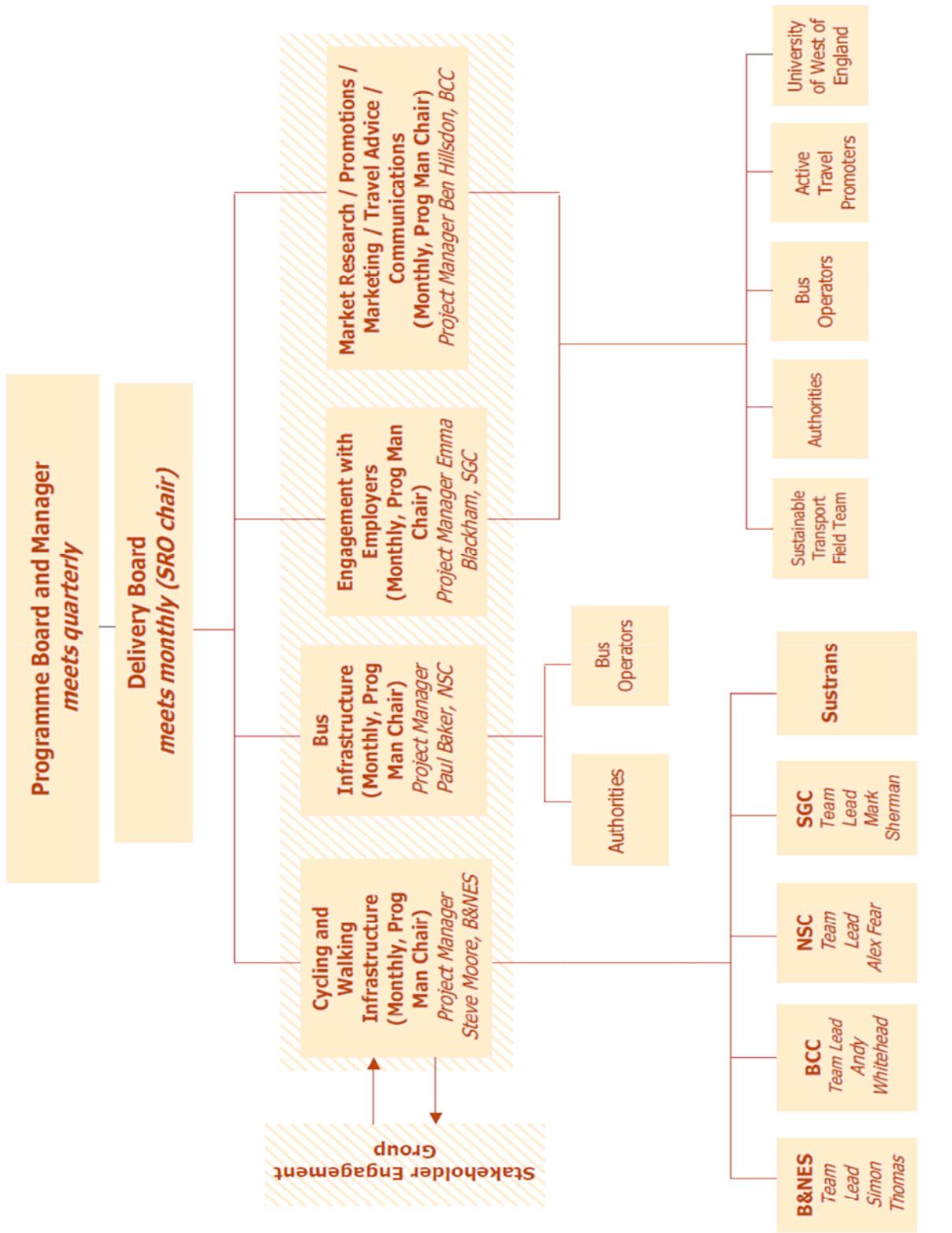
- ◆ Keep the programme under review and to seek approval for any changes from the Programme Board in line with the procedures set out in this manual;
- ◆ Regularly review the Risk Log and advise the Programme Board of changes to risks and to recommend any additional mitigating actions; and
- ◆ Initiate actions under the Communications Plan;
- ◆ To secure the approval of the Programme Board for strategic decisions. These decisions will generally be made directly by the Programme Board, although in exceptional circumstances it may be necessary to refer key strategic decisions to Directors and/or Executives; and
- ◆ To lead a group of Project Managers from the individual Local Authorities to ensure:
 - ◆ Overall planning to ensure proper co-ordination;
 - ◆ Adherence to the programme management disciplines;
 - ◆ Overall co-ordination in delivery of the programme;

- ◆ Timely action by each Project Manager to deliver each element of the programme; and
- ◆ To produce ad-hoc reports or presentations (in addition to that in Section 3) for Directors, Executive Members, the DfT, the West of England Partnership, any Joint Scrutiny arrangements and any other purpose as directed.

TRANCHE PROJECT MANAGERS

Each of the four Local Authorities has a Tranche Project Manager (identified in Figure 1) relating to their leading area of work. The Tranche Project Manager will be responsible for delivery of this work as set out in the Projects Dossier.

Figure 2 LSTF Key Component Management Structure



3. Formal Management Procedures

FINANCIAL AND MANAGEMENT REPORTING

- 3.1 Regular financial reporting will be critical to ensure that the Programme Board, SRO and IPM are able to track progress against timescales and budgets.
- 3.2 Reporting will take place in the following ways:

MONTHLY PROGRESS MEETING

- 3.3 The IPM will have meetings (either face to face or telephone) with each of the four Tranche Project Managers on at least a monthly basis. This meeting will be to review key progress in the past month and review any issues that may have arisen or are likely to occur. The meeting will be the opportunity for any potential programme changes to be discussed and, where applicable, commencement of change control procedures as set out in this Manual. Where agreed Exception Plans are in place, the meeting will focus on these to ensure that the programme remains within any revised tolerances approved by the SRO and the Programme Board.
- 3.4 The monthly project Progress Report template is provided in Appendix C. This will be completed for each project within the programme. It will be the duty of each Tranche Project Manager to gather information from individual project leads in their remit regarding progress, risks and issues. Completed Progress Reports will then be sent to the Project Support Officer for collation into a Highlight Report for the Project and Programme Boards.
- 3.5 The information will also be used to update progress in the Project Tracker Spreadsheet at Appendix D.

HIGHLIGHT REPORTS

- 3.6 Monthly Highlight Reports will be submitted to the Project Delivery Board. The template for this report is provided at Appendix E. The Project Support Officer will complete the report from information received from each Project Manager/Tranche Manager.
- 3.7 The Quarterly Highlight Report will be submitted to the Programme Board. The Project Support Officer will complete the report from information held in the Project Tracker Spreadsheet, which will be updated on a monthly basis.
- 3.8 The fourth quarterly report each year will form the Annual Highlight Report that will go to the Programme Board and JTEC.

EXCEPTION REPORTING

- 3.9 All project issues that have an impact on either the time or financial constraints will require a formal Exception Report. The template is set out in Appendix F. In most instances it is expected that an Exception Report will contain the proposed rectification measures (Exception Plan).

ANNUAL PLANS

- 3.10 The LSTF Key Component programme will be delivered over a period of two years.

3.11 The programme has been split into annual stages to coincide with the financial year. For each year, programme partners are expected to produce detailed project plans (format to be provided by DfT), which clearly delineate what will be delivered and spent in each financial year

MONITORING PROGRESS - PROJECT TRACKER SPREADSHEET

3.12 A central control spreadsheet has been devised for the programme. The spreadsheet summarises the details of the projects set out in the Projects Dossier.

3.13 The spreadsheet will be controlled by the Independent IPM and Project Support Officer.

VARIATIONS TO CONTRACT

3.14 Variations to the contract are defined as any one, or combination, of the following:

- ◆ Changes to the financial contribution of any participant, including DfT
- ◆ A major change in the number of person month's work to be carried out by any participant. Major changes to project cost or time schedules
- ◆ Transfer of costs/resources between partners
- ◆ Withdrawal of one or more partner
- ◆ Termination of the DfT contract
- ◆ The full definition of what is classed as a major change is set out in the change control section (see Section 4).

MANAGEMENT OF RISKS

3.15 The IPM is responsible for tracking and monitoring the Risk Register as part of the formal reporting procedures set out in this chapter. The monthly progress meetings with the Tranche Project Managers will review risks with each of the projects.

3.16 In many instances it is anticipated that the necessary action to deal with a risk will fall within the change control processes set out in Section 4 through providing changes to task orders budgets or time constraints.

HANDLING OF RISK OUTSIDE OF FORMAL REPORTING PROCEDURE

3.17 Section 4 sets out the definition and process for dealing with a 'major change' to the programme. Should any risk identified, or existing risk escalated, have the potential impact of a major change then the relevant procedures should be followed.

3.18 Identification of any new risk or change can occur outside of formal reporting processes. Furthermore, risks could occur outside of the programme that will need to be considered and responded to as a matter of urgency to minimise the potential impacts on the programme.

3.19 Should any Tranche Project Manager, the SRO or Programme Board member identify a new risk, or identify an existing risk as significantly escalating between formal meetings then it should be reported to the IPM immediately.

3.20 The IPM will review the risk to assess whether immediate guidance is required from the SRO or Programme Board outside of formal reporting procedures. The key factors that the IPM will consider are:

- ◆ Whether it has potential for a high/very high impact
 - ◆ The proximity of the risk
 - ◆ The likelihood of its occurrence.
- 3.21 If the risk is considered significant then an urgent a meeting (telephone or face to face) will take place with the SRO within 48 hours. Should the SRO be unavailable within this period then the IPM will seek to arrange a telephone conference with a minimum of two full members of the Programme Board.
- 3.22 The IPM will brief those present at the meeting of the risk, issues and potential consequences of taking action or doing nothing. As part of the preparation for the meeting the IPM will identify what resources are required to either take action or to investigate the risk further and develop an outline Exception Plan. The Exception Plan will set out the approval assumed as necessary to respond to the risk and the recommended timescale within which any decision should be made. Responses to the risk will focus on potential for reduction, transference or acceptance.
- 3.23 Should Programme Board or JTEC approval be required then extraordinary meetings will be organised within ten working days of the above meeting. To facilitate a prompt decision, proxy attendance will be requested for those unable to attend on the dates offered.
- 3.24 If it is agreed that the SRO can authorise the response to the risk then the decision will be recorded and reported to the next Programme Board. This will include updating any formal programme documentation in line with the change controls set out in Section 4.

MANAGEMENT OF ISSUES

- 3.25 An issue is an event that has happened, was not planned and requires management action. It could be a problem/query/concern (affecting all or part of the programme in some way), change request or risk that has been realised.
- 3.26 All issues raised, from whichever source, should be logged on the programme's Issue Log. The Issue Log provides a management tool for the IPM in the ongoing tracking and monitoring of issue resolution.

4. Change Controls

PROCEDURE FOR CHANGES TO PROJECTS (TIME AND BUDGET)

- 4.1 It is recognised that change will occur during the implementation of the programme. A sliding scale of delegated powers is set out in this Manual to allow different levels of the governance structure to make change decisions.
- 4.2 All changes, for whatever reason, will be documented on an Exceptions Report. Following any agreed change all relevant programme management documentation will be updated in advance of the next Programme Board.
- 4.3 Any changes to the projects outside of the procedures set out in this Manual will result in an immediate suspension of payments and the Exception Report will be considered at the appropriate level of authority within the tolerances as set out in this section.
- 4.4 Any of these tolerances must be made within the allocated budget for each tranche. Any under/over spend on a tranche needs to be agreed with the IPM/SRO/Programme Board according to tolerance levels.
- 4.5 Each authority will be responsible for a clear allocation of funds. They are responsible for ensuring this amount can be claimed from the DfT and are entirely responsible for any overspends from their own budget if not formally agreed.

THRESHOLDS FOR MOVING FUNDING BETWEEN PROJECTS AND ALTERING DELIVERY TIMESCALES WITHIN A PARTNER'S WORK PACKAGE

- 4.6 In line with PRINCE2 a series of approval limits are proposed for each tier of the management structure. This authorisation levels are set out in the table on page 13.
- 4.7 All requests for changes that fall within the authorisation levels set out in this section will be submitted to the IPM using an Exception Report.

	Tranche Project Managers	Independent Programme Manager	Senior Responsible Officer	Programme Board	JTEC
Authorised to move up to maximum of:	£30,000	£50,000	£100,000	£250,000	£350,000
Limits apply to both the project that is receiving monies and the project that is the source of the additional funding (i.e. the additional money being added to the project cannot exceed:	10%	15%	20%	35%	45%
Authorise start or finish dates to projects up to:	1 month	2 months	3 months	6 months (subject to the change of timescale not delaying completion of the programme)	9 months (subject to the change of timescale not delaying completion of the programme)

CUMULATIVE TIME AND FINANCIAL CHANGE

4.8 The percentage of financial change and delay to projects relate to cumulative financial change or cumulative time change from the agreed budgets and delivery timescales. This means that, regardless of the number of changes, each level of authority cannot authorise any change in excess of thresholds when compared to the baseline cost and time constraints set out in the Projects Dossier. For example, a budget of £100k could only rise to:

- ◆ £110k with Tranche Project Manager authorisation
- ◆ £115k with IPM authorisation
- ◆ £120k with SRO authorisation
- ◆ £135k with Programme Board authorisation
- ◆ £145k with JTEC authorisation

4.9 Changes above these levels will require authorisation at the appropriate level as set out in this Section.

FURTHER FINANCIAL CHANGES

4.10 These thresholds take into account any other changes approved by Tranche Project Managers, SRO, Programme Board or Programme Steering Group. For example:

- ◆ If a Tranche Project Manager has moved 7.5% from one budget to another, the IPM can only authorise a further 7.5% from the original budget
- ◆ If a Tranche Project Manager has moved 7.5% from one budget to another, then the SRO could only authorise a further 12.5% from the original budget

- ◆ If a Tranche Project Manager has moved 7.5% and the SRO 5%, then Programme Board could only authorise up to a further 22.5% change from the original budget
- ◆ If a Tranche Project Manager has moved 7.5% and the SRO 5%, then JTEC could only authorise up to a further 32.5% change from the original budget

REQUESTS FOR TRANSFER OF FUNDING BETWEEN PROJECTS ABOVE THESE LEVELS

- 4.11 This section only relates to requests for transfers within an individual work package. A transfer between work packages is covered later in this chapter. If a programme partner wishes to transfer funding between projects outside of the delegations set out above it will require an Exception Report to be prepared by the IPM in conjunction with the relevant Tranche Project Manager.
- 4.12 The Exception Report will be considered at the next Programme Board. If no Programme Board is scheduled within the next six weeks then an extraordinary meeting will be arranged.
- 4.13 If, as a result of the proposed change, there will be a 'major' change to either of the projects receiving or losing budgets then the procedure for dealing with a major change will need to be followed in addition to the rules set out in this section.
- 4.14 The DfT grant conditions state that any change to the DfT annual cost funding profile of +/- 20% in a year needs to be notified within 28 days (ie 424,800 2011/12 and £575,200 2012/13). The procedures set out in this manual will enable this to happen.

CONTINGENCY BUDGETS

- 4.15 It is expected that within each infrastructure project budget there will be 15% contingency built in.

AUTHORITY LEVELS

	Independent Programme Manager	Senior Responsible Officer	Programme Board	JTEC
Authorised to approve up to for each partner in 12 month period with ratification at next Programme Board:	£50,000	£100,000	£250,000	£350,000
Total value of changes for each partner will not exceed in 12 month period:	£50,000	£100,000	£250,000	£350,000

- 4.16 The financial total of the changes authorised by the IPD will be included in the £100,000 limit for approval by the SRO. For example, if £20,000 of budget increased has been approved by the IPM then the SRO will only be able to authorise an additional £80,000 in any one 12 month period.
- 4.17 The financial total of the changes authorised by the IPM and SRO will be included in the £250,000 limit for approval by the Programme Board. For example, if £20,000 of budget increased have been approved by the IPM and £45,000 by the SRO then the Programme Board will only be able to authorise an additional £185,000 in any one 12 month period.
- 4.18 The financial total of the changes authorised by the IPM and SRO and Programme Board will be included in the £250,000 limit for approval by the Programme Steering Group. For example, if £20,000 of budget increase has been approved by the IPD and £45,000 by the SRO then the Programme Board will only be able to authorise an additional £435,000 in any one 12 month period.

REQUESTS FOR CHANGE ABOVE THIS LEVEL

- 4.19 A significant delivery risk for the programme is if issues raised through the procedures set out in the Manual require funding in excess of that which is available
- 4.20 If the IPM is alerted to such an issue the matter will be raised with the SRO. The SRO will direct the IPM in the preparation of an Exception Report and convene an extra-ordinary Programme Board meeting. The Exception Report will need to detail the audit trail of the issue occurring. The Programme Board will consider each issue on a case-by-case basis. The Exception Report will consider the following minimum responses:
- ◆ Rejection of request for change with reasons; and
 - ◆ Approval of additional funding through either:
 - ◆ Movement of funding between work packages
 - ◆ Major change to LSTF Key Component programme, including termination of individual projects; and
 - ◆ Additional 'gap' funding provided by one or more partners.
- 4.21 Following guidance from the Programme Board, the Exception Plan will be prepared for submission to JTEC. The Exception Plan will set out the impacts of both the proposed response and rejected responses. If no JTEC meeting is scheduled within the next six weeks then an extra-ordinary meeting will be convened.
- 4.22 Following approval of the Exception Plan (with any subsequent revisions), the projects in the Projects Dossier and budget monitor will be updated to reflect the changes to the budget.
- 4.23 If, at any time, the outcomes of the change procedure result in a fundamental change to the programme as agreed in the contract with DfT then the SRO (on behalf of the Programme Board) will suspend the programme with immediate affect until such time that the programme receives formal approval to recommence from DfT. Any expenditure incurred following suspension will not be eligible for claim by any authority.

RED FLAG PROCEDURES

- 4.24 If, for any reason, any partner is found to be operating outside of the programme controls, then the SRO will be empowered to 'red flag' any partner. This will result in immediate suspension of any payments and will require an extraordinary Programme Board meeting. At the meeting the partner(s) in question will be required, in conjunction with IPM, to prepare an Exception Report setting out the current position and reasons for departure. The project partner(s) in questions will also be given the opportunity to put forward their proposals, in the form of an Exception Plan, to rectify the non-compliant change.
- 4.25 Any changes required will need to address the change control procedures set out in this chapter and before recommencement of funding to the relevant partner can be granted it will require approval of all Programme Board members.

- 4.26 If a majority do not support the Exception Report and Plan then the IPM will be given guidance on re-submitting. If, however, a minority of Programme Board members oppose the proposal then the matter will be referred to JTEC for their consideration.

MOVEMENT OF FUNDING BETWEEN WORK PACKAGES

- 4.27 Throughout the duration of the programme there could be a need to consider the transfer of funding between work packages. This could be raised by mutual consent, or could be deemed necessary by the Programme Board to address a risk arising from issues that have occurred through the Exception Reporting procedure.
- 4.28 All changes of this nature will be raised as Exception Reports and considered at the next Programme Board. If no Programme Board is scheduled within the next two weeks then an extraordinary meeting will be convened.
- 4.29 The Exception Report will be prepared by the IPM, guided by the SRO, and will include the audit trail of issues being raised through the reporting procedures set out in this Manual. If reporting procedures have not been followed the 'Red Flag' procedures will be immediately applied.
- 4.30 The Programme Board will consider the report and direct the SRO and IPM to produce an Exception Plan for consideration by the next JTEC meeting. The Exception Plan will set out the benefits, costs and risks of taking both the proposed action and no action. If, to allow the change to take place, termination of any of the individual projects is proposed, then a description of the impacts on the business case, including benefits realisation, will be included in the Exception Report.
- 4.31 The Programme Board recognise the importance of consulting DfT on any significant change to the programme. Any proposals to move funding between work packages will be subject to formal consultation with DfT.
- 4.32 Following consultation with DfT, the SRO will present the proposals to JTEC. If no meeting is scheduled within the next six weeks then an extraordinary meeting will be convened.

CHANGES TO PROJECTS

- 4.33 It is recognised that during the implementation of the programme some of the individual projects will change. This is particularly relevant to the infrastructure works where during the detailed design stage the exact layout of schemes would be expected to alter, and to 'softer measures' where the specification of products will be influenced by market research and may evolve through management feedback during implementation.
- 4.34 The overarching principle of the programme is that the schemes that are delivered should not deviate significantly from those set out in the Projects Dossier. Any significant changes are likely to have impacts on the predicted outcomes.
- 4.35 Project changes are classified as 'minor' and 'major'. The definition of 'major' changes is set out in the next section, detailing how major changes will be dealt with.
- 4.36 The procedure for approving 'minor' changes to projects will be through the Exception Reporting procedures. Any changes to infrastructure projects will be expected to have been discussed with relevant stakeholders prior to production of the Exception Report.

- 4.37 The IPM will review all proposed changes with the SRO and recommend items for approval at the next Programme Board. If there are any proposed changes that the IPM and SRO cannot agree with a partner these will be submitted to the next Programme Board for consideration.
- 4.38 The IPM and SRO will not be empowered to authorise any 'major' change as defined in the next section.

MAJOR CHANGES TO THE LSTF KEY COMPONENT PROGRAMME (INCLUDING TERMINATION)

- 4.39 Any major change to the final nature of any of the individual projects delivered, as set out in the Projects Dossier, will be considered a fundamental change to the programme. An Exception Report will need to be discussed and submitted to the IPM.
- 4.40 The report will be discussed, in the first instance, at the next Programme Board. If the next meeting will be in excess of six weeks the SRO will communicate with other Programme Board members to agree if an extraordinary meeting is required.
- 4.41 On consideration of the Exception Report, the Programme Board will consider if the changes made to the project are considered necessary. If the changes are considered to have any potential impact on benefits realisation then the IPM will be requested to prepare an Exception Plan setting out the impacts of both accepting and rejecting the proposed change. The IPM will recommend alternative actions in the Exception Plan if considered appropriate.
- 4.42 It is recognised that it will be critical to consult DfT of any proposed 'major changes' to the programme. Following consideration of the Exception Report by Programme Board the SRO will send the Exception Report to DfT for consideration. Should consultation with DfT result in significant changes to the Exception Report then it will require further consideration by the Programme Board.
- 4.43 Following consultation with DfT the Exception Report, with any subsequent changes, will be presented to the next JTEC meeting. If no meeting is scheduled within the next six weeks then an extraordinary meeting will be convened.
- 4.44 Following the decision of JTEC, all relevant programme documentation will be changed to reflect revisions to projects and programme monitoring.
- 4.45 For the purpose of this programme, the definition of a major change is significant material change to the aims and/or benefits of a project.

5. Financial Control and Reporting

COST STATEMENTS AND PAYMENT TO PARTNERS

- 5.1 Bristol City Council is providing the financial administration of the programme.
- 5.2 Each authority will be responsible for producing their own cost statements using a template based on that provided by the DfT. Cost statements that do not comply with the template or those that fail to include mandatory information or those that are late will not be paid. All cost statements must be submitted accompanied by a signed statement from the Chief Financial Officer for each local authority.
- 5.3 Payments will be made to partners in accordance with money received from DfT.

GUIDELINES FOR CONTRACTORS: FINANCIAL FILES FOR AUDITS

- 5.4 Each authority is required to maintain an up to date LSTF Key Component financial file to comply with their own audit procedures enabling the Chief Financial Officer in each authority to sign off quarterly claims.

MONITORING OF THE FINANCIAL STATUS OF THE PROGRAMME

- 5.5 The IPM will monitor financial information provided by each authority for each quarterly period to ensure resource usage does not deviate from the budgeted schedule.

6. Project Communication

NAME OF THE PROGRAMME

- 6.1 No new name or brand is to be developed. Different outputs will be branded with existing names/brands.
- 6.2 The project team to refer to itself in email signatures etc as LSTF Programme Team.

COMMUNICATION WITH PROGRAMME BOARD

- 6.3 All formal communication with the Programme Board will be via the IPM and SRO. No partner will make direct formal contact with the Programme Board without prior approval of the IPM and/or SRO.

COMMUNICATION WITH DFT

- 6.4 All LSTF Key Component contact with DfT will be made through SRO and IPM. All correspondence will be copied to the other Programme Board members. All Programme Board members will be invited to attend any meetings arranged with DfT.

COMMUNICATION WITH MEDIA

- 6.5 The Communications Officer will be the primary point of contact with the media.
- 6.6 Releases to the local media about sub-regional projects should be issued from the West of England/LEP office, but need not be drafted there.
- 6.7 All releases should acknowledge joint working between the four authorities.
- 6.8 Only if a project is very much delivered in one authority area should a single authority press office issue the information. Even then, information will be circulated to all authorities and to the West of England/LEP office.

BRANDING

- 6.9 All branding for LSTF projects to be as per the Travel+ branding guidelines, unless solely cycling based. Cycle-based projects can use the existing Better By Bike logo.
- 6.10 No further brands will be developed for the LSTF work.

USE OF LOGOS

- 6.11 The pure Travel+ brand will be used – with council logos and any others appearing next to the contact information, usually on the rear of publications. The Travel+ logo and the strap line (or similar) with all four authority names will appear on the front of all publications.
- 6.12 All four West of England council logos to appear in any publications produced, usually in a prominent position, e.g. next to contact information and/or the back page.
- 6.13 Any partner logos are to appear close to, but not between, the four council logos.

- 6.14 As with press releases, if a project is very much solely delivered in one authority area, promotional information should be in the Travel+ style, but may carry a single authority logo.
- 6.15 All projects to acknowledge the DfT and LEP.

SOCIAL MEDIA

- 6.16 LSTF team to continue to use social media sites, following relevant existing or emerging council guidelines, with all four authorities to have access to necessary passwords.

WEBSITE

- 6.17 A review of existing websites and possible future options to be carried out. No further websites are developed using LSTF funding until after this review.
- 6.18 Both website addresses (Travel+ and Travel Bristol) to be used on printed material.

INTERNAL COMPUTING STANDARDISATION

Table 1 Software standardisation

Type of project	Programs	Other details
Word processing	Microsoft Word 2000	
Spreadsheets	Microsoft Excel 2000	
Databases	Microsoft Access 2000	
E-mail	Please ensure that large files are compressed for transmission wherever possible. Any files over 1MB should only be sent to those partners to whom they are relevant. Other partners should be notified that the relevant data is available. Alternatively files can be uploaded to a shared on line storage area and an email link circulated.	
Compressing files for email transfer	WINZIP	
Sending pictures and photographs for documentation and dissemination	TIF format for documents. GIF/JPEG format for website.	For pictures to be of a printable quality, it is recommended that they are of a resolution of 300 dots per inch (dpi) or better.

E-MAIL GUIDELINES

- 6.19 A list of partners e-mail addresses is contained in the Contacts Document. It is the responsibility of each partner to ensure that the relevant personnel are included in the e-mail grouping. Any changes to e-mail addresses and/or contacts should be sent to the Programme Support Officer, who will maintain an updated contact list.

EXTERNAL COMMUNICATION

- 6.20 All external communication will be coordinated by the Communications Officer in accordance with the Communications Strategy set out in Appendix I.
- 6.21 A condition of the funding agreement with the Department for Transport states that “the Authority will ensure that all its promotional signage, advertising, marketing information, publications, leaflets and press releases about the Project, whether created before, during or after Completion of the Project, shall give due acknowledgement to the Department for providing part (or all) of the funding for the Project. The phrase "Part (or wholly) funded by the Department for Transport," or such similar other wording as the Secretary of State may require, should be used.

LSTF FACT SHEET

- 6.22 Following formal approval from DfT a short fact sheet will be produced to provide a concise overview of the LSTF programme. The fact sheet will summarise the objectives, key elements, opportunities for engagement and milestones for the programme. It will include the contact details for JTEC and IPM.

LSTF NEWSLETTERS

- 6.23 Information sheets will be produced to provide internal and external stakeholders and interested members of the public with up to date progress on the programme.

7. Project Quality Plan

QUALITY STANDARDS

- 7.1 The provision of materials and works associated with the delivery of the programme are subject to agreed legal quality standards.
- 7.2 Detailed Quality Standards have not been prepared for the infrastructure projects, as each Highway Authority will use their own quality assurance approval systems and ensure all necessary legal processes are implemented. All of these will need to be in line with the relevant National Standards/Guidelines (such as LTN2/2008 and Manual for Streets), and each Project Initiation Document (PID) will need specifically to reference which standards are being used.
- 7.3 Quality Standards for 'Softer Measures' will be defined on a project-by project basis through the PID.

QUALITY ASSURANCE

- 7.4 In line with PRINCE2, quality assurance of both process and outcome will be undertaken throughout the programme. The Programme Board will delegate Quality Assurance to a nominated representative from the Board. This person will utilise the following Quality Assurance techniques:

PEER REVIEW GROUP

- 7.5 A peer review group will be established as necessary to support Quality Assurance. All Programme Board members will be given the opportunity to provide staff for this group. All nominated staff must not be directly involved in delivery of any of the LSTF Key Component projects as set out in the Projects Dossier.
- 7.6 The Peer Review Group will be convened at the discretion of the Programme Board member with quality assurance responsibilities to meet and review actual progress against that planned. The purpose of the group is to provide an internal 'challenge' role to support the Programme Board when considering progress reports from the IPM. The group will not undertake any audits or reviews at this level but rather raise formal issues via the nominated Programme Board member if concerns are identified.
- 7.7 As formal, external Gateway Reviews are not a pre-condition of DfT funding for this project, Peer Gateway Reviews may be undertaken for internal Quality Assurance processes at the appropriate times. The exact scope and nature of each review will be agreed between all project partners in advance of the review.

EXTERNAL QUALITY REVIEWS

- 7.8 It is not proposed to complement the internal review group and internal Gateway Reviews with external reviews to be undertaken throughout the duration of the programme. The reviews will take place at the discretion of the Programme Board only when deemed necessary. The approval for such a review will include a detailed proposal for: the reasons (linked to issues/risks, Peer Review reports or change controls); scope; timescale; and budgetary requirements for the review.

7.9 All Quality Reviews will include the following minimum requirements:

- ◆ Establishment of a review team
- ◆ Agreed scope and timescale;
- ◆ Agreed list of documentation for the IPM and SRO to provide in advance; and
- ◆ Formal report following conclusion of the review with, if necessary, an Exception Report for the Programme Board to consider.

EVALUATION

7.10 Evaluation and monitoring both during delivery of the programme and post-completion will be vital to assess the benefits realisation. It is also recognised that process evaluation will be useful to improve performance throughout and to provide lessons learnt for other projects and programmes by the four authorities and other authorities in the DfT Major Schemes Programme.

7.11 Responsibility for evaluation and monitoring needs to sit outside of the programme team, therefore independent evaluation will be carried out as deemed necessary.

7.12 All partners will be obliged to provide and/or support the data collection activities agreed in the Monitoring and Evaluation Plan. The Programme Board will have the discretion to commission additional monitoring and evaluation throughout the duration of the programme through the Exception Reporting and Change Control procedures.

8. Configuration Management

- 8.1 This section sets out the procedures that need to be followed by to ensure that any programme documents are traceable, readable, verified, reviewed, and approved prior to issue.

DEFINITIVE LIST OF DOCUMENTS AND TITLES

- 8.2 There must be a definitive 'current version' of any working document, into which work from multiple sources can be incorporated. The title of each document needs to be defined so that there is correct cross-referencing between documents.

FILING

- 8.3 A version control protocol will be used. The following is the mandatory version control which must be applied to all documents:

- **First Draft 0_01**
Use a zero then an underscore to inform the reader that this version has not yet been signed off (e.g. "Project Mandate 0_01.doc").
- **Latest Approved Version 1_00**
Use a whole number to inform the reader that this is a signed-off (usually by the Project Delivery Board) version. The highest whole number is the latest signed-off version (e.g. "Project Mandate 1_00.doc"). Any amendments to a signed-off version of a document that will breach (or may potentially cause a breach) of project tolerances must be managed via change control.
- **Working Copy 1_06**
Use a whole number and an underscore to inform the reader that version 1_00 is the latest signed-off version and that there have been 6 subsequent drafts (e.g. "Project Mandate 1_06.doc") which have not been signed off. If version 1_06 were to then be officially signed off, it would become version 2_0 etc...

Therefore, the document history for the above example would then read as follows:

0_01, 1_00, 1_01, 1_02, 1_03, 1_04, 1_05, 1_06, 2_00

- 8.4 Reports to the Project and Programme Boards will be submitted using the template at Appendix H.

CHECK-REVIEW-AUTHORISE

- 8.5 A Document Control Sheet should be put on the front page of each issued document and should be updated when the document is issued. The Document Control Sheet shows the initials of the people who have originated, checked, reviewed, and authorised the document that is being issued. See the front of this Manual for example.

PROTECTION OF FINAL VERSIONS

- 8.6 Final versions of any report/deliverable should be password protected in Word and converted into PDF format. This should be done as soon as the report has been authorised.
- 8.7 A signed off version of the final report will be filed in a central location.

9. ADMINISTRATION

MINUTES OF MEETINGS

- 8.8 All action points and decisions will be minuted. Minority views will be minuted when requested. Minutes of the meetings of the Programme Board and Project Delivery Boards will be drafted by the Project Support Officer and transmitted to the nominated contacts and attendees. The minutes shall be considered as accepted by partners if, within ten working days from receipt, no objections have been received.
- 8.9 The template for all LSTF Key Component minutes can be found at Appendix G.

CORRESPONDENCE AND FILING

- 8.10 A central programme filing system will be set up at Bristol City Council to ensure correct storing of correspondence and other programme material sent to/from the IPM.

SHARED STORAGE SYSTEM

- 8.11 An online, shared storage system will be used to upload key programme and project management documents. This will be made available via the West of England Office who will receive completed documents from the Project Support Officer for uploading onto the shared facility. Each authorised person will have a personal log in to view documents.

West of England Sustainable Travel (WEST)

Terms of Reference - Stakeholder Advisory Panel

These Terms of Reference were agreed at the Stakeholder Advisory Panel meeting on 28th November 2011. The Terms of Reference and representation within this Panel shall be reviewed in June 2012 when the outcome of the major bid is known.

Project Description

WEST is an integrated package of focused measures delivered across the West of England travel to work area which is built around the three themes of:

- **Stimulating Growth in Priority Areas** – targeting business travel on key commuter corridors and at major employment locations;
- **Connected and Thriving Centres** – working with local communities to develop ‘bottom up’ sustainable transport solutions;
- **Transitions to a Low-Carbon Lifestyle** – focussing on the choices people make as they move school, university, home, or job.

Consistent throughout these themes is a strong focus on **supporting the economy** and the identification of opportunities to reinforce and embed low-carbon travel within the fabric of our communities.

Purpose of Group

- To advise the Programme Board and Project Managers on sustainable transport issues as they relate to achieving the objectives West of England LSTF bid (see Appendix 1 for details of the bid objectives).
- To act as a ‘critical friend’ to the Programme Board – bringing challenge and new ways of thinking to the project so it can be delivered more successfully, bringing forward practical ideas and being an advocate for the success of the project.
- To concentrate on strategic issues and the effective delivery of the project drawing on the experience and expertise of the Panel members,
- To ensure appropriate involvement of stakeholders in the specification and delivery of the Programme measures to produce the greatest positive impact.

Frequency of meetings

Proposed to be quarterly at various locations in the sub-region.

Membership of Group

It is important that the membership of the group reflects the purpose of the LSTF as set out by the Department for Transport and the objectives of the WoE bid. It will therefore be important to show a balance between members

reflecting both the key emphasis on the economy and the wider WEST objectives. The following sectors should be represented by a named person, and where possible a named deputy:

- Business Groups - 4 places (building on those who supported the project bid)
- Sustainable Transport Users - 3 places (representative for cycling, walking, public transport)
- Community Groups - 4 places (with a geographical split and representing both urban and rural contexts)
- Education Groups - 3 places (FE, University, School)
- Health - 1 places
- Voluntary Sector - 1 place
- Police - 1 place

Secretariat will be provided via the Programme Support Officer, with quarterly meetings rotating between authorities.

The following groups supported the bid and were invited to the initial meeting to represent one of the sectors above. Those that attended the initial meeting are highlighted in bold:

- **North Bristol SusCom**
- **Bristol Airport**
- **Hewlett Packard**
- **Active Bristol/ Bristol NHS**
- **Greater Bedminster Community Partnership**
- Sustrans/**Bristol Cycling Campaign**/Bath Cycling Campaign/CTC/Lifecycle UK (one representative for cyclists was nominated following a decision between these organisations).
- Bristol Port
- Business West
- Bath Chamber of Commerce
- Weston-super-Mare Chamber of Commerce
- Cater Business Park
- GKN Aerospace
- Job Centre Plus
- DHL
- Weston College
- VOSCUR
- Joint Local Access Forum (JLAF)
- Avon and Somerset Police
- Banwell Parish Council
- University of the West of England
- City of Bristol College
- City of Bath College
- University of Bath
- Bath Spa University
- University of Bristol
- North Somerset Access Forum
- Living Streets

Outline WEST Communications Plan

Communications Objectives

- To demonstrate the authorities' united approach to promoting sustainable transport options for the future
- To develop a co-ordinated and holistic approach to transport communications strategy across the programme
- To provide continuity of communications approach throughout the life of the programmes development and implementation (internal and external)
- To leverage more support and co-operation for the schemes and the transport vision among all target audiences at all levels
- To support the authorities in maximising the opportunities for funding required to implement the transport vision
- To be aware and where appropriate co-ordinate other travel communications activity with that of the five major transport schemes that were submitted for funding to the DfT and with other transport communications activity within the local authorities area.
- To inspire confidence of delivery of the West of England transport vision

Communications Strategy

- Take a pro-active approach to managing communications across four local authorities (internal and external)
- Facilitate authorities' ability to collate and share intelligence and experiences at all levels for the benefit of all sustainable transport promotions
- Remove unnecessary and confusing overlap of communication, consultation and engagement activities
- Develop consistency of approach, message and service levels between schemes and across authority boundaries
- Improve collaboration to maximise existing resources for maximum communications impact

Communication Tactics

Internal

- Develop a detailed communications strategy (incorporating consultation and engagement, media, etc) and monitor progress
- Create a communications co-ordinator role across the programme to manage communications activity at an operational level
- Establish a communications and marketing group across authorities and project with regular meetings and ensure this group inter-relates with existing teams and structures.
- Create other internal communication channels to share information, intelligence and encourage collaboration eg. extranet, communications bulletins

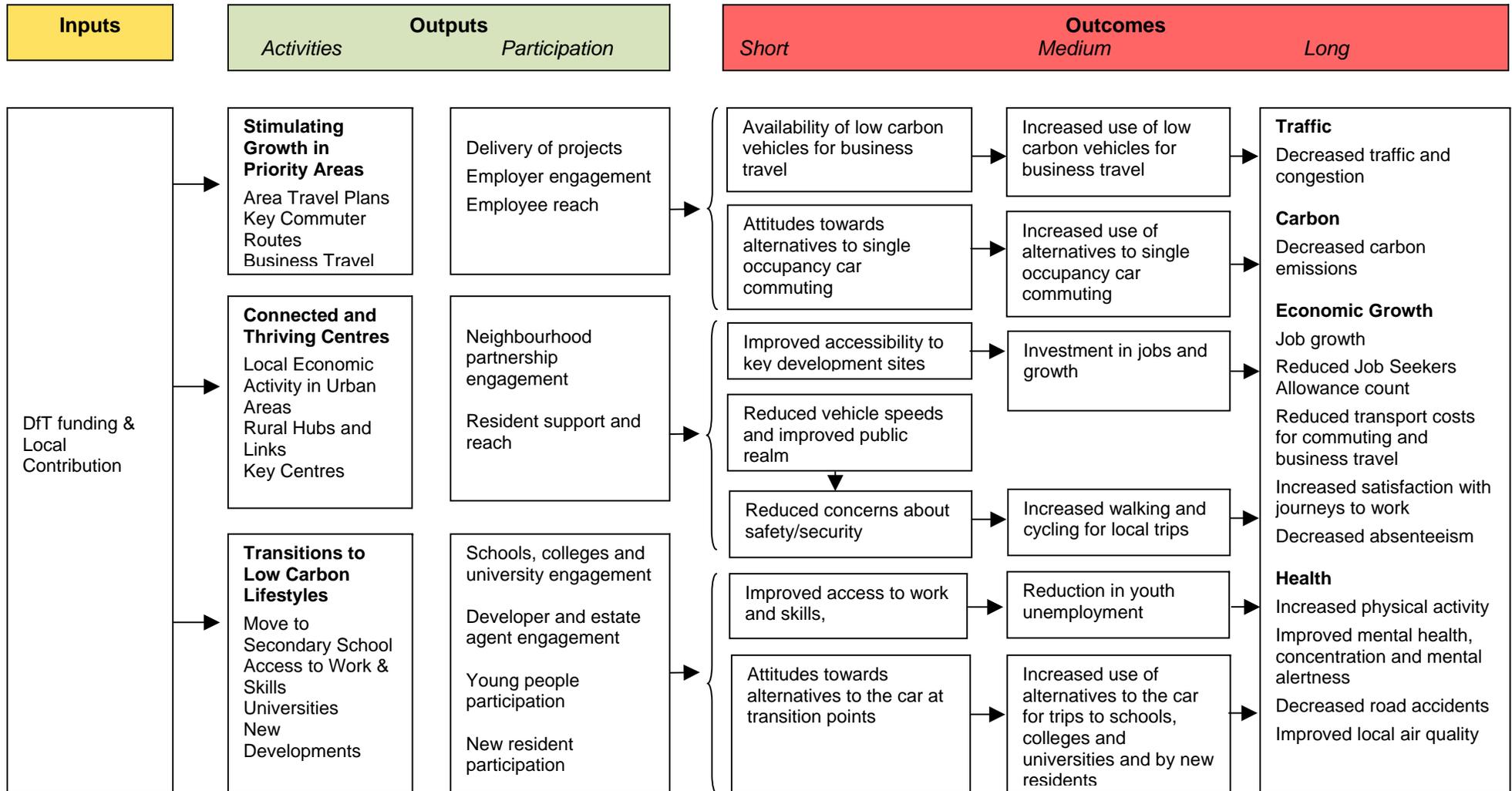
- Develop stakeholder and community mapping mechanisms to identify audience overlaps and gaps across the programme
- Identify existing levels of authority for decision making and sign-off of communications activity and any gaps
- Develop procedures to enable authorities to respond quickly to emerging issues

External

- Develop streamlined external communication channels which are easy to access and avoid public confusion.
- Develop materials which set each project in the wider context of the programme and the Travel+ brand but which avoid potential cross-contamination.
- Develop an integrated transport media strategy for WEST and link it with other transport issues and the major transport schemes programme.

The programme level action plan below set out key communication activities to be initiated as soon as funding is secured for 'clusters or projects' that have been grouped together to achieve economies of scale and manage the cross cutting nature of audience so removing duplication of effort. The ten projects have been grouped into three general themes - Stimulating Growth in Priority Areas; Connected and Thriving Centres and Transition to Low Carbon Lifestyles.

This approach is designed to ensure the projects follow a similar approach to communication and marketing the projects, follow the Travel+ branding and ensures they can progress quickly to delivery of projects as initial planning has been managed.



Assumptions
 WEST package complementary to JLTP3 and major schemes
 Commuting and business travel provides greatest potential for economic growth and carbon emissions
 Self containment of commuting (89% of residents of West of England work in area)
 Barriers to using alternatives to car relate to businesses, places and people
 People more amenable to adopt sustainable travel behaviour at life transition points

External Factors
 Macro-economic factors
 Fuel prices
 Development of housing and jobs in West of England
 National and local education policy and provision
 Public health policy and initiatives
 Olympics 2012

Performance Indicator Framework

Indicator area	WEST theme	WEST performance indicator	JLTP3 indicator and target	Data source options
Output activities and participation	Stimulating Growth in Priority Areas	Value of grants for employer cycle facilities (example)	No	Financial monitoring
	Connected and Thriving Centres	Number of neighbourhoods receiving Community and Active Neighbourhood Fund (example)	No	Project management records
	Transitions to a Low Carbon Lifestyle	Number of travel packs distributed to new residents (example)	No	Contractor reports
Short-term outcomes	Stimulating Growth in Priority Areas	Availability of low carbon pool vehicles	Related - number of electric vehicles in West of England area	Project management records
	Stimulating Growth in Priority Areas	Attitudes to alternatives to car alone commuting	No	Employee travel survey Household travel survey Qualitative research with commuters
	Connected and Thriving Centres	Perceived safety and security of walking and cycling for local trips	No	Employee travel survey Household travel survey Qualitative research with residents
	Transitions to a Low Carbon Lifestyle	Attitudes to alternatives to car at transition points	No	Survey of new students/residents Qualitative research with new students/residents
Medium-term outcomes	Stimulating Growth in Priority Areas	Mode share for commuting (single occupancy car, multiple occupancy car, rail, bus, cycling, walking)	Related - single occupancy car trips mode share for commuting (reduction of 20% points between 2010/11 to 2014/15 for designated employers) Related - total bus and rail patronage in West of England (increase of 10% between 2010/11 to 2014/15)	Employee travel survey Household travel survey

	Stimulating Growth in Priority Areas	Mode share for business trips (private car, low carbon pool car, etc.)	No	Employee travel survey Household travel survey
	Connected and Thriving Centres	Walking trip frequency for non-work journeys within West of England area	Related - total footfall at core points in key centres (increase of 20% between 2010/11 to 2014/15)	Household travel survey
	Connected and Thriving Centres	Cycling trip frequency for non-work journeys within West of England area	Related - total cycling trips in West of England area (increase of 75% between 2010/11 to 2014/15)	Household travel survey
	Transitions to a Low Carbon Lifestyle	Mode share for schools, colleges and universities (car, rail, bus, cycling, walking)	Related - no increase in mode share for travel to school by car (actual reduction of 3 percentage points between 2007/08 and 2010/11)	School, college and university travel surveys
	Transitions to a Low Carbon Lifestyle	Mode share for all trips (car, rail, bus, cycling, walking) for new residents	No	Panel survey of new residents
Long-term impacts - traffic	All	Car traffic (12 hour, two way) at key points on 11 corridors	Yes - reduction of 3% between 2010/11 to 2014/15	Automatic and manual vehicle counters (JLTP3)
	All	Car traffic (AM peak) into Bristol, Bath and Weston-super-Mare centres	Yes- reduction of 5% between 2010/11 to 2014/15	Automatic and manual vehicle counters (JLTP3)
	All	Congestion (average vehicle speed in AM/PM peak)	No	Floating/probe car surveys (JLTP3)
Long-term impacts - carbon	All	Carbon emissions from transport (JLTP3 indicator)	No	Employee travel survey Household travel survey
Long-term impacts - economic growth	Stimulating Growth in Priority Areas	Commuting costs per employee	No	Employee travel survey Household travel survey (using trip frequency, distance and journey time data)
	Stimulating Growth in Priority Areas	Business travel costs per employee	No	Data provided by employers

	Stimulating Growth in Priority Areas	Satisfaction with journey to work (as proxy for access)	No	Employee travel survey Household travel survey
	Stimulating Growth in Priority Areas	Absenteeism	No	Data provided by employers
	All	Local economic activity (Job Seeker Allowance claimants, employment rates, occupancy rates, output indices)	No	Economic data
Long-term impacts - health	All	Proportion of employees/residents meeting recommended physical activity levels	No	Citizen survey (e.g. Bristol's Quality of Life Survey) Employee travel survey Household travel survey
	All	Proportion of employees/residents with good mental health	No	Citizen survey (e.g. Bristol's Quality of Life Survey) Employee travel survey Household travel survey
	All	Casualty reduction (killed and seriously injured) in West of England area (JLTP3 indicator)	Yes - reduction of 30% between 2010/11 to 2014/15	Stats 19 accident data (JLTP3)
	All	Reduce NO2 emissions in the Air Quality Management Areas (JLTP3 indicator)	Yes - reduce concentration of NO2 in Bath AQMA by 12% and in Bristol AQMA by 4% from 2004 baseline.	Statutory air quality monitoring (JLTP3)