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A Critical Evaluation of Community Rail Policy and Practice During the New Labour Years 2003 - 2010

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**A CRITICAL EVALUATION OF COMMUNITY RAIL POLICY AND PRACTICE DURING THE
NEW LABOUR YEARS 2003 - 2010**

by

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A thesis submitted to the University of Plymouth
In partial fulfilment for the degree of

DOCTOR OF PHILOSOPHY

School of Geography, Earth and Environmental Science
Faculty of Science and Technology

In collaboration with the Department for Transport

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ABSTRACT

This thesis examines the separate but interlinked issues of changing governance processes and the delivery of Community Rail policy and outcomes in addressing the primary research aim 'To consider how changing governance environments introduced under New Labour, compromised or assisted the successful delivery of the Community Rail Development Strategy'. The history of Community Rail policy development and application is explored, leading to the publication in 2004 of the Community Rail Development Strategy (the 2004 Strategy). The process of governance and the academic literature detailing its changing application and form across the scalar range is considered, as is the rise of the neoliberal approach to governance favoured by recent administrations. The thesis then explores New Labour's introduction of the Third Way and the revised approach to the renamed third sector, a space where a high number of Community Rail Partnerships (CRPs) engage. To test the primary research aim and four core research objectives, a multi-methodological approach is applied combining desk-based quantitative analysis to determine a sample set of CRPs for the fieldwork, with qualitative semi-structured interviews of actors engaged in the case study areas. The processes behind these decisions are examined in Chapter 4.

Having selected the case study areas, an empirical overview of the transport planning policies of actor members of the CRPs is undertaken, as well as a visual and audio station audit. The research then considers the place of the 2004 Strategy within this wider transport planning policy landscape at all tiers of regional and sub-regional government, and concludes that not all tiers of local government appear as engaged as others. The resurgent approach to localism is then examined, and the role of Local

Strategic Partnerships is considered to determine the level of current CRP engagement and opportunity for enhanced integration to deliver the 2004 Strategy and wider outcomes. The research demonstrates a high level of correlation between CRP activities and alignment to core designated national indicators which make up the current performance management processes for Local Strategic Partnership members including the local authorities. The research then examines the importance of a CRPs own approach to governance, the role of core individuals and the importance of core actor engagement to support a stable platform for delivering successful Strategy outputs and outcomes. It concludes by identifying where CRPs currently engage in the wider policy environment and recommends national policy options to improve on outcome delivery for individual CRPs and their actor members.

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ABBREVIATIONS

ACC	Association of County Councils
ACoRP	Association of Community Rail Partnerships
AONB	Area of Outstanding Natural Beauty
ATCO	Association of Transport Coordinating Officers
ATOC	Association of Train Operating Companies
BAFRUA	Blackpool And Fylde Rail Users Association
BR	British Rail
BRB	British Railways Board
BR Board	British Railways Board
BVPI	Best Value Performance Indicator
CCT	Compulsory Competitive Tendering
CIL	Community Infrastructure Levy
Commission	British Transport Commission
CRP	Community Rail Partnership
CRQ	Central Research Question
CSR	Comprehensive Spending Review
DASTS	Delivering A Sustainable Transport System
DCLG	Department for Communities and Local Government
DCRP	Devon and Cornwall Rail Partnership
Department	Department for Transport
DETR	Department of the Environment, Transport And The Regions
DfT	Department for Transport
DTLGR	Department for Transport Local Government and the Regions
DMU	Diesel Multiple Unit
DSO	Departmental Service Objective
DTI	Department of Trade and Industry
DTp	Department for Transport
EC	European Community
EEC	European Economic Community
EPCS	Environmental Protective and Cultural Services Block
ESTA	East Suffolk Travellers Association
EU	European Union
EVRDC	Esk Valley Rail Development Company
GO	Government Office
GONE	Government Office North East
GONW	Government Office North West
GOSE	Government Office South East
GOSW	Government Office South West
GOYH	Government Office Yorkshire and Humber
GRE	Grant Related Expenditure
HMSO	Her Majesty's Stationery Office
ICAEW	Institute of Chartered Accountants in England and Wales
ICI	Imperial Chemical Industries
IOW	Isle of Wight
LA	Local Authority
LAA	Local Area Agreement

LDF	Local Development Framework
LDNPA	Lake District National Park Authority
LENNON	Latest Earnings Networked Nationally Over Night
LSP	Local Strategic Partnership
LTP	Local Transport Plan
LTP2	Local Transport Plan (Second Edition)
LTP3	Local Transport Plan (Third Edition)
LWT	Light Weight Trains
NFP	Not For Profit
NHS	National Health Service
NI	National Indicator Set
NR	Network Rail
NRF	Neighbourhood Renewal Fund
NSS	New State Spaces
NYCC	North Yorkshire County Council
NYMNPA	North Yorkshire Moors National Park Authority
ODA	Olympic Delivery Authority
ODPM	Office of The Deputy Prime Minister
OFQ	Organising For Quality
ORR	Office of The Rail Regulator
PCT	Primary Care Trust
PPG	Planning Policy Guidance
PSA	Public Service Agreement
PSO	Public Service Obligation
PSR	Passenger Service Requirement
PTE	Passenger Transport Executive
RA	Regional Assembly
RDA	Regional Development Agency
RES	Regional Economic Strategy
RFA	Regional Funding Allocation
RSG	Rate Support Grant
RSS	Regional Spatial Strategy
RTS	Regional Transport Strategy
SLDT	South Lakeland Development Trust
SME	Small and Medium-sized Enterprise
SRA	Strategic Rail Authority
SSA	Standard Spending Assessment
Strategy	Community Rail Development Strategy
SWOT	Strength Weakness Opportunity Threat
TCA	Travel Concession Authority
TOC	Train Operating Company
TPE	Trans Pennine Express
TPP	Transport Policy and Programme
TQ	Theory Question
TR&IN	Transport Research and Information Network
TUCC	Transport Users Consultative Committee
VCO	Voluntary And Community Organisation

DECLARATION

At no time during the registration for the degree of Doctor of Philosophy has the author been registered for any other University award without prior agreement of the Graduate Committee. This study was financed with the aid of a studentship from the Greater Western Research Fund, with support from the Looe Valley Rail Development Company, the Department for Transport, and the University of Plymouth.

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- 'Why Are Local Area Agreements Relevant to Community Rail Partnerships?', The DfT / ACoRP Designated Line Seminar – Derby. January 13th-14th 2009.

- ‘Did The University Of Plymouth Save The Rural Branch Line Network Of The UK?’
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- ‘The Influence of Governance on Community Rail Outcomes’ Human Geography
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CHAPTER 1: Introduction

Community Rail is a relatively new term within the established history and lexicon of the railway in the UK, and refers to either a local railway line or service which is actively promoted and supported by local organisations. Such support is usually provided in the form of a Community Rail Partnership (CRP), which brings together the railway operator, local councils, businesses and other community organisations, such as a local rail user group. Community Railways are developed and managed through such Partnerships to fit local circumstances, recognising the need to increase revenue, reduce costs, enhance community involvement, and support social and economic development. Whilst the activities developed by CRPs reflect a longstanding and well documented tradition of local and branch line rail engagement with the local community, it was only in 2004 that a national Strategy for Community Rail was introduced, providing for the first time a formal acknowledgement of the value of such engagement and a clear policy framework to support such activity.

Over the last 70 years, as car travel has become more widely available to the general public, the branch line railways of the UK have been engaged in a constant battle to demonstrate their relevance and value. This battle has traditionally taken the form of comparing the tangible net subsidy associated with branch line service operation after farebox and freight related revenues, versus the on-going legacy costs associated with closing the line and the value of the service provision itself not only to the communities served but also the railway industry and the wider economy.

Whilst Community Rail, as it is known today, has relatively youthful roots which can be traced back to the early 1990s, its true origins and guiding principles have a history and legacy dating back almost 150 years. To be able to understand the motivations behind modern day Community Rail and the commitment behind it, a contextual review of the policy approaches applied over recent rail history is needed. The origins of core elements such as rail service subsidy; the politics of rail operational costs; the value of a branch line versus the cost of closure; sectorisation and privatisation, and the various tactics applied to enable branch lines to demonstrate and quantify their contribution to society needs to be considered.

Central to this process is governance, and how changes in the governance of the railway and its interaction with the state across many scales has influenced and impacted upon the process of and opportunities for, Community Rail. In undertaking a critical evaluation of Community Rail policy and practice during the New Labour years 2003 - 2010, seeking to consider such rail related activity, governance processes and state interaction in isolation is not appropriate, as within the research period considered, society itself has also changed, as has the way that society is governed across multiple scales.

Changes in Society's governance processes and their application over differing scales is a well-travelled path for latter day academics in exploring the relationship between the nature of the state and society. It is important in understanding how modern day Community Rail can succeed in meeting its outcomes and deliver value to society through engaging in the spaces created by such change, which is central to this research and its attempt to explore the relevance of such governance change, and the

opportunities and challenges they pose. In applying this approach, Chapter 2 explores the nature of heterarchy, and Jessop's (2000) view of the ability to reconcile and transcend market and state failures by cutting across their divisions. Likewise, the scalar based neoliberal ordering of the levels of modern government and state restructuring are areas of existing literature which can be applied. Established concepts such as hollowing out and filling in not only have a place when considering the historical context of the UK rail sector, but also when applied to the changes in the state of the national rail industry introduced under the Conservative administration of the 1980s and 1990s as well as the wider changes to the role of the state, introduced under New Labour and its devolutionary approach to governance at the regional and local scale.

It is the period from the early 1990s onwards, which forms the central timeframe for this research, with particular focus on the period 2003 to 2010. In focussing on this period, the research will explore the localised devolution of government and governance process across the regional, sub-regional and local scales, and the relevance and ability of a CRP to actively engage within such space. As part of this state restructuring, and within the core research period, the New Labour administration introduced new ways of working between government and voluntary and community organisations, rebranded through this process as the third sector. The administration introduced Compacts between local government and the third sector, and substantially increased the use of the third sector in delivering state-funded activities. With many CRPs qualifying as third sector organisations, even if they may not recognise it themselves, the research provides an opportunity to explore this new relationship and how the changed status of, and commitment to the third sector is

relevant to the research aim and presents either an opportunity for, or restriction to, the activities of a CRP in delivering the 2004 Community Rail Development Strategy (the 2004 Strategy), and how this could be achieved.

It is within this first part of the research central timeframe of the 1990s that the Conservative administration of John Major had begun to engage with CRPs at a local level through the partial reallocation of Central Government Departments to a more local scale through the creation of a network of Regional Government Offices. Whilst local staff from Departments hosted within such offices and associated rural development agencies, slowly began to recognise, value and publish the contributions CRPs made to the leisure, tourism, countryside and economic sectors, it was only under the early years of New Labour that such engagement was considered as the basis of a more formalised approach through the process of creating, what is now known as the Community Rail Development Strategy. Published by the Strategic Rail Authority after a detailed consultation process, and in the same year as Brenner's 2004 paper on state restructuring, it is the exploration of the 2004 Strategy's origins, aspirations, expectations, the delivery of its outcomes by stakeholders, and how these core actors interact across relevant policy and scale divisions which is at the heart of the research.

With the introduction of this new approach towards multi-scalar governance for both local government and third sector organisations, it is the success of this process and the engagement of these multiple actors in core policy areas relevant to Community Rail outcomes, within the new corporate performance management processes established across the tiers of government which will determine whether the

outcomes of the 2004 Strategy will be realised, and judged to have succeeded or not. When considering the title of this thesis the research has to incorporate and build upon these core themes in determining the primary research aim, determined as:

‘To consider how changing governance environments introduced under New Labour, compromised or assisted the successful delivery of the Community Rail Development Strategy’

This thesis will address the primary research aim through focusing on four core research objectives:

1. To establish the place of the Community Rail Development Strategy and the Partnerships tasked with its delivery, within the wider transport policy landscape.

This objective will be addressed primarily within Chapter 6, through reviewing the evolution of a new transport policy landscape resulting from New Labour’s more integrated approach to Land Use, Transport and Economic Planning, which embraced a significant role for the regional tier. The resulting governance hierarchies and shared spatial planning, transport, environmental and economic policy outcomes across all tiers of local government will be considered. Central to this is the opportunity for Community Rail to establish its own ‘space of dependence’ as local transport policy migrates from silo based individual transport outputs of Local Transport Plan 1, to the wider more community focused outcomes within a shared policy environment encompassing Local Area Agreements, Local Transport Plan 2, Regional Transport Strategies, and the wider spatial planning

frameworks created. Of key importance to meeting the objective is a review of how CRP member organisations with statutory transport responsibilities within the differing tiers have considered Community Rail when reacting to these changes.

2. To investigate the extent to which a resurgent approach to localism poses an opportunity or threat to the Community Rail Development Strategy, its Partnerships and their outcomes.

In addressing this second objective, Chapter 7 reviews the measures and governance mechanisms developed around a new national performance indicator dataset designed to support a new national localism policy approach across multiple scales. The role and duties of the new Local Strategic Partnerships and their participant actors, their engagement with the third sector, and the ownership of the Local Area Agreement and Sustainable Community Strategy processes will be scrutinised to determine the extent to which Community Rail was visibly considered in their initial development, and whether there are on-going opportunities for engagement. The National Indicator Set and associated delivery and engagement processes will then be examined in detail to determine its relevance to CRP Strategy outcomes and to determine the extent of whether, or not, it provides an opportunity for CRPs to demonstrate performance value for their members. Key themes explored in considering this research objective include the awareness of functions/policy, responsibility for engagement, data access and collation; and the relevance of indicators to CRP outcomes and ownership.

3. To evaluate the importance of governance and engagement processes to a Community Rail Partnership in supporting successful Strategy outputs and outcomes.

This objective is addressed within Chapter 8, through considering the impact of governance models applied by individual CRPs on their ability to provide a stable platform for operational success. It reviews the advantages and disadvantages associated with differing hosting models, and the relationship between a CRP and scale is examined, including the financial and structural merits of alternate approaches. The importance of resource stability has been identified as a core issue and how this influences the Partnership's approach to governance is reviewed including existing resource mechanisms, structures and policy levers applied. Also considered to be an important area to examine is that of the role of core individuals in promoting stable governance, particularly those of the Chairman and Partnership Officer. Lastly, exploring the engagement with those key actors responsible for service operations, infrastructure and maintenance, as well as those engaged in the national policy environment is central to addressing the question, and so the engagement with the Train Operating Companies (TOCs), their trade body ATOC, Network Rail, and the Department for Transport Community Rail Division is examined in identifying their own impact on delivering successful Strategy outputs and outcomes.

4. To generate practical outputs identified through the research as capable of raising awareness within the CRP sector of opportunities and threats from the change in governance processes and applications.

This objective is addressed within Chapter 7 and Appendices C & D through the development and publication of research based outputs, within a range of distribution media, in partnership with key national policy and delivery stakeholders for the benefit of the Community Rail community.

The fieldwork process, as described within Chapter 4 as part of the wider methodology, engaged not only the CRPs and their members, but also elites from the Community Rail sector, and core individuals associated with local governance and the delivery of national performance indicators which form the basis of the revised performance management approach between local and national government, delivered through a Local Strategic Partnership. It is how a Partnership's approach to governance and stakeholder engagement, and those of its composite individual actor members, are able collectively and individually to influence, contribute to, and operate within, the wider policy environment and changing governance environments to meet the outcomes of the 2004 Strategy across the scalar range, that is explored within this research. The study not only seeks to answer the research objectives, but, as will be shown, support both practical outcomes from the research to assist practitioners in engaging within the space as defined, and to make recommendations as to how improvements could be made.

Finally, it has to be noted that the research period considered only extends to the general election of May 2010. The text seeks to reflect the correct tense when referring to institutional actors engaged in the process during the study period, but recognises this may no longer exist at the time of the submission of this thesis (November 2012). As such, the research does not take in to account the full policy emphasis of the current coalition Government. The new Conservative/Liberal Democrat Coalition Government came to power in May 2010 and is turning out to be considerably different to that of the previous thirteen year New Labour administration in relation to the process of governance and governing. A Postscript outlining these changes has been included at the end of the thesis for reference.

CHAPTER 2: Partnerships, Governance and a New Approach to Localism

2.1 Introduction

Throughout much of the twentieth century, the narrative of transport governance was dominated by both economic and social imperatives (Shaw, Knowles and Docherty, 2008). On the one hand was the need to regulate natural monopoly and address market failure within transport systems, and on the other was a desire to promote social equity in the transport opportunities available to individuals. In recent years, this narrative has evolved into an enhanced debate about 'governance' and the changing 'modes of governance.'

When seeking to explain governance, no single accepted definition exists. Treib (2007) refers to the term governance being associated with a change in the nature of the state. In this sense, governance denotes a process of governing, which departs from the traditional model where collectively binding decisions are taken by elected representatives within parliaments and local councils and implemented by bureaucrats within public administrations. Governance takes into account a change in the actor constellation, both during the formulation and implementation of policies and in the method of political steering, creating new spaces where partnerships can be formed and engage. Governance thus refers to societal steering and is often described as a process of coordination within networks, see Kooiman (2003) and Jordan and Schout (2006).

This chapter forms a central part of the literature review and outlines the core characteristics of governance and scale theory. It explores the understanding and changing nature of governance and its effect on the application of transport policy across the scalar range. It reflects on the impact of the EU at the supranational scale and how the EU directive process played its part in the changes introduced to the UK rail sector and the rise of Community Rail Partnerships. The chapter contextualises the changes in the approach to governance in England over the last 40 years; the introduction and application of neoliberalism throughout the 1980s and 1990s and the growth of governance models at a regional scale.

Central to this approach is a review of the origin and impact of the Third Way, an extension of localism following the election of the New Labour Government in 1997, and the refocusing on the third sector. The changing focus at the regional scale, its agencies, partners and democratic legitimacy of governance are then considered; its influence on the restructuring of local government; and how partnerships are revolutionising local service delivery through local metagovernance arrangements.

2.2 Governance and Scale

2.2.1 Defining Governance

Governance can be defined in a broad sense as a concern with governing; achieving collective action in the realm of public affairs, in conditions where it is not possible or desirable to rest on the recourse to the authority of the State (Stoker, 1998a). Governance involves working across boundaries within the public sector or between the public sector and private or voluntary sectors. It focuses attention on a set of

actors that are drawn from, but also beyond, the formal institutions of government. Fundamental to this is the process of networking and partnership.

The literature on governance rejects the notion of a rigid polarisation between the free market versus the heavy centralised hand of government, in favour of the concept as defined by Jessop of 'heterarchy' (Jessop, 2000). It recognises the twin tendencies of market and state failure and proposes to both reconcile and transcend them by relying on procedures which cut across the market and state divide. However, Jessop also seeks to define the main sets of factors which limit the success of governance in local economic and social development. The first of these is generic to all forms of economic and social coordination and is inscribed in capitalism itself. Capitalism has always depended on a contradictory balance between marketised and non marketised organisational forms. Governance adds another process upon which the balance can be contested.

The second factor concerns the wider introduction of partnerships into the more general state system. Among crucial issues here are the support measures which are taken by the state; the provision of material and symbolic support; and the extent of any duplication or counteraction by other coordination mechanisms. Jessop (2000) distinguishes three aspects of this second set of constraints. First, as both governance and government mechanisms exist on difference scales, success at one scale may well depend on what occurs on another. Second, the impact of different time horizons, where one function of governance, as of quangos and corporatist arrangements before them, is to enable decisions with long-term implications to be divorced from short-term political (especially electoral) calculations. Third, although various governance

mechanisms may acquire specific techno-economic, political, and/or ideological functions, the state typically monitors their effects on its own capacity to secure social cohesion in divided societies. It reserves to itself the right to open, close, juggle and re-articulate governance arrangements not only in terms of particular functions but also from the viewpoint of partisan and overall political advantage.

How such governance mechanisms have been applied over time and scale and their impact on the development of the operational environment of Community Rail Partnerships and their actors within England in relation to the Community Rail Development Strategy, is central to the work of this thesis.

2.2.2 Metagovernance

If, as outlined, both the market and the state are susceptible to failure, then the question is raised as to how such economic and political coordination for economic and social development is ever possible – and why is it often judged to have succeeded. In part, Jessop outlines that this can be explained through the multiplicity of satisficing criteria and the range of potential vested interests, so that ‘at least some aims are realised to a socially acceptable degree for at least some of those affected’ (Jessop, 2000). A further explanation can be derived from the observation that ‘governing and governance itself should be dynamic, complex and varied’ (Kooiman, 1993). This highlights the role of the ‘metastructures’ of interorganisational coordination (Alexander, 1995), or more generally, of ‘metagovernance’ i.e. the governance of government and governance.

Jessop states that metagovernance should not be confused with some superordinate level of government in control of all government arrangements, nor with the imposition of a single, all-purpose mode of governance. Rather, it involves managing the complex tangled hierarchy of prevailing coordination processes. It involves defining new boundary-spanning roles and functions, creating linkage devices, sponsoring new organisations, identifying appropriate lead organisations to coordinate other partners, designing institutions, and generating visions to facilitate self-organisation in different fields. A recent example of metagovernance in action at a national scale was that of the Olympic Delivery Authority (ODA) and its multi-layered, multi-agency approach to the delivery of the successful Olympic and Paralympic Games of London in 2012.

2.2.3 Scale, Spatiality, and Territorisation

As a loose definition the term 'scale' in this context refers to the hierarchical ordering of powers between differing levels of government (supranational, national, regional and local) and territory, emphasising the spatial articulation of powers across different locations, places and regions. Indeed both 'scale' and 'territory' have been keywords for geographers since the early decades of the twentieth century, but have become increasingly loaded with new meanings in terms of social theory from the 1980s onwards, and which by the turn of the millennium had become a major category (Paasi, 2004).

Anssi Paasi explores the new meanings of scale and how the last few decades have witnessed a mushrooming tendency to reflect theoretically upon the increasingly

complex spatiality's of the globalizing world, and the spatiality's of power and changing identities (Amin, 2002; Jessop, 2002b; Allen, 2003; Brenner, Jessop, Jones and MacLeod, 2003; Jones and MacLeod, 2004). Likewise, Brenner (2004) supports the work of Gill (1998) in stating how state spatial projects are now being shaped by the tensions between centralising and decentralising tendencies in scalar terms and the promotion of uniformity or customisation in territorial terms.

In accordance with both Paasi and Brenner, by the end of the 1990s, there was wide acknowledgement that the observed trends to rescaling were more complex than first suggested. The national (state) scale had clearly been challenged by both supranational and local scales as a result of changes to the interscalar distribution of functions (MacLeod and Goodwin, 1999). One consequence has been a prolonged debate about the real nature of the rescaling of the national state's functions, theorised as both a hollowing out and filling in of state activity: a transfer of powers to political and economic forces operating at the supranational scale, to local and regional authorities, and to quasi and non-state actors through the processes of denationalisation and destatisation (Swyngedouw, 1997; MacLeod and Goodwin, 1999). The concepts of both hollowing out and filling in are considered later within this chapter. Lastly, it is the phenomena of state downscaling, the devolution or decentralisation of regulatory tasks to subnational administrative tiers, coupled with a restructuring of subnational institutional configurations, which Brenner (2004) argues is as fundamental to the contemporary remaking of European political space.

2.2.4 New State Spaces and Geographies of Governance

The work on New State Spaces (NSS) by Brenner (2004) considers a transformalist approach towards state restructuring, where state space is viewed as socially produced and fluid rather than as fixed and pre-given (Harvey, 1982), and partly based on Jessop's strategic-relational state theory (Jessop, 1990). MacKinnon and Shaw (2009) outline how Jessop combines two crucial concepts. First, strategy is used to mediate between structure and agency. While state structures contain in-built biases that make them more accessible to some social groups than others, a particular group's prospects of gaining access to the resources and capabilities of the state will be shaped by the strategy that they adopt towards it.

Second, MacKinnon and Shaw (2009) observe how Jessop follows Poulantzas (1978) in conceiving the state as a social relation that derives its specificity from the interplay between state structures and the efforts of social forces to promote their interests in particular contexts (Jessop, 1990). The state, as such, has "no power; it is merely an institutional ensemble; it has only a set of institutional capacities and liabilities which mediate that power; the power of the state is the power of the social forces acting in and through the state" (Jessop, 1990, pp. 269-70).

Brenner (2004) spatialises Jessop's strategic-relational approach, distinguishing between 'state spatial projects' where the state re-focuses its internal processes and agencies to achieve a particular aim. One such current example would be the creation of Transport Direct to deliver electronic journey planning of rail, coach, bus, plane and air services at a national scale. State spatial strategies, however, are where the state

becomes an interactive partner with other organisations in the delivery of shared policy objectives and outcomes for example the creation of Traveline to deliver electronic journey planning for rail, bus and coach services at a regional and local scale through federated partnership boards for data collation and management involving actors from the public and private sectors.

The emergence of New State Spaces since the 1970s has been underpinned by processes of administrative decentralisation 'hollowing out' and the associated differentiation of socioeconomic activity 'filling in', both linked to the management and coordination of inter-scalar relations. MacKinnon and Shaw (2009) outline how the concept of New State Spaces emphasises the path dependent nature of state restructuring, drawing upon Jamie Peck's account of institutional 'layering' (Peck, 1998). According to Peck's formulation, the interaction between state projects and pre-existing institutional arrangements produces distinctive 'geographies of governance':

"The process by which new geographies of governance is formed is not a pseudo-geological one in which a new layer (or round of regulation) supersedes the old to form a new institutional surface. Rather, it is a dynamic process in which (national) regulatory tendencies and local institutional outcomes mould one another in a dialectical fashion. Geographies of governance are made at the point of interaction between the unfolding layer of regulatory processes / apparatuses and the inherited institutional landscape" (Peck, 1998, p. 29).

In this way, "entrenched configurations of state spatiality provide a relatively partitioned, differentiated geography for the articulation of state regulatory activities" (Brenner, 2004), as explored in the next chapter.

The social relations and actors that shape the production and transformation of New State Spaces are not isolated from wider processes of state reorganisation and economic restructuring as Brenner (2004) and other researchers have emphasised. In this respect, work on the so-called 'politics of scale' (Cox, 1998), which represents a key theme of the broader geographical literature on scale (Brenner, 1998; Smith, 1996; Swyngedouw, 2000), provides an insight on these wider relations and connections. According to Kevin Cox (1998), local and regional actors construct 'spaces of engagement' that link them to regional, national or even supranational institutions in order to secure their local 'spaces of dependence' – areas in which their prosperity, power or legitimacy relies (Cox and Mair, 1988).

2.2.5 Hollowing Out and Filling In

The concepts of hollowing out (Jessop, 1997) and filling in (Goodwin *et al.*, 2005; Jones *et al.*, 2005) are familiar to geographers and others engaged in research on devolution and state restructuring. McKinnon and Shaw (2009) outline how the two ideas can be seen as different sides of the same coin: whilst hollowing out refers to the transfer of certain national state functions to other actors and/or levels of governance, filling in is concerned with "the sedimentation of new organisations; the re-configuration of pre-existing organisations; the evolution of new working relationships between different organisations and the development of new working cultures" at the devolved scale (Jones *et al.*, 2005, p. 357). The concept is particularly influential in the analysis of devolution in the UK as observed by MacKinnon, where each of the new territorial institutions was granted substantially different powers. This involved complex and

spatially differentiated forms of filling in, linked to on-going processes of hollowing out at the UK level (Goodwin *et al.*, 2005).

Jessop's work on the hollowing out of the national state provides one of the most familiar accounts of state restructuring, and in identifying the main processes. First, the 'denationalisation' of the state involves the transfer of some responsibilities and functions 'upwards' to supranational institutions such as the European Union (EU) and/or 'downwards' to local and regional agencies, including devolved governments. Second, the 'destatisation' of the political system refers to an 'outwards' movement of responsibilities from the state to various arms-length agencies, private interests and voluntary bodies (Jessop, 2002a; Stoker, 1999). Observers such as MacKinnon and Shaw (2009), however, are keen to stress that such a process should be seen as a redistribution of responsibility and power over a range of scales and not a reduction of state power. This approach is further supported by Peck and his argument that it is the specific institutionalisation of the state which is being hollowed out and not the state itself (Peck, 2001).

The concept of filling in, however, provides a framework for assessing the reorganisation of governance within particular territories, involving the establishment of new organisational forms and/or the reconfiguration of old ones (Goodwin *et al.*, 2005; Jones *et al.*, 2005). Filling in does not imply or support the like for like scaled down replication of the national functions being hollowed out, but seeks regional and local innovation in the creation of governance processes which may add value, relevance and efficiency to the successful delivery of such function at the regional or local scale. MacKinnon and Shaw (2009) further argue that the process should not be

seen as a direct replacement for hollowing out, simply exchanging one metaphor for another. Instead, Goodwin *et al.* (2005) see the two processes as linked in a dialectical relationship through the hollowing out of the national scale and the filling in of the regional scale, such as the expectation for Regional Transport Strategies, to replace national Policy Planning Guidelines for Transport as explored in Chapter 7.

2.3 The Changing Approach to Governance within the UK

2.3.1 The English Question

The unbalanced nature of economic growth and development in the UK was a persistent feature of public policy in the first three decades after the Second World War. It was the centralisation of power in London and the South East which was regarded as the core factor within the UK as explaining the 'north-south divide' and the rise in the late 1960s of a more nationalist agenda (Mawson, 2007). The 1973 'Kilbrandon' Royal Commission recognised this power divide as increasing support for nationalism in Scotland and Wales (Royal Commission, 1973) and a year later the Labour Government outlined intent for elected assemblies for Scotland and Wales.

Following the 1974 general election and subsequent threat to the Government's electoral base, the Callaghan Government sought to bring forward the necessary devolution legislation in the 1977 - 1978 parliamentary session. However, with no provision for devolved measures in England, a group of English MPs introduced so called 'wrecking' amendments and the Government's parliamentary majority was lost. The subsequent 1979 general election heralded in some eighteen years of Conservative Government, during which Labour's post war regional economic

machinery was dismantled and a strong pro-union position against devolutionary pressures adopted. It was nevertheless in this period that new pressures were present leading to the re-emergence of a regional agenda (Mawson, 2007), and the application of hollowing out and filling in, as defined later in this chapter.

2.3.2 The Rise of Neoliberal Resource Led Governance

The Thatcherite era of the 1980s and early 1990s introduced well-known policies of deregulation and privatisation of public service provision. Central to this was a core policy aim of applying such change not only to central government activities but to those of local government also. As Docherty (2000) observes, in addition to the marketisation of service delivery, the ideologies of public choice originating in the work of neoliberal political economists such as Tiebout (1956) and Niskanen (1973), also sought the realignment of the institutions of local governance in order to further increase the efficiency and responsiveness of the state.

Examples of the application of this neoliberal approach included the deregulation and privatisation of government owned companies and the compulsory competitive tendering (CCT) of local authority services. Privatising these public sector enterprises was seen to 'free' the market by encouraging competition and efficiency through the creation of contestable markets (Bonsall, 2000) and, as considered within Chapter 3, it was against this background that both the 1980 and 1985 Transport Acts were legislated.

With the wielding of control on the distribution of core central government funding, the Thatcher administration engineered a state spatial strategy, delivered through a new, localised state spatial project based approach to governance, supporting delivery partnerships attuned to, and reflective of, their own preferences and political ideologies. The creation of Enterprise Zones and Urban Development Companies in support of an urban renewal agenda are two early examples of this application. Whilst heavily criticised at the time through their bypassing of local government exclusivity on delivery, these new approaches to partnership delivery heralded a new era of governance. An approach which would be built upon by New Labour through the Third Way, and a process which remains in varying forms today and is shown to have influenced the structure and composition of today's Community Rail Partnerships existence and functions.

The partnership based state spatial project approach to the restructuring, and the partial privatisation of urban renewal policy under the Conservatives has been pointed to by a number of commentators (Lawless, 1991; Edwards and Deakin, 1992; Pacione, 1992). Deakin and Edwards (1993) argue that privatism had not simply been concerned with leveraging in the resources of the private sector, but with promoting the 'enterprise and community culture' in urban regeneration through public-private partnership. The bureaucratic, non-entrepreneurial working style or culture associated with public sector dominated initiatives had been challenged (Gardiner and Hill, 1996). The technique applied sought to remove direct, full control of core funding away from local government, thus diluting the powers of the big Labour controlled Metropolitan Authorities (Report of the Commission for Social Justice, 1994).

In 1990 John Major replaced Margaret Thatcher as Prime Minister and leader of the Conservative Party, and a revised approach to regeneration governance developed. The City Challenge initiative conceived and devised under Major, for Oatley (1995) reflected 'a more subtle approach' by which central government could continue to diminish the role of local government and to change its character through the introduction of the enterprise culture. He cites the introduction of competition into the allocation of urban funding as the way in which this was achieved. Hambleton and Thomas (1995) argue, however, that many of those involved in the practice of urban regeneration welcomed City Challenge for engaging or re-engaging a wider range of interests in the regeneration process, for allowing local authorities a key strategic role, and for including the voice of local community organisations as part of a filling in exercise. As outlined by (Gardiner and Hill, 1996) the fact that only partnerships 'representing a wide range of interests' were eligible to apply for funds from the more recent Single Regeneration Budget (DoE, 1994) suggested that a less exclusive, more 'democratic' contemporary politics of partnership could perhaps be discerned.

Overall, it was expected that such partnerships would see the private sector 'shake up' the public sector, thus bringing about more streamlined decision-making or a more entrepreneurial way of working, and simultaneously introduce mechanisms whereby the public and voluntary sector could challenge the private sector to adopt more 'social' objectives, less driven by short term gain.

2.3.3 Shifting the Balance from Government to Governance

The fragmentation of the public realm arising from the Conservative agenda of privatisation, the establishment of 'arms-length' agencies as part of a hollowing out process and the marketisation of public services, when taken together with a limited presence of Government Departments outside London, highlighted the need to improve management at the regional level. National regional policy was deemed no longer fit for purpose, and raged against the forces of globalisation. In response to these concerns, John Major through a state spatial project, established a network of ten Government Offices (GOs) for the regions (Mawson and Spencer, 1997) to assist in the management of this process.

Civil servants from departments covering employment, industry, the environment and transport were brought together under a senior civil servant, the Regional Director. They were responsible for coordinating and delivering important elements of the programme of these departments at the regional scale. In delivering these programmes, the GOs established working relationships and partnerships with the public, private and voluntary sectors in their regions. Over the next decade the size, responsibilities and level of local engagement on behalf of parent departments was to increase significantly. The role of the Government Offices in relation to Community Rail Partnerships, the third sector more widely, and the local governance agenda is an important element of this thesis and is explored in more detail in later chapters.

This period of government and its radical approach to local and regional governance is summarised by Geddes (2004) who considers this shift as a classic approach of neoliberalism in accordance with the definitions outlined by Jessop (2002b). Jessop

identifies a typology of approaches to the restructuring, rescaling and reordering of accumulation and regulation in advanced capitalist societies: neoliberalism, neo-corporatism (a negotiated approach to restructuring by private, public and third sector actors), neo-statism (a market conforming to but state-sponsored approach to economic and social restructuring), and neo-communitarianism (emphasising the contribution of the third sector located between market and state’).

At the same time as Jessop, Brenner and Theodore (2002a) associated this deregulation of capital, financial and labour markets, at all levels from the global to the local, with local policies of competitiveness, fiscal austerity and privatisation, and the reconfiguration of the local state apparatus. They termed this restructuring as the ‘neoliberalisation of urban space’; presenting the process of ‘neoliberal localisation’ as one of destructive creation in which the old local state apparatus is replaced by new forms: an attack on the old bureaucratic ‘silos’ and the local politicians associated with them, and creation of managerialist and networked institutions; elimination of public monopoly services and their replacement by competitive contracting and privatised provision. It was against this background that the railway network of the UK was privatised and the consequential impact on the development of Community Rail Partnerships and policy development as explored in Chapter 3.

2.4 New Labour and the Third Way of Governance

Whereas the devolution legislation in Labour’s 1977 - 1978 parliamentary session failed due to wrecking tactics associated with the ‘English Question’, there was no such significant opposition threat to its re-introduction under the New Labour

Government of 1997. This was partly as devolution had been a central policy whilst in opposition, partly due to the large majority held, but also partly in recognition of the fact that over the preceding 18 years, the UK had become more accustomed to the ceding of some powers through the growing influence of the EU (Mawson, 2007).

As Shaw *et al.* (2008) outline, the establishment of devolved governments within the UK in Scotland, Wales and Northern Ireland illustrated well the ability to accommodate nationalist desires for regional autonomy and discretion in policy making. Such spatial hollowing out – powers transferring up or down to institutions with different jurisdictional territories – combines with the process of functional hollowing out and filling in to produce complex multi-layered systems of governance often involving stakeholder from other sectors (Shaw *et al.*, 2008).

2.4.1 The Third Way

Whilst devolution was always part of the New Labour agenda, the party's lack of a clear ideological framework was not foremost in the minds of voters (Temple, 2000); it was enough for many that New Labour simply were not the Conservatives. However, the continuing criticism that New Labour concealed a 'principle free zone' (Maude, 1998) and that many of the party's principles were 'something worse than vagueness' (Crick, 1997) was potentially damaging if it had been allowed to gain a foothold in the public mind. In seeking to examine the theoretical and empirical influences on New Labour and its leader Tony Blair in the late 1990s, Temple (2000) posited that something genuinely new may have happened in British Politics; in that outputs and not ideology appeared to be driving the new agenda of governance

under New Labour. Temple argues that the antecedents of the Third Way were varied but had important roots in the local governance system, where many of the policies and principles associated with the Third Way had become common practice under the Conservatives' neoliberalism, resulting in a change of ethos among service providers, which, had proved conducive to the achievement of centrally set targets.

However, the Third Way was not the party's first choice of a defining ideology, Labour had previously launched the 'stakeholder society' (Hutton, 1995), where in short, a mix of government offering opportunities in return for a larger measure of individual responsibility, turned out to be unsaleable. Temple (2000) outlined its failings as being a result of being vague and uncomfortably inegalitarian, as well as both misunderstood and not understood by the political elite and the wider polity. Dionne (1999) pointed out that voters clearly like and want capitalism, so in order to win elections, "parties on the left ... have to prove they're comfortable with the market and accept its disciplines"; however, voters want capitalism tempered by other values, such as community and compassion. Therefore, New Labour felt it necessary to launch the Third Way, which embraced capitalism, but also addressed the need for "realism with a heart" (Dionne, 1999).

2.4.2 The Quiet Revolution of the Third Sector

Central to the delivery of the Third Way was the role to be played by Voluntary and Community Organisations (VCOs), themselves re-branded as the third sector and Third Sector Organisations (TSO's) to complement the emerging identity of the Third Way. Jessop (2002a) had already identified the importance of the third sector within

the context of neoliberalisation and its clear resonance with policy development at that time in many advanced capitalist societies. Faced with fears about declining political participation, anxieties about meeting welfare needs, and worries about the nature of citizenship, Fyfe (2005) outlined how the third sector came to be regarded as 'a place where politics can be democratised, active citizenship strengthened, the public sphere reinvigorated and welfare programmes suited to pluralist needs, designed and delivered' (Brown, Kenny, Turner and Prince, 2000). However, the term itself was notoriously difficult to define. In general terms it is taken to include 'self-governing associations of people who have joined together to take action for public benefit', that are independent, do not distribute profits and are governed by non-paid volunteers (Taylor, 1992), for example, a homeless charity, or a Community Rail Partnership.

Within a few years of coming to power in 1997, the New Labour Government had significantly repositioned the role of the third sector. Under Blair, the third sector emerged as not only crucial to New Labour's programme of welfare reform but also of its wider ambitions of tackling social exclusion by reinvigorating civil society in terms of encouraging active citizenship and fostering social capital (Fyfe, 2005). According to New Labour, government support had resulted in a 'quiet revolution' with the 'transformation of the third sector ready to rival market and state' (Brown, 2004). However, this revolution had its roots firmly within the neoliberal policies developed by the Conservatives in the 1980s and 1990s, where voluntary organisations had begun to play an increasingly important role in local service provision encouraged by the introduction of competitive tendering for local authority services, the

government's funding of third sector service provision under contract had increased from £1850m in 1982/3 to over £4198m ten years later (Home Office, 2001).

By effectively seeking to mainstream the third sector, Fyfe argued that the New Labour administration had two clear aims. The first of these operated at an instrumental level with the government wishing to make more space for the sector to play an enhanced role in the delivery of public services. As the government's review of 'The Role of the Voluntary and Community Sector in Service Delivery' (HM Treasury, 2002) made clear, and as explored in Chapter 5, third sector organisations were seen as having a comparative advantage over agencies in other sectors which enable them to operate in environments which the State and its agents have found difficult or impossible. The perception was that public sector workers were often perceived as representatives of an authority, which certain groups had learned to mistrust; whereas those in the third sector were independent of government and therefore free to be unequivocally on the user's side.

2.5 Summary

There is little doubt that the policy approach of enhanced neoliberalism applied by the Conservatives in the 1980s and the mechanisms introduced to support it, had a significant and fundamental effect on the local and regional approach to governance and the rail sector. Two such mechanisms of governance change as identified through Brenner's work on New State Spaces (2004) are important to the work of this thesis – firstly the restructuring of the UK rail sector through the application of a state spatial

strategy; and secondly the changes introduced at the regional and local scale through the hollowing out and filling in of former state functions as a state spatial project.

In considering the restructuring of the rail sector through the state spatial strategy, Chapter 3 will show how, whilst the governance terminology applied may be relatively new, the concepts behind them are both long standing and well established when applied to local and branch line rail. These concepts are considered within a wider literature review of the history of not only the principles and practices associated with modern day Community Rail, but also how they influenced the development of the 2004 Community Rail Development Strategy. The chapter takes these concepts and examines how early pioneering CRP's needed to consider, develop and review their own 'space of engagement' in both understanding and reacting to the state spatial strategy as well as the wider rescaling of state functions, and associated changes in territory.

Whilst rail privatisation clearly has its origins in Conservative based neoliberalism, the wider application of governance change to state functions through a state spatial project has been shown within this chapter not only to have been continued by the New Labour administration, but considerably extended through its 'Third Way' policy approach. This approach was endorsed by the Treasury's 'Sub National Review of Economic Development and Regeneration' (HM Treasury, 2006) which concluded that there were several clear strategic functions which needed to be undertaken at the regional level, and that it was only at the sub-regional and local levels that in most cases effective implementation could be accomplished.

Whilst this chapter has introduced the theories and concepts of governance and scale, it is the understanding of how this regional, sub-regional and local change took place, and the form of the hollowing out and the subsequent reorganising of layers and agencies to fill in the space, all of which contribute to creating new geographies of governance, which needs to be examined. The ability of not only the CRPs themselves, but also the wider Community Rail Development Strategy to be able to engage, interact and influence such layers and spaces, and the actors responsible for their implementation within these new metagovernance structures which underpins this research and is central to addressing the research objectives.

Whilst these significant changes to scale and territory are to be considered, also outlined within this chapter was the deliberate shift in policy, to challenge the established two sector state model of private vs. public. A new 'third sector' has been actively encouraged, as has the application of heterarchy and partnerships as a model to challenge perceptions in market and state failure. This introduces a third area of research for this thesis – how an individual CRPs approach to its own governance may influence its spatial engagement and subsequent ability to develop and deliver desired outputs and outcomes.

The research will therefore contribute to this wider literature by providing empirical evidence that will be used to further the understanding of how the third sector operates in relation to changing processes of governance as exemplified by an investigation of the Community Rail sector in England.

Chapter 3: Policy Development and Influences on the Community Rail Development Strategy

3.1 Introduction

Ownership and governance of the railways has a long and politically divisive history dating back to the nineteenth century. In his 1844 Railways Act, William Gladstone made it possible for the government to take into national ownership any private company which had not complied with his Board of Trade regulations. Although such powers were never used, Gladstone's 1844 Act is primarily remembered as the 'Cheap Trains Act' as it required each company to run one passenger train a day along the length of their line at the cheap rate of one penny a mile, and at a minimum speed of twelve miles per hour. This legislation resulted in a considerable improvement in the quality and availability of third class railway travel, and may be a real contender for the first national scale commitment to the principles espoused in the current 2004 Community Rail Development Strategy – that of local improvements provided by the private sector, focused on quality, pricing and demand generation.

This chapter forms the second part of the literature review in building upon the core governance themes from Chapter 2 of neoliberalism, and Brenner's (2004) work associated with New State Spaces. It explores the history and context of branch line railway policy and governance in the UK, and the core events, actions, policies and individuals, which have influenced the development of Community Rail Development Strategy as a conceptual framework for CRPs and their partners. European, national, regional and local governance mechanisms relating to the policy environment of

transport planning and operational service delivery processes and layering are explored, as is the influence on the growth of Community Rail Partnerships, and their reactions to governance change. The chapter has been developed from an extended study in to the history, origins and application of Community Rail principles and practices since the introduction of the railway with the aim of supporting a paper in this interesting subject area as an output of this wider research thesis.

In tracing the historical development of the influences reflected within the 2004 Strategy, the process acknowledges that the modern day interpretation of what is accepted as 'Community Rail', may not fully reflect all of the characteristics and context of the historical terminology applied throughout the last sixty years when referring to 'branch lines', 'local rail' and 'rural rail.' Times have changed, transport has changed, rural communities have changed and indeed so has our collective attitude to accessing services. However, whilst terminological variations may have impacted slightly on collective definitions over time, the issues surrounding non-mainline local and rural rail services are as recognisable today, as at any time over the last one hundred and fifty years.

3.2 British Railways and the Governance of Post War Branch Lines

3.2.1 Post War Neostatism and the 1947 Transport Act

In 1921 following a rejection of an outright nationalisation, the UK railway companies were amalgamated in an early example of a rail based state spatial strategy into a series of four 'main line' regulated regional monopolies – Great Western, London and North Eastern, London Midland and Scottish, and Southern, through the 1921 Railway

Act in search of efficiencies believed to be inherent in a regulated larger scale operational. This remained the position until the aftermath of world war two, when the Atlee Government of July 1945 spearheaded the nationalisation of fuel, power and transport as core public utilities, effectively turning post-war Britain from a private enterprise economy to that of a more mixed economy.

Whilst rejecting a destatisation approach, the resulting 1947 Act did hollow out the role of safeguarding passenger interests, to be filled in with new consultative machinery. The Central Transport Consultative Committee for Great Britain was established which, together with a series of Transport Users Consultative Committees (TUCCs) at a regional scale, had the task of considering all matters affecting users including proposed closures and fares. As part of the work of the newly created British Transport Commission, which at this stage oversaw the Railway Executive, a review of the options for motive power was produced by one of its members J. Harrington and published in 1951, which contained four core recommendations:

1. Diesel traction should be used for shunting at all appropriate locations;
2. A Great Northern Main Line electrification scheme should be developed immediately;
3. There should be a main-line trial diesel conversion scheme; and
4. A scheme should be developed for modern diesel railcars.

Support for modern diesel railcar investment within the Commission itself was led by F. Pope, who's experiences in Northern Ireland had convinced him of the virtues of diesel units as a cheaper alternative to steam locomotives and conventional trains on

lightly used branch lines and secondary services. The Executive in responding to the Committee's 1951 report, and to Pope's own interventions duly established a new Light Weight Trains (LWT) Committee in August of that year to study what could be progressed in this field.

In 1950, the Commission's Annual Report produced a comparison of service type costs per seat mile and passenger mile for four types of rail and road services. Road costs were found to be significantly lower for all categories except main-line express rail services. Branch line services were determined as being thirteen times more expensive than bus alternatives per passenger-mile, and over fourteen times more expensive per seat-mile (Blee, 1950). Gourvish (1986) observed that none of the six regions operated stopping services (including branch lines) at a profit; indeed collectively the value of their net loss to the railway was estimated at £17.8m per year (1952 prices). Such knowledge and management information was to have a great influence over the mindset of railway operations in relation to branch line services, a full decade before Beeching.

3.2.2 Reducing Social Obligations of Changing Perceptions of Social Value

Following the shelving of proposals in a 1955 Modernisation Plan, Harold Watkinson, Transport Minister in June 1958 told the TUCC's that "the Commission could not be regarded as having to provide a social service for all and sundry", repeating this approach publicly in the House of Commons in July that year declaring that "the railways are no longer a monopolistic organisation with an obligation to provide all sections of the community with a railway service" (Gourvish, 1986).

On the back of this approach, the Commission undertook a retrospective review in 1960 of the ordering of twenty two light-weight diesel railbuses in 1956 in an early demonstration of the ability of the rail sector to improve operational efficiencies of branch lines, so central of the 2004 Community Rail Development Strategy. Estimated operational losses on the branch lines where these vehicles had operated had indeed been substantially reduced by over ninety per cent, but still none had managed to produce a margin of revenue over movement costs. When capital based terminal, track and signalling costs were factored, total losses still appeared large, although it was recognised that external factors had contributed to the disappointing results. Ultimately the Commission concluded that “there seems no prospect of such services ever becoming remunerative” (B.T.C. Minutes, 1958). Such a view was not always held by the railway officers themselves who remained unconvinced about the efficacy of wide scale branch line closures and the rationalisation of feeder services to the main lines. This was demonstrated with statements such as that of the London Midland area Board in November 1958 that “it was possible to over-emphasise the monetary value obtained from the withdrawal of services and closings in their contribution towards the overall economy requirement” (Gourvish, 1986).

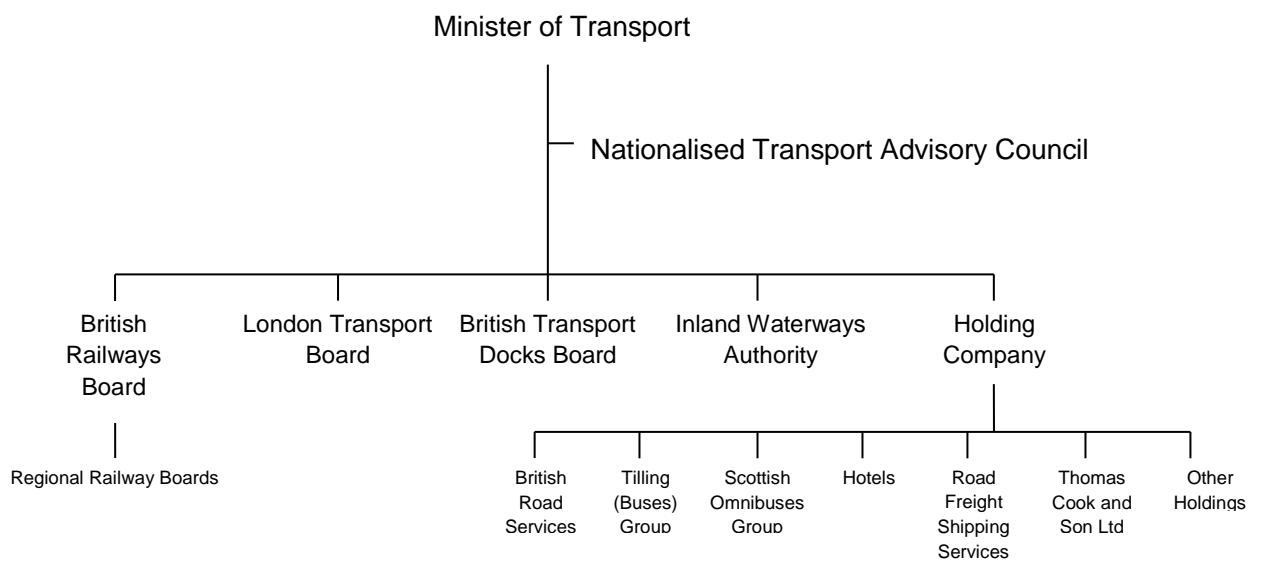
Whilst the Commission had always opposed the notion of government subsidies for specific services, the Ministry, following its reappraisal of a Modernisation Plan in 1959, informed the Commission in what may have been the first time an integrated cross-departmental approach to the value of rural social accessibility, that “considerable interest was being shown by Government Departments in a proposal that financial aid should be provided for certain parts of the railway system which are not economic to operate but which have to be retained for social reasons” (General

Staff Memo, 1959). Such an approach is not so dissimilar to the central philosophy behind the 2008 Public Service Agreements (PSA) priorities, providing the underlying basis for the neolocalism approach to local shared outcome based delivery through Local Strategic Partnerships and Local Area Agreements as outlined in Chapter 6, towards which the outcome contributions from CRPs are considered.

3.2.3 The Reshaping of British Railways

In 1960, as shown in Figure 3.1, the White Paper 'Reorganisation of the Nationalised Transport Undertakings' introduced a new state spatial project in confirming governance change through the abolition of the statutory Commission in favour of a non-executive advisory council; with the railways to be managed by the British Railways Board to which Dr Richard Beeching, formerly of ICI, was appointed to Chair.

Figure 3.1. Reorganisation of Nationalised Transport Undertakings



Source: Transport White Paper, December 1960, HMSO.

Beeching instructed a series of traffic surveys to inform arguably, one of the most important transport reports of the twentieth century; Beeching's *The Reshaping of British Railways*, published in March 1963. This pivotal report put forward a reasoned and detailed case for the rationalisation of railway services. Whilst considerations of social benefits were not ruled out, the focus was clearly on inter-city passenger, and long-distance freight traffic with commercial profitability at its core. Beeching and his Board sought to "shape the railways to meet present day requirements" so that they could "provide as much of the total transport of the country as they could provide well" (Beeching, 1963).

A sixteen point Improvement Plan, personally associated with Beeching, was put forward and presented as conservative in relation to closures, and restrainedly speculative with regard to new developments. Such conservatism, however, sought to oversee a forty per cent reduction in passenger route-mileage, encompassing around five thousand track miles and the closure of two thousand one hundred of the existing four thousand three hundred stations. Within the Report's Appendix, two hundred and sixty six passenger services were to be withdrawn, and a further seventy one were to be modernised. Significant emphasis was on the route-miles of single track branch line which still existed at the end of 1962. In the words of Freeman Allen, the Report managed "to make the public face up to the question of striking a balance between the social necessity of public transport in areas where it cannot pay its way, and the financial burden on the rest of the community in providing that transport" (Gourvish, 1986).

3.3 New-Welfarism Supporting a Socially Necessary Railway

3.3.1 The 1968 Transport Act – A Wolf in Sheeps Clothing

In October 1964, a Harold Wilson led Labour Government was elected, and within seven months Beeching was back with ICI, and in 1965 Barbara Castle was the new Transport Minister. Whilst new to the transport brief, within six months Castle had overseen the publication of a new welfarist White Paper on Transport Policy which outlined Labour's intentions to modernise the sector, subsidise individual 'socially necessary' rail passenger services and integrate publicly owned rail and road services. Castle's Transport Act of 1968 redirected emphasis away from 'efficiency' and 'competition' towards 'service' and 'modal integration.' In a renewed act of hollowing out, as in 1947, the new Act created several new bodies including the Passenger Transport Authorities, National Bus Company and Scottish Transport Group. The Act provided for a major reconstruction of the Board's finances, and a distinction was made between 'commercial' and 'social' passenger rail services, the latter being eligible for grant-aid on an individual service basis. This ability to understand the true cost of an individual line to be able to judge its value is a recurring theme within this thesis, and considered in detailed within Chapter 8.

However, even with such financial support and close association with Castle's new policy approach, the BR Board presided over more closures in terms of numbers, route miles and estimated savings, in the Labour administered two and a half year tenure after Beeching, than Beeching had achieved in his own two years to June 1965. Table 3.1, provides an overview of the rationalisation of passenger services for the period 1961 to 1973.

Table 3.1. Rationalisation of Passenger Services for the Period 1961 to 1973

Summary of Closures Per Minister								
Minister	From	To	Closures Accepted	Closures Part Accepted	Closures Rejected	Mileage Closed	Cost Savings (£)	Party
Marples	Jun 63	Oct 64	124	17	7	1,436	5,265,294	Conservative
Fraser	Oct 64	Dec 65	77	11	9	819	4,254,619	Labour
Castle	Dec 65	Apr 68	71	20	18	606	3,405,515	Labour
Marsh	Apr 68	Oct 69	37	10	8	419	2,197,419	Labour
Mulley	Oct 69	Jun 70	13	2	3	227	1,085,679	Labour
Peyton	Jun 70	Dec 73	14	-	6	90	619,586	Conservative

Source: Reworking of Table 2 of Appendix J, (Gourvish, 1986, pp. 641-642).

3.3.2 The 1974 Railway Act, Unified PSO Block and EEC Obligations

1974 was an important year for branch line governance. The Railways Act 1974 repealed the 1968 Act's practice of providing specific grants for individual unremunerative passenger rail services in favour of a single block grant payment covering the whole network known as the Public Service Obligation, or PSO. The PSO process adopted is considered by Gourvish (2002) as being very similar to that introduced in the Netherlands, and compatible with Britain's recently incurred responsibilities under EEC law (since joining in 1973) specifically the 1969 regulation which referred to obligations 'to ensure the provision of adequate transport services' and to the payment of compensation to cover any financial burdens arising from such obligations' (EC Reg 1191/69). This is regarded as the first time that the supranational scale of Europe had directly influenced UK rail policy, in line with the concepts detailed within Chapter 2. Payments to cover the net cost of passenger services (the PSO), were limited initially to £900 million, with provision for an increase of up to £1,500 million with Commons approval. Further impact of EU legislation is considered in Section 3.5.1 of this chapter.

3.3.3 Quantifying the Social Consequences of Rail Closures

In the late 1970s and early 1980s the BRB had recognised the change in public attitudes towards the closures of the 1960s and 1970s, and had responded by commissioning the Policy Studies Institute to produce a report on the social consequences of rail closures. The report was the response to a wider recognition that whilst the economic, operational and managerial consequences of the rail closures of the past twenty years were known, the social impact had not been evidenced. Undertaken by Mayer Hillman and Anne Whalley, the report *The Social Consequences of Rail Closures*, published in 1980, identified a representative selection of ten former lines. They undertook detailed analysis of the social implications of the service withdrawals in relation not only to issues such as journey purpose and trip frequencies, but to additional social implications such as attitudinal perceptions, community consequences, land use changes, isolation, population and employment trends, and impacts on the local economy. Within its conclusions, the report identified that:

“Many of the fears expressed at the Tucc Inquiries about how closure would affect rail users were well founded, and, indeed, suggest that the fears were not widely enough held. Our findings point strongly to a degree of hardship and inconvenience that does not appear to be widely appreciated by people involved in making decisions” (Hillman and Whalley, 1980).

Whilst the Hillman and Whalley report may well have confirmed the social impact of the rail closure programme, for the government, it made no contribution to solutions for the immediate operational finances of the rail network. However, its quantification of the social impact was considered highly significant to those individuals and organisations engaged in seeking to retain branch line services. These dual themes of

understanding the value of a branch line, together with concerns over line closures was both central to the creation of the early CRP forerunners in the 1980s and remains so today as explored in my own qualitative work as outlined in Chapters 5-8.

3.4 Internal Hollowing Out of British Railways at a Regional Scale

3.4.1 A Neoliberal Approach to Railway Finance and Sectorisation

In 1979 the first budget of the new conservative Chancellor of the Exchequer, Geoffrey Howe, stated how “finance must determine expenditure, not expenditure finance” (Gourvish, 2002). Such a neoliberal policy approach was closely associated with the new Prime Minister, Margaret Thatcher. In response, the BR Board undertook a major restructuring, creating five new Business Sectors, and thirty two sub-sectors, each with specific financial and organisational emphasis and bottom-line responsibility as shown in Table 3.2.

The new Director for ‘Provincial’ which contained within it all lines which would later become identified as Community Rail Lines was John Welsby, whose individual interventions during this time can still be seen to have influence on the operation of these services today, as explored in Chapter 8. Such a change in structure was also at the same time as the new Government’s objective to reduce the PSO by twenty five per cent in a three year period to 1986.

Table 3.2. British Rail Sub-Sectors 1986

Railfreight	Parcels	Intercity	Network South East (formerly London and the South East)	Provincial
Aggregates	Premium (Red Star)	East Coast Main Line	East	Eastern
Automotive	Newspapers	Anglia InterCity	North	Midland
Building Materials	Post Office	West Coast Main Line	Central	Scotrail
Coal, Distribution		Midland Mainline	SouthEast	Western
Coal, Electricity		Cross Country	SouthWest	
Coal, Other		Gatwick	West	
Distribution Services		Great Western Mainline		
Metals		Charter Trains		
Petroleum				
Refuse				
Freightliner				

Source: Glyn Williams, 'Managing British Rail', 1986.

The re-naming, and often re-branding of these sub-sectors helped to associate these organisational units with specific assets, and for the first time allowed customers to become aware of sector-based activities. Indeed within Provincial there was even a short lived initiative in neolocalism within the Western sub-sector with the creation of the 'Cornish Railways' brand, and whilst this could be considered as a possible precursor to the local identity branding so familiar to the modern Community Rail policy approach, in reality it may have had more to do with a local reaction to the impact of the local branding of express coaches in Cornwall in direct competition to the rail network.

With Freight, Parcels and InterCity all being unsupported sectors, a new PSO challenge of a further reduction from £736m in 1986 to £555m in 1989/90, (a twenty five per cent cut in addition to the twenty five per cent already achieved by 1986) fell squarely on the managers of the Provincial and Network South East sectors and sub-sectors. The sector approach at a regional and local scale allowed Welsby to control his own

destiny in the management and decision making of Provincial in delivering efficiency savings and cutting costs. Welsby's work is an early example of the role of the individual in leading change for Community Rail lines, which is a recurring theme of this thesis and researched in more detail in Section 8.4. There is little doubt that the creation of Provincial as a hollowed out sector, and its ability to optimise resources and invest in the new 'Sprinter' DMUs in a replication of the work of Pope in 1956, helped to manage the costs and deliver the Government PSO targets. With Provincial responding in this way, British Rail weathered the relatively hostile environment generated for nearly two decades by a government thrust towards market orientation and privatisation of the public sector as outlined within the work of Docherty, summarised in Chapter 2. This is not to say that in the longer term it prevented government intervention, kept the business in the public sector, or won the industry more support than it deserved, however, without the work of individuals like Welsby there was a real possibility that the railways might have followed their fellow loss-maker, coal mining, into a programme of serious rationalisation (Bradshaw, 1992).

3.4.2 The Serpell Report

In September 1981 a meeting of the BRB and the Transport Secretary agreed to a working party to conduct a financial review of the rail business, led by career civil servant Sir David Serpell. The Review was formerly announced:

"To examine the finances of the railway and associated operations, in the light of all relevant considerations, and to report on options for alternative policies, and their related objectives, designed to secure improved financial results in an efficiently run railway in Great Britain over the next 20 years" (DTp, 1982).

The Committee examined ninety four reports from British Rail and sixty nine from the Department of Transport, as well as direct evidence from no fewer than one hundred and seventy two bodies and individuals. Seven options were reviewed ranging from a fully commercial unsubsidised railway (Option A) to a high investment railway (Option H), as outlined in Table 3.3.

Table 3.3. Network Options and Modelled Results for Railways in 1982 (at 1982 prices)

Network	Route Miles	Costs (£m.)	Revenue (£m.)	Passenger Deficit (£m.)	Total Surplus/ Deficit (£m.)
Existing	10,370	2,647	1,731	-933	-916
Option A	1,630	727	761	-32	34
Option B	2,220	954	935	-72	-19
Option C1	9,990	2,597	1,780	-807	-817
Option C2	8,310	2,391	1,724	-690	-667
Option C3	6,120	2,125	1,590	-564	-534
Option D	8,400	2,416	1,731	-707	-684
Option H	10,070	2,645	1,842	-848	-803

Source: Reproduced from: Serpell Report Railway Finances, Pt. 2, Table 14.1.

The media reacted strongly against Serpell, bringing into play the ghost of Beeching, and whilst the report was ultimately shelved it did, like Beeching's report before it, serve as a wakeup call to the cost and value of rural rail services. Local authorities and passenger transport executives began to recognise the value of fixed local and rural rail services, and the need for innovation to ensure greater financial viability. In 1984, the Association of County Councils funded a joint report with British Rail entitled *Review of Rural Railways* making twenty five recommendations designed to encourage the retention and development of rural railways, including proposals for more flexible funding (BRB & ACC, 1984). I would suggest that this report contained the seeds of the policy based partnership approach between the railway industry, local authorities and government as a new state spatial strategy which would later germinate into the

development of the first pioneering rail partnerships and ultimately to the 2004 Community Rail Development Strategy.

3.4.3 Closures and Bustitution or Investment and Operational Efficiencies

Following the publication of the *Review of Rural Railways*, Provincial Sector undertook work on ten bus substitution (bustitution) case studies, estimating savings of only £2-6 million per year (Welsby-Fowler *et al*, 1983). As such, the Secretary of State's new objectives for British Rail outlined in October 1986, made it clear that he wished to see a major review of lines with the potential for bustitution before he would consider a reinvestment option. A further review, led by John Edmonds started work in early 1987 and conducted a preliminary review of thirty three lines, concluding that of the twelve hundred route miles assessed, the operating losses involved, equated to approximately £17m of which around £9m related to services in Scotland.

These findings contrasted sharply with Treasury expectations that savings of £100m a year might be achieved, which was an embarrassment for the Department (Edmonds, 1987). Whilst a large scale of closures may not have been on the cards, and with the Minister, Michael Portillo making it clear personally that "Scotland and Wales are no go areas for closure and bus substitution, at least at present" (Gourvish, 2002), a shorter more detailed review of twenty three English based lines, regarded at the time as less controversial was undertaken. Such personal intervention by an individual whether at a local or national level is examined within Chapter 8. The lines reviewed are summarised in Table 3.4.

Table 3.4. Lines Considered for Closure and Bustitution in 1998

Lines Considered for Closure and Bustitution in 1998		
Barton - Habrough	Barrow - Carlisle	Darlington - Bishop Auckland
Derby - Crewe	Exeter - Barnstaple	Church Fenton - Moorthorpe
Exeter - Exmouth	Liskeard - Looe	Doncaster - Gainsborough
Par - Newquay	Plymouth - Gunnislake	Middlesborough - Whitby
Truro - Falmouth	St Erth - St Ives	Norwich - Sheringham
Knottingley - Goole	Ormskirk - Preston	Sunderland - Hartlepool
Lancaster - Barrow	Scarborough - Hull	York - Harrogate
Lincoln - Sleaford	Westbury - Weymouth	

Source: Gourvish, 2002.

This report concluded however, that investing in these rail lines “provided the same order of benefit” as closure and bustitution (BRB R&A, 1989). Therefore in spite of a repeat of government intentions, and a reduction in PSO subsidy to £345m by 1992/3, under Edmond’s leadership of Provincial, the process of cheaper, higher quality DMU investment, and Sector based allocation of maintenance and engineering costs went forward, providing meaningful benefits in relation to operational costs. Complementing this maintenance and procurement approach was Welsby’s introduction of new technologies for line operation such as the Radio Electronic Token and the No Signalman Key Token systems. These measures were efficient and reduced costs, particularly on little used branch lines such as the Tamar Valley Line and its own use of the Key Token System, and were a pre-cursor to one of the three core aims of the CRP Strategy. Likewise, the introduction of the Automated Revenue Collection process, through the development and subsequent roll out of the All Purpose Ticket

Issue System and its mobile version PORTIS (Portable Ticket Issue System), significantly enhanced revenue management information for the Sector management.

3.4.4 A More Commercially Responsive Railway – the Omega Report

Whilst the 1980 Policy Studies Institute report by Hillman and Whalley, and the *Rural Railways* publication in 1984 were both instrumental in providing an increasing evidence base for the social value of heavily subsidised local rail services, this was very much against the marketised political doctrine of this time. Specifically, the post-war consensus of many Western European countries that public transport requires a high level of subsidy, coordination and political control was challenged head on by *The Omega Report*, published in 1985 by the Adam Smith Institute, the right wing policy group favoured by the Conservative Government at the time. The conclusion of the section on transport observes:

“Public Transport in Britain has suffered from the presumption that it must be supplied by monopolistic corporations. In key areas, its economic efficiency has suffered because there has been no means of assessing the demand for it, or the cost of supply... there is now considerable critical recognition that large scale supply based on central planning brings serious problems in its wake. Remoteness from the consumer, lack of responsiveness to his or her needs, and the absence of clear information concerning what demand there is, are some of the weaknesses that have been highlighted.” (Omega Report, 1985).

The Omega Report was one of three Adam Smith Institute reports on British Rail, the others being further detailed work by Kenneth Irvine in *The Right Lines* (1987), and also *Track to the Future* (1988).

3.4.5 Challenging Assumptions and the Value of Partnership Working

Whilst the Adam Smith Institute was leading the argument for governance change via a hollowed out, less centrally planned, more commercially responsive railway primarily through private sector based solutions; in contrast there was a growing level of concern of the investment criteria being applied by the government relating to core transport infrastructure projects. In the Centre for Economic Studies report *British Rail, The Radical Alternative To Privatisation* published in 1989, Paul Salveson contrasted the major investment approach applied to rail projects compared to highways. Whereas highway schemes were required to apply cost/benefit analysis, major rail infrastructure schemes were justified purely by ranking schemes based on the highest rate of return. Likewise, the report noted that within the Department for Transport itself in 1986, there were over ten thousand staff working on highways, licensing and taxation, and a further two thousand four hundred specifically on roads, railways merited a mere seventy six (Salveson, 1989).

The report also re-produced the statement made by the Monopolies and Mergers Commission which included:

“We have been favourably impressed by the way Provincial and the PTEs have co-operated in providing rail passenger services within the major conurbations of Great Britain, and by the evidence of the successful renaissance of rail travel in the Cardiff Valleys area of South Wales, largely brought about by co-operation between Provincial and the county councils of Mid and South Glamorgan. These examples show that the close involvement of local authorities in the provision of local rail transport can be very effective in providing attractive levels of service.” (Salveson, 1989).

3.5 Privatisation and Partnerships

Many studies, reports, journals and books have considered in detail the issue and process of the privatisation of the rail network – see Freeman and Shaw (2000), Gourvish and Ansom (2004), Glaister (2004) and Shaw (2000). This section seeks to review the period up to and including the privatisation process itself, in considering the attitude towards the governance, impact and place of Community Rail services by the core actors of the time. It is interesting, however, to consider as an observation that whilst Margaret Thatcher is synonymous with privatisation, and despite having announced her first major utility privatisation (of British Telecom) in July 1982, it took until 1988 for a series of reports to be commissioned on options for rail privatisation, ultimately leading to the 1990 Conservative conference announcement by Cecil Parkinson that rail privatisation was no longer a matter of ‘whether’ but of ‘how and when.’

3.5.1 Organising for Quality and Support from the Supranational Scale

One month after the Conservative Party conference in October 1990, Margaret Thatcher was no longer in Office, and the new Prime Minister John Major installed a new Secretary of State for Transport, Malcolm Rifkind, the third post holder in sixteen months. The BR Board’s reaction to the approach outlined by government took shape via a process named, Organising for Quality (OfQ), which saw significant governance change in the division and rescaling through a state spatial project of the core BR Sectors in to a series of twenty seven railway businesses. Table 3.5, outlines the changes made to the three Passenger Sectors, creating nineteen separate businesses

and the date they were implemented. It is the OfQ work which saw the re-branding of the Provincial Sector services as Regional Railways.

Table 3.5. Passenger Sector Division into Business Units and Their Creation Dates

Network South East	Regional Railways	InterCity
Thames & Chiltern - 24 Jun 91	Central - 6 Apr 91	Anglia & Gatwick Express - 27 May 91
North - 6 Apr 92	North East - 24 Jun 91	East Coast Mainline - 24 Jun 91
West Anglia/Great Northern - 27 May 91	North West - 6 Apr 92	Great Western - 24 Jun 91
Great Eastern - 27 May 91	Scotrail - 27 May 91	Midland Cross Country - 6 Apr 92
London Tilbury & Southend - 27 May 91	South Wales & West - 24 Jun 91	West Coast Mainline - 6 Apr 92
South East - 29 Apr 91		
South Central - 29 Apr 91		
South West - 29 Apr 91		
Thameslink - 6 Apr 92		

Source: Gourvish, 2002.

In May 1991, Rifkind outlined his thinking towards the future of what would become of Community Rail services. It was his intention that “Regional Railways would continue to require Government Subsidy, but the solution here lay in franchising services to operators at the lowest cost”. He asked for the Board’s involvement in a new set of privatisation studies, which would review the work done in 1989 on financial viability and determine the “practical implications and feasibility of each option” (Rifkind-Reid, 1991).

Impetus for the full rail privatisation approach outlined by Rifkind, was further enhanced in July 1991 through the publication of EC Directive 91/440, which stipulated in a major shift of governance that the railway companies of Europe should be managerially independent of the State, and which required the separation of the rail infrastructure from service provision – at least in an accounting sense (Douillet and Lehmkuhl, 2001). However, the manner in which this should be applied was never

clearly stated, allowing national governments considerable latitude to adopt either far-reaching or restrictive positions according to domestic conditions. The neoliberal governance approach adopted by the UK in response to 91/440 as outlined in the Conservative manifesto of 1992, duly promised to “end BR’s state monopoly” and “give the private sector the opportunity to operate rail services” through franchising (Conservative Party, 1992) which could be considered to be at one end of a wide spectrum of options and interpretations.

3.5.2 New Opportunities for the Railways

The overall approach of the government towards hollowing out the rail sector and the principal of service support so important to the Regional Railways network of business units, was summarised within the DfT’s 1992 White Paper *New Opportunities for the Railways*:

“It will be the responsibility of the Franchising Authority to franchise services on the Governments behalf. The Authority, after consultations with the private sector and BR, will agree with the Secretary of State a programme for franchising train services. The Government will decide a budget for grants for these services, and set broad objectives for service levels, service quality and fares. Taking account of these broad objectives, the Authority will specify the minimum services a franchisee will provide and the minimum quality standards.” (New Opportunities, p. 28).

Overall, the net expectation of the process was for a significantly reduced cost railway (to the taxpayer), where the market would bid for the minimum subsidy to make its offer competitive.

Pioneering Community Rail Partnerships, although not referred to as such at that time were already applying new approaches to governance at the local scale as pre-cursor models of what would become defined as Third Sector organisations, through bringing core actors together to improve service delivery, increase patronage, promote tourism and stimulate economic regeneration in partnership with Regional Railways. Two early examples of such Partnerships in existence prior to the 1993 Railways Act were The Penistone Line Partnership between Huddersfield and Sheffield, established in 1993, and the Devon and Cornwall Rail Partnership, established in 1991, covering six rural branch lines of the South West, whose stated aims were:

- To regenerate rural train and linking bus services, thus improving their overall long-term viability;
- To reduce the impact of visitors on the local environment, and provide countryside access for non-car users; and
- To bring economic benefits to the communities served by rural branch lines.

These early Partnerships were evolving as localised reactions to the piloting of a state spatial strategy approach, espoused in Serpell and by the Adam Smith Institute in advance of the full hollowing out of the rail function. They were establishing their own spaces of engagement within the shifting governance layers in delivering real tangible improvements and outcomes measured by patronage growth, improved facilities, and increased ticket revenue, as well as more social benefits associated with reducing social exclusion, and improved accessibility. Supported by strong rural policy practitioners such as the Rural Development Commission and the Countryside Commission who often provided access to small grant funding sources for local project

delivery, in support of a filling in process, their success was based on a partnership between supportive managers within the railway business units, pro-active local authorities, and enthusiastic residents, who all recognised the overall economic and social value of branch line rail to the communities they served. The contributions of such local individuals became a recurring theme within the qualitative interview process as outlined within the Methodology Chapter, and together with the role of some key individual elites such as Welsby and Edmonds, an important part of this thesis as detailed in Chapter 8.

Within this wider policy context, these early Partnerships had begun to work collectively, particularly in the collaboration of research and academic papers. Led by Paul Salveson and his creation, firstly of Transnet, and then the Transport Research and Information Network (TR&IN) in 1993 enabled organisations and agencies across the country to provide timely and quantified evidence confirming the social, economic and environmental benefits of rural railways. TR&IN took the lead in providing instructive guides for local authority and other actors to the changes outlined in the 1993 Railways Act, through publications such as Paul Fawcett's *The Railways Act in Practice – A Guide to the Provisions and Definitions of the Railway Privatisation Legislation*.

3.5.3 New Futures for Rural Rail

In his 1993 publication *New Futures for Rural Rail*, Salveson outlined options as to how rural lines could be managed within the framework of the Railways Act. Whilst acknowledging that the development of rural railways was not dependent on any

single model of ownership, the significant change brought about by privatisation meant that the issue of management and governance should be addressed. Salveson identified the clear risk that, as part of a large franchised network, the rural lines could be in real danger of being marginalised as the franchised owner sought to focus attention on the parts of their business that would bring the best commercial returns. He stated that “While franchises will allow for continuing subsidy of rural lines, without serious management attention - through energetic promotion, and investment aimed at reducing costs and improving service quality - the losses of such lines will worsen to the point at which their future may be questioned” (Salveson, 1993).

Two options were put forward for discussion, but fully recognising that either would require the operator to be willing to work in partnership with a wide range of local agencies. Option 1 saw the franchisee identifying the rural line as a distinct profit centre, with a devolved management structure based on low cost operating principles, and even with the potential for third parties to operate the lines within the wider franchise umbrella. The second option was more radical, with the franchisee effectively subcontracting the rural lines operation, or even removing it from the franchise altogether as part of a ‘micro-franchising’ process. Either way, it was argued the privatisation process could offer exciting opportunities to fill in with a new style of community-based railway management, closer to its market and more capable of local innovations.

The outcomes and outputs being achieved by Community Rail Partnerships and TR&IN members were not going unnoticed by government at a national level, and publications such as the Department of National Heritage’s report *Sustainable Rural*

Tourism – Opportunities for Local Action, published in 1995, and the Department of the Environment's White Paper *Rural England, a Nation Committed to a Living Countryside* also published in 1995 both drew heavily on the work and successes of the new-localism based approach championed by Community Rail Partnerships which significantly raised their profile within government.

This recognition of the value of Community Rail Partnerships in delivering wider rural and cross departmental policy objectives was further enhanced in 1996 by the publication by the University of Plymouth of two economic focused reports on rural rail: *Rural Rail Branch Lines as Axes of Economic Regeneration*; and *Valuing Rural Rail Branch Lines - A Methodology for investigation and Guide for Potential Researchers*. These reports by Martin Mowforth and Clive Charlton provided a detailed evidence base of the economic contributions made to rural areas served by branch lines, providing more quantified analysis of the types of issues initially raised by Hillman and Whalley in 1980 and the outcomes associated with the rural policy of the government as outlined in 1995 by the Departments of National Heritage and Environment, above.

3.5.4 What Use Are Rural Railways?

Independent research activity such as that by the University of Plymouth, and TR&IN, ultimately led to the commissioning of a single collaborative report at a pivotal time to support rural rail lines within the privatisation process. In 1996, the Transport 2000 Trust commissioned TR&IN to produce *What Use Are Rural Railways? - The Social, Economic and Environmental Benefits of Rural Railways*, which provided a timely review of four detailed rural rail case studies, identifying and quantifying the benefits

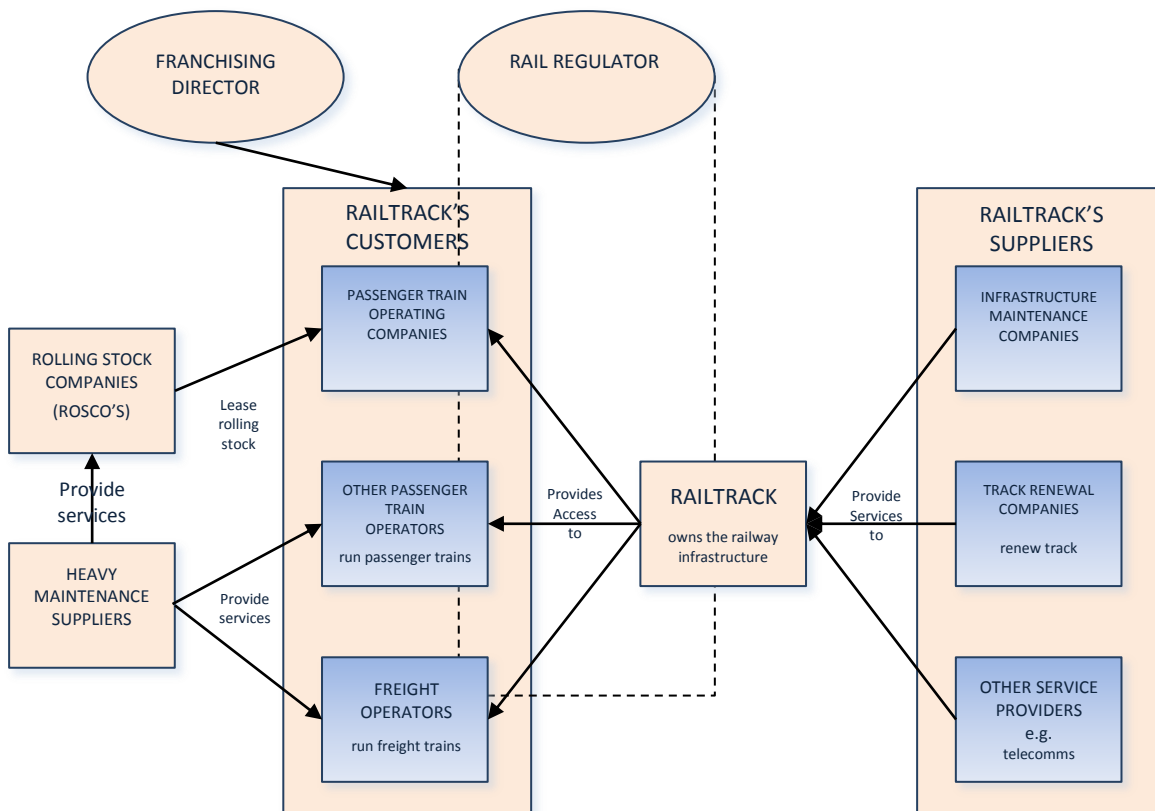
of rural rail. The report was based on a detailed survey methodology, and considered the UK rural rail experience with that of four other European countries. Of most significance, however, was its role in positioning the opportunities for rural rail within the context of the proposed new railway operating environment in establishing their own spaces of engagement. This report enabled local authorities, communities and other stakeholder partners to be able to show that through a partnership approach to governance, new railway franchisees could view their rural rail lines as axes of opportunity, and not just marginal obligations within a wider franchised network.

This report was of particular importance in relation to the role of the franchise's Passenger Service Requirement (PSR). The PSR was the published specification detailing the minimum level of service the franchise bidder would be required to operate. Whilst franchisees could elect to operate more services on a commercial basis, the risk as identified by existing stakeholders was particularly high for rural lines where the PSR obliged the franchisee to offer a lower level of service than that already in operation. This had particular impact in areas where local authorities and other actors had been working in partnership with Regional Railways to provide an enhanced timetable through subsidising additional services, which did not become part of the PSR. Reports such as *What Use are Rural Railways*, together with the evidence of patronage growth achieved by the existing Rail Partnerships were important for stakeholders when negotiating with potential franchisee bidders and in lobbying the DfT. It supported an evidential approach to delivering shared objectives of patronage growth and increased revenue - which would become cornerstones of future Community Rail Policy and central to demonstrating how CRPs were actively delivering core outcomes of Local Area Agreements as explored in Chapter 7.

3.6 A New Age, A New Opportunity

The first of the rail franchises to be privatised were South West Trains and Great Western Trains in 1995, with a further eleven companies sold during 1996. By the end of March 1997, all twenty five passenger rail franchises had been awarded. In April 1997, the new railway operating structure was structured as reflected in Figure 3.2.

Figure 3.2. Organisational Structure of Britain’s Privatised Railway



Source: Reproduced from 'Organisational Structure of British Rail', *Rail Privatisation: Britain and Germany compared*, Carmen Hass-Klau, 1998 Anglo-German Foundation, p. 40.

It is not unreasonable to suggest that in the immediate period after privatisation, it took time for the new franchise operators to be able to respond to the new operating environment in relation to many Community Rail services. Where timetables were

implemented based on the minimum PSRs in isolation from the involvement of partners, and within challenging timeframes, the resulting service to the passenger was not necessarily improved.

Within this context, existing Community Rail Partnerships provided new franchisees with some stability in relation to local knowledge of the customer base, aspirations, track records of successful revenue and patronage growth, and a commitment to adding value through the investment in time and resource that the franchisee would not be willing and able to make independently within their more open commercial decision making framework. For Railtrack, the Government's new privatised infrastructure company, Community Rail Partnerships provided access to core stakeholders willing to work in partnership to add capital value to their asset portfolio where appropriate, and to support growth and development which would lead to lower operational and maintenance costs.

3.6.1 The Growth of Community Rail Partnerships and Governance

Following the election of the New Labour Government in 1997 and its devolution and local governance agenda as discussed in Chapter 6, TR&IN produced a report in 1998 *Getting The Best From Bus And Rail In Rural Areas* and in 2000, *Branching Out: Railways For Rural Communities*. June 2000 saw Railtrack and the Association of Transport Coordinating Officers (ATCO) produce a joint report entitled *Partnership In Railway Development*. This Report identified ways how Passenger Transport Executives (PTEs), County and Unitary Authority actors would be better placed to work in partnership with the rail industry, as a result of the 2000 Transport Act, the changes

to the local transport planning system, and the creation by the Strategic Rail Authority (SRA) of the three year Rail Passenger Partnership programme to support innovative proposals to enhance regional and local rail travel and modal integration (Railtrack, 2000).

This was followed in 2001 by *Beeching in Reverse - The Case for a Programme of Line and Station Re-openings*, by TR&IN. This confident report drew upon the proven success of Community Rail Partnerships and made an argument for a strategic programme of service re-opening and long term investment. It built on the positive approaches coming from the New Labour government and the priorities of the Northern Irish, Welsh and Scottish devolved administrations in relation to rail investment. The report linked the changes to the regional scale, through Planning Policy Guidance (PPG) 13 which sought to protect land from planning where it may be needed for future rail use and espoused the opportunities offered by rail for regional economic growth as part of the Regional Development Agencies (RDAs) remit of supporting sustainable economic development as considered in detail in Chapter 6.

3.6.2 The Association of Community Rail Partnerships (ACoRP)

During this early post-privatisation period, the existing TR&IN network of stakeholders and partnerships recognised the need for a more co-ordinated approach to dealing with national bodies and agencies on what had now been re-defined as 'Community Rail' issues. Members agreed to establish a national representative body – the Association of Community Rail Partnerships (ACoRP), which was incorporated in 2000. ACoRP developed positive working relations with Government, the Strategic Rail

Authority, Rail Operators, Railtrack and the media, and quickly became the authoritative voice of the Community Rail practitioners. In January 2004, it also took over responsibility of the TR&IN research programme.

A combination of the locally developed relationships at a Community Rail Partnership level, the strengths of the ACoRP network, the recognition of the value of Community Rail by the franchise operators, and a high level of commitment from key national policy individuals within the rail industry such as Richard Bowker and Chris Austin of the SRA, all contributed to a recognition of the outcomes being achieved, and a need for a national strategic framework for the development of Community Rail. This led to the development of consultation on a Community Rail Development Strategy in February 2004.

3.6.3 The 2004 Community Rail Development Strategy Consultation

The consultation paper for the Community Rail Development Strategy was developed by the SRA and ACoRP and was published on 26 February 2004. It listed sixty branch lines throughout England and Wales for possible designation as Community Railways, and proposed Community Rail pilot projects on five routes. The SRA received responses from over three hundred organisations, including nearly one hundred local and regional authorities and around eighty rail user groups and established Community Rail Partnerships. Research submitted to the SRA by the Institute of Chartered Accountants in England and Wales (ICAEW) in May 2004 had demonstrated that the business community was as dependent on Community Rail as it was on Intercity rail, with two-thirds of ICAEW members saying they rely on both. Over sixty

per cent of respondents believed that successful Community Railways helped to generate business and, according to the businesses surveyed, some eighty three per cent supported the need for a Community Rail development programme in their region. In response to the high level of response to the consultation, SRA Chairman Richard Bowker (June 30th 2004) said:

“This huge and positive response to our initial ideas shows the importance of railways to the communities they serve, in business as well as environmental and social terms. The SRA's consultation has been the catalyst for bringing together local communities and the rail industry to chart the way forward for local and rural railways. Our final strategy will ensure their continued growth, while reducing the call on public funds and securing greater community involvement”.(SRA, 2004).

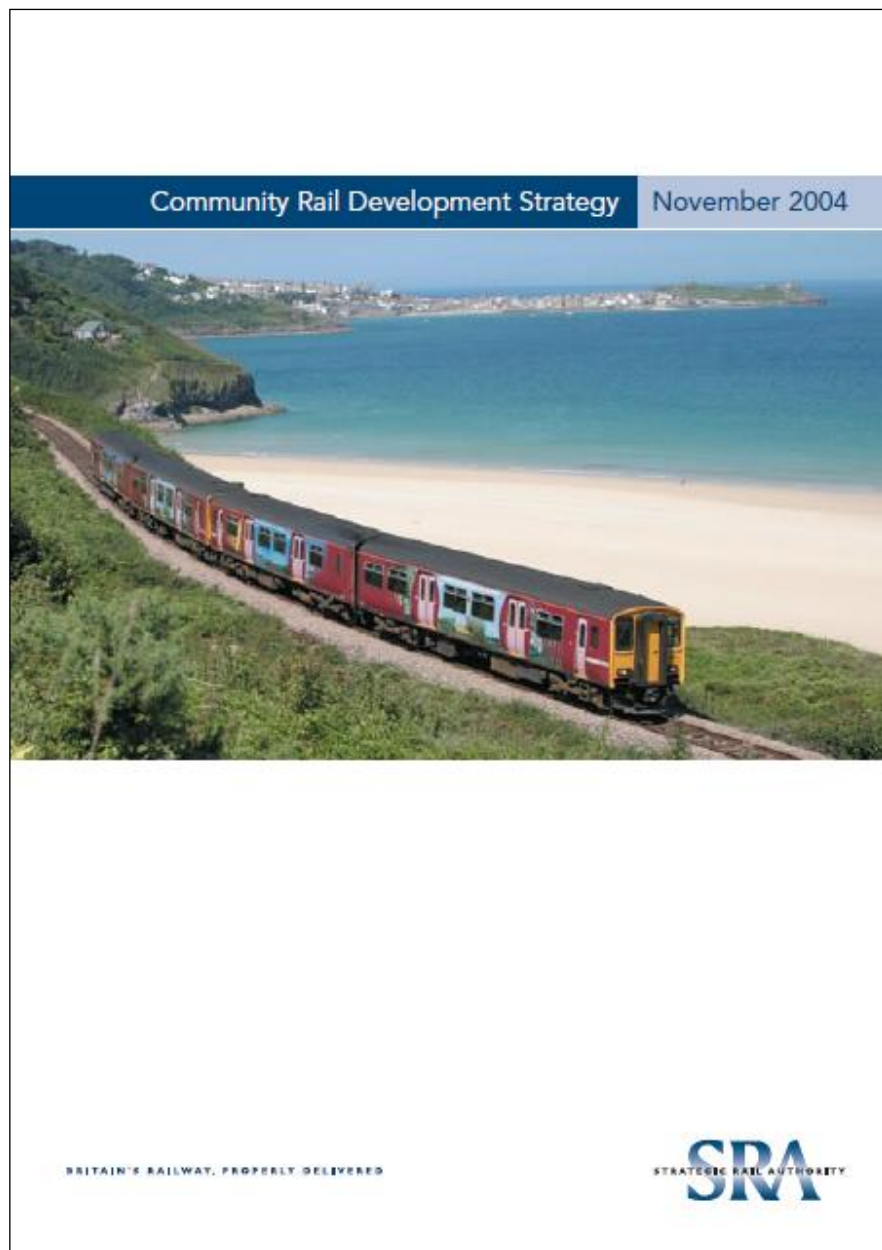
The positive responses received, and the high level of support for such a strategy led to the final publication of the Community Rail Development Strategy on November 18th 2004.

3.6.4 The 2004 Community Rail Development Strategy and the Future of Rail

The Community Rail Development Strategy provided a broad framework within which local and rural lines could be developed. It outlined that achieving the objectives would depend on partnership and on active support from a wide range of stakeholders including local authorities, users and community groups. It sought to encourage the doubling of originating fare income from Community Rail services over a five-year period and the reduction of subsidy per passenger by a half, to put these lines on a more sustainable basis for the future. The Strategy was endorsed by the Government and included in the July 2004 Rail White Paper: *The Future of Rail*, where it stated “The

Department for Transport will continue to develop the SRA's draft Community Rail Development Strategy. The Strategy is a flexible one, which aims to put rural community routes on an improved financial footing" (DfT, 2004). A copy of the 2004 Strategy is shown in Figure 3.3.

Figure 3.3. 2004 Community Rail Development Strategy



Source: SRA 2004.

The 2004 Strategy was designed to improve the value-for-money and social value of local and rural railways through three core objectives:

- **Increasing ridership and income** outlining the many opportunities to increase revenue, through raising the profile of the railway within the local community, better marketing and promotion of services, amending timetables, special events, better revenue protection and local fares initiatives.
- **Managing costs down** through maintenance strategies based on a closer specification of requirements and possessions planning. Better use of rolling stock, and multi-skilling of staff.
- **Greater community involvement** through working with local authorities to build the railway into its plans for spatial development. More specifically, it could involve developing other uses for old station buildings and under-used railway land, and with the local community it could mean station adoption and involvement in a Community Rail Partnership promoting and being a key partner in development of the line.

The Strategy was designed to fit with the four transport priority outcomes shared between central and local government - congestion, road safety, accessibility and air quality as explored in Chapter 6. It also took account of rural needs and circumstances and ensured that rail policy addressed the needs of rural communities. Associated objectives included contributing to the needs of the local economy, particularly the tourist economy, social inclusion, and environmental improvement - as much of the 2004 Strategy was about replacing empty seat miles with increased passenger kilometres which would bring an improvement in terms of emissions per passenger

kilometre. The SRA and Department for Transport recognised that no proper allocation of costs and revenues was currently made for individual lines, and so the work of a team at the SRA would be to include analysis of the actual costs of operation compared with the allocated costs, and also the analysis of the allocation of revenue to these lines.

3.7 Summary

The early part of this second element of the literature review sought to demonstrate how, over the course of their existence in the public sector from 1948 to 1996, branch line railways had been subjected to extensive governance and scale based change associated with rationalisation, control and social obligation, within a cyclical approach towards state spatial projects. The British Transport Commission's abortive search for transport 'integration' before 1953; the false faith in increased investment represented by the 1955 to 1965 Modernisation Plan; the realism of Beeching; and the 1968 Transport Act with its introduction of grants for unremunerative passenger services all served to outline how concepts associated with modern governance terminology, are grounded within a well-established history of the rail sector.

With the rescaling of British Railways management through Sectorisation in 1982, and the creation of Provincial as a semi-independent governance layer, indicative hints towards the privatism of branch line rail to come became increasingly evident. This new autonomy of the branch line sector, its responsibility to deliver ever increasing efficiencies and reductions in subsidy, led to activities and new geographies of governance as examined. Core themes such as leadership, value, the role of the

individual, and spaces of engagement, coupled with the wider understanding of the social consequences of rail closures, became a blueprint for the approach outlined in the 2004 Strategy, and central to addressing the aim of this research.

As early CRP pioneers evolved in this pre-privatisation period, their complementary social and economic objectives and shared outcomes were beginning to become justified through both farebox growth and enhanced economic activity within the communities served, as validated by academic research. As the Community Rail sector began to find a collective voice, their governance and individual spaces of engagement had to adapt. Concerns with the privatisation process and the PSRs began to morph into new privatisation led opportunities for enhancement with the new commercial franchisees after each Sector based company had been sold. The hollowing out of BR and the neolocalism model established, began to receive widespread recognition and attention as an opportunity for engagement in creating a new geography of governance.

As the SRA gained confidence and the new management of the railway businesses recognised the value of stakeholder working in both economic, social and PR terms, the number of CRPs began to increase at an enhanced pace. CRPs were becoming recognised as a third sector solution within the Third Way policy environment of New Labour. The formation of ACoRP, with strong backing from the SRA, rail franchisees and the Department for Transport offered CRPs a new space of engagement and close alignment of like-minded actors. The emerging Strategy reflected on themes pivotal to the branch line sector over so many years, but refreshed against the governance

backdrop of partnership working and the shared priority outcomes between central and local government which is examined in detail in Chapter 6.

The 2004 Strategy and its role as a conceptual framework, was a milestone in the recognition of the value of governance and partnership working to improve the social and economic value of rural railways. In developing and publishing the 2004 Strategy, the SRA (now DfT Rail) sought to bring a new focus of attention to the performance of rural rail, with a challenge to local stakeholders both in demonstrating and quantifying the value for the rural lines to the communities they serve (the social aspect), and to improving the cost base of service delivery through a range of operational enhancements (the economic aspect). Underlying the 2004 Strategy however, is a recognition and understanding that Community Railways are expensive.

As demonstrated throughout this chapter, such debate is not new, and reflects the cyclical nature of rural rail policy. Whether, nationally the privatised branch line network is too expensive today, with its fragmented neoliberal integration of infrastructure, service and rolling stock functions, is subjective. Such a judgement is largely dependent on both an accurate understanding of the real costs of provision, and the willingness of the general public to support political decisions in continuing to accept them within the PSRs of a national rail franchise programme. Of course being expensive does not necessarily mean that they are not value for money, and it is therefore the central role of the 2004 Strategy, and the CRPs supported by it, to be able to provide the evidence to enable this judgement to be made, as examined in considering research objective 3, within Chapter 8.

With value for money being a decidedly movable feast depending on the priorities of individual groups involved, the need for an individual CRP to demonstrate its value to a range of actor groups is essential to maintaining its own on-going support. In addressing the first research objective, Chapter 6 considers how both the CRPs and the 2004 Strategy, and the process by which they have evolved as outlined within this chapter, are reflected, considered and represented within the governance changes to the transport planning process under New Labour. It explores the place of the 2004 Strategy and its current value, from core actors involved both in its creation and operation, whilst further considering how individual CRPs have sought to establish their own space of engagement within the scale and territory based changes introduced.

Lastly, it is the application of neoliberalism by New Labour, its redefinition of local governance at the regional and sub-regional scales as introduced within this chapter, and how Community Rail integrates, functions and meets its outcomes within this new space which is central to considering the second research objective. Likewise, the core themes of this chapter of the application of governance change within the rail sector, the processes of branch line governance and the levels of engagement necessary to deliver the 2004 Strategy which are also applied in considering Research Objective 3, and the wider core research aim. The thesis will contribute to this wider literature by quantifying and providing evidence to demonstrate the relevance of the community rail strategy within a wider policy environment, and the flexibility of its application in meeting wider transport, and social outcomes.

To be able to research these objectives in an effective, balanced and appropriate manner, due consideration needed to be applied to the methodological approaches available, which is the focus of the next chapter.

Chapter 4: Methodology

4.1 Introduction

This research seeks to consider the application and success of a national transport orientated policy being implemented at a micro level within a shifting localism paradigm. To achieve this, careful consideration of the methodological options and how they could be applied was required to determine how the primary research aim and core research objectives could be investigated. This chapter details the phased process undertaken, starting with the definition of the primary research aim, and which data would be required, and methodologies most suited, to gather and analyse the data for the core research objectives being considered. This process led to a multi-methodological approach being adopted, combining quantitative methods to assist in the identification of suitable CRPs as case studies for more in-depth analysis, supported by documentary research and policy reviews, with the application of a qualitative approach of interviewing and localised participant observation.

With the application of both quantitative and qualitative data to identify six case study areas, the process of interviewing is considered, and the differing approaches which could be applied, leading to the decision to utilise a semi-structured interview process. Four core participant sectors are described, and the themes associated with preparing the core research objectives for the interviews are considered. Also considered are the interview groups approached, which for this study were identified as elite interviewees in the fields of Community Rail and National Performance Management; individual representatives from Community Rail Partnerships (in a range of defined

sectors); Group Discussions with CRP Functional Group Members; and Individual practitioners in National Indicator Management at a local and regional scale.

Having identified the interview groups, the process of interviewee selection and the methods used to achieve this are outlined, together with the approach taken to schedule the fieldwork to maximise access to local stakeholders, and to optimise the opportunity for localised small scale participant observation. The chapter then outlines how the approach to the interview process was considered in relation to ensuring both an ethical and confidential approach was achieved. This is discussed alongside wider considerations of positionality, the power relationships between the interviewer and interviewee, and my own approach to both personal and epistemological reflexivity. Practical considerations applied when preparing for both individual and group the interviews are also considered.

The chapter concludes by outlining the process applied to the analysis of the resulting data from the interviews undertaken. Having transcribed fifty eight interviews, representing over sixty five hours of recordings, the process of non-statistical content analysis is outlined, and how the initial development of two hundred and twenty five Free Codes, were reconstructed through axial coding to a series of thirty five core categories relating back to the research objectives.

4.2 Methodological Considerations

4.2.1 The Primary Research Aim and Core Research Objectives

A critical evaluation of Community Rail policy and practice during the New Labour years 2003 - 2010 will be addressed through considering the primary research aim of:

‘To consider how changing governance environments introduced under New Labour, compromised or assisted the successful delivery of the Community Rail Development Strategy’

It will be answered through focusing on four core research objectives:

1. To establish the place of the Community Rail Development Strategy and the Partnerships tasked with its delivery, within the wider transport policy landscape.
2. To investigate the extent to which a resurgent approach to localism poses an opportunity or threat to the Community Rail Development Strategy, its Partnerships and their outcomes.
3. To evaluate the importance of governance and engagement processes to a Community Rail Partnership in supporting successful Strategy outputs and outcomes.
4. To generate practical outputs identified through the research as capable of raising awareness within the CRP sector of opportunities and threats from the change in governance processes and applications.

In considering the primary methodology to be applied, the focus centred on the objectives I was seeking to explore and the data best required to address them.

4.2.2 Data Requirements to Determine Primary Methodology

The distinction between qualitative and quantitative as methods has, according to Cloke *et al* (2004), become rather sedimented in the thinking of many geographers, and overloaded with misunderstanding and prejudice (p. 17). He argues that they describe qualitative data as data that reveal the 'qualities' of certain phenomena, events and aspects of the world under study, chiefly through the medium of verbal descriptions, whereas quantitative data is described as data that express the 'quantities' of those phenomena, events and aspects of the world amenable to being counted, measured and thereby given numerical values.

It is further argued by Cloke (2004), that recent texts on human geography methods have tended to convey the impression that any formalisation of qualitative methods is an entirely recent occurrence, to be understood in term of supposedly 'postquantitative' cultural turns on the subject. However, he goes on to demonstrate how such 'talking to field informants' can be traced back to the 1924 work of Sauer, and Whittlesey in 1927. In his own paper, Whittlesey (1927) discusses the importance of conducting questionnaires alongside observation and the collection of statistical information. Whittlesey outlines a research methodology which included conversations both with well-posted people (officials), as well as individuals.

The assumptions applied by Whittlesey, had parallels with my own considerations in the approach I sought to adopt, namely that in addition to the need to collate quantitative data associated with the performance of Community Rail lines, in this case rail patronage, key operational data and policy documents, there is additional unobservable data which is necessary for understanding the geography of an area and that these are to be found in the knowledge and attitudes of key local figures. In my case, the officials and individuals associated with CRPs and engagement with the rescaling of state functions and governance associated with National Performance Indicators. This led me to consider that a multi-methods approach, defined as the combination of two or more methodological approaches, theoretical perspectives, data sources, investigators and analysis methods to study the same phenomenon for the purpose of increasing study credibility (Jick, 1979), would be most suitable to adopt as my primary research methodology to answer the core research objectives.

4.3 Determining the Sample Selection

In considering the research objectives, I wanted to ensure that any sampling of CRPs for more in-depth research would reflect the wide nature of their physical, structural and governance processes. However, at a preliminary stage it was identified that there was no single source from which to extract core CRP data. An early task therefore was to identify the data variables which would enable a sample of the designated CRPs representing a range of different structural, geographical, operational and governance led characteristics to be considered for case study fieldwork. I therefore developed a range of key data variables to assist with the sample selection which could be applied to each of the twenty six designated Community Rail Partnerships. These variables

focused on the core characteristics around the status and type of designation; existing governance arrangements relating to the designated line or service; the composition and nature of the Community Rail Partnership's own functional grouping; and core operational, geographic and performance related data as reflected in Table 4.1.

Table 4.1. Data Variables to Support CRP Sample Selection

Data Variable Required	Description
Designation Status	Whether the designated Community Rail Partnership held a Service or Line based designation from the Department for Transport. A Line based designation meant that all passenger services along that line formed part of the designated partnership. A Service based designation meant that the designation only applied to certain rail services operating along the line, and that all or part of the line was shared with non-designated passenger services i.e. a branch line may operate on its own line for 18 miles but for the last 2 miles it joins and operates on the main line with other rail services. In this example a Service based designation may only have applied to the 18 miles of segregated line.
Designation Details	Actual operational details on the Route, Line and Services operated which had been designated by the Department for Transport and supported by the Community Rail Partnership together with the date that the designation status had been awarded.
Governance Hierarchy of the Designated CRPs	Whether the designated Community Rail Partnership was part of a larger vertically integrated 'umbrella' rail partnership or a single independent entity. Further, to define and categorise the 'umbrella' governance model utilised. Where part of a larger group, to identify the hierarchy of the Community Rail Partnership(s) Functional groups within the 'umbrella'.
Governance Model of functional groups	To categorise which governance model had been applied for each of the Partnership's functional groups– for example, whether the branch line group it was a Community Interest Company, a Company Limited by Guarantee, a Not for Profit Company, a Charity, a Local Authority Partnership, a third sector partnership, or another Model classification.
Functional Group - Composition and Type	The number of, and type of actor groups who comprise each of the CRPs functional groups. Actor groups were defined as Highway Authority – Officer, Highway Authority – Member, District Authority – Officer, District Authority – Member, Parish Council Rep, Train Operating Company Rep, Network Rail Rep, 'Friends of' Rep, Community Rep, Interested Individual, Business Rep, Transport Partnership Group Rep, Campaign Group Rep, Other Public Sector Rep, Rural Community Council Rep, National Park Rep, ACoRP Rep.
Functional Group - Characteristics	The year in which each Functional Group was created. The name, position, organisation, and contact details for each member of the Functional Group together with any position held within the Functional Group i.e. Chairman, Treasurer, Officer etc. The frequency that each of the Community Rail Partnership's Functional Group met.
Host Organisation	Which organisation led and hosted the Community Rail Partnership.
Geographic Region	The English Government region(s) within which the designated line/service operated.
Pilot Status	Whether the CRP was one of the National Pilot Schemes supported by the Department for Transport as part of the National Community Rail Development Strategy.
Contact Details	Name and contact details of the Community Rail Partnership Officer.
Patronage Performance	Details on the patronage of the designated line or service before and after Department for Transport designation.

Source: Author

Having determined the variables required to support a sample selection process for further empirical work, early communication with the national Association of Community Rail Partnerships (ACoRP), the Department for Transport Community Rail Division, and Network Rail partners involved in the research identified the limited extent to which the required data was available centrally as outlined in Table 4.2.

Table 4.2. Pre-Existing Quantitative Data Held on Community Rail Partnerships

Data Required	Data Held Centrally By		
	Department for Transport	ACoRP	Network Rail
Designation Status	Y	Y	N
Designation Details	Y	Y	N
Governance Hierarchy	N	N	N
Governance Model	N	N	N
Functional Group Composition - Type	N	N	N
Functional Group Creation	N	N	N
Functional Group Composition - attendee details	N	N	N
Functional Group Meeting Frequency	N	N	N
Lead/Host Organisation	N	N	N
Geographic Region	N	N	N
Pilot Status	Y	Y	N
Core Contact Officer Details	N	Y	N
Patronage Performance	Y	N	N

Source: Author

This initial scoping review identified a requirement for a questionnaire to the individual officers of the twenty six designated Community Rail Partnerships to collect the required quantitative data. To ensure this process was as simple and straightforward as possible for the respondents, a pilot study of the approach to be applied was undertaken.

4.3.1 A Pilot Survey to optimise Data value

The reasons for testing such a questionnaire by using a pilot study were highlighted by Veal (1997), who suggested that a pilot study was necessary to test sequencing, estimate time taken to respond, clarify wording and layout but also as a means of testing the effectiveness of the analytical framework. The Devon and Cornwall Rail Partnership (DCRP) was chosen as the pilot area on a practical basis of both the seniority and long standing experience of the Partnership Officer within the Community Rail community, and the proximity of the DCRP office location for personal meetings with the Partnership Officer to discuss the pilot results. A draft version of an introductory letter utilising an endorsement from the Head of Community Rail Division at the Department for Transport in a gatekeeper capacity, and the quantitative questionnaire was prepared and submitted to the DCRP. The pilot aimed to determine whether any redesign was necessary when seeking to review the following areas:

a) Introduction to the Survey

- Was the purpose of the exercise clear?
- Was the gatekeeper endorsement sufficient to influence response levels?
- Were the instructions for completing the survey easy to comprehend?

b) Individual Questions Design and Format

- Could the questions be easily understood by the respondents?
- Was the wording appropriate?
- Were they the right questions for the data variables required?
- Was there enough space for the answers to be completed?

- What adjustments were needed?
- Was I interpreting the respondents own data correctly?
- How much time was it taking respondents to complete?
- Could the response time compromise the likely quality of the answers?
- Was the layout correct?
- Was there any question missing which may assist the classifications?

From this initial pilot, it was confirmed that the structure and questions for completion were reasonable, but that two core enhancements could be considered. The enhancements as suggested were:

1. That as much pre-populated data be added to the form prior to its distribution as possible; and
2. That a fully worked example be included as a reference point for the Partnership Officers.

The pilot study also identified an additional and significant issue on the patronage performance management data sought. This related to the expected ability of the core contact officer in each Community Rail Partnership to be able to provide meaningful and accurate comparative patronage statistics relating to the designated line or service. Advice was imparted that there was no standard approach to the provision of data from Train Operating Companies to the Partnership, and that some Community Rail Partnerships may not receive any disaggregated patronage information at all. Further, where a Partnership did receive such information, issues around commercial confidentiality may restrict their willingness or ability to release the figures for the

research. This had the potential to be a significant barrier to being able to identify a reasonable sample for the case study qualitative fieldwork research and as a result of this early research, became a theme examined in detail in Section 8.5.

A solution was identified through close working with the Head of Community Rail Division at the Department for Transport who received and held commercially sensitive operational patronage data in a standardised format for all local rail lines in England. A confidentiality agreement with restrictions on data publication was negotiated with the Department to protect commercially sensitive material, but which enabled me to receive the four weekly period based patronage data for each of the designated lines and services for a five year period to the end of 2009. The application and interpretation of this dataset is explored later in this chapter as is my approach to ethics and confidentiality in handling such sensitive material. The feedback work with the DCRP relating to the Pilot review exercise also confirmed the approach undertaken in the Pilot that to increase the speed, likelihood and quality of a response, the use of the gatekeeper endorsement should be applied.

4.3.2 Questionnaire Survey for Sample Selection

In early June 2008, an introductory letter was prepared for twenty three of the twenty six designated Community Rail Partnerships, referencing the support of both the Department for Transport and ACoRP to the request, by way of gatekeeper accreditation. The single sided questionnaire was attached, together with a worked example as to how it should be completed. The letter and questionnaire are attached as Appendix A. The initial recipients of this exercise are outlined over in Table 4.3

reflecting all designated CRPs at the time of the research, also reflected on a map in Figure 5.1. Following a review of preliminary data, it was decided through a discussion with the DfT that three designated CRPs be excluded from the survey process. The core reasons for this related to the very recent designation of these Partnerships, combined with a lack of disaggregation of the patronage data at this time.

Table 4.3. Community Rail Partnership Officer Recipients of the Quantitative Survey

Route	Community Rail Partnership	Officer
Abbey Line	Abbey Line Community Rail Partnership	Alissa Ede
Poacher Line	Poacher Line Community Rail Partnership	Chris Watson
Barton Line	Community Rail Humber	David Walford
Marston Vale	Marston Vale Community Rail Partnership	Stephen Sleight
Lakes Line	Lakes Line Community Rail Partnership	Emma Aylett
Bittern Line	The Bittern Line Community Rail Partnership	Ian Dinmore
Wherry Lines	Wherry Lines Community Rail Partnership	Ian Dinmore
Gainsborough Line	Essex & South Suffolk Community Rail Partnership	Bryan Harker
Island Line	Isle of Wight Community Rail Partnership	Mrs Bobby Lock
Medway Valley	Medway Valley Line Community Rail Partnership	Nigel Whitburn
Derwent Valley	Derwent Valley Line Rail Partnership	Rebecca Pennyfather
Looe Valley	Devon and Cornwall Rail Partnership	Richard Burningham
Maritime Line	Devon and Cornwall Rail Partnership	Richard Burningham
St Ives Bay Line	Devon and Cornwall Rail Partnership	Richard Burningham
Tamar Valley	Devon and Cornwall Rail Partnership	Richard Burningham
Tarka Line	Devon and Cornwall Rail Partnership	Richard Burningham
Atlantic Coast Line	Devon and Cornwall Rail Partnership	Richard Burningham
East Lancashire Line	East Lancashire Community Rail Partnership	Richard Watts
South Fylde Line	South Fylde Community Rail Partnership	Richard Watts
Clitheroe Line	Clitheroe Line Community Rail Partnership	Richard Watts
Penistone Line	Penistone Line Partnership	Rowena Chantler
Severn Beach Line	Severnside Community Rail Partnership	Sarah Collins
Esk Valley	Esk Valley Railway Development Company	Tony Smare

Source: Author

Responses to the questionnaire were collated over four months and informal notes made on the willingness, efficiency, accuracy and timeliness of the responses. An

illustrative abridged example of a completed response is outlined in Figure 4.1 with the wider results explained in Section 4.3.4.

Figure 4.1. An Illustrative Abridged Example of a Completed Questionnaire Response

Community Rail Partnership Route Designated Line	Devon and Cornwall Rail Partnership	Main Contact(s)			Richard Burningham - Partnership Manager			
	Looe Valley				Contact Number			01752 233084
	Liskeard to Looe							Contact Email
Governance Started Frequency	Looe Valley Steering Group 2004 Quarterly							
Name Position Organisation	Details 2		Details 3		Details 4		Details 5	
	Jane Jones Chairman of Board Caradon District Council	John Smith Vice Chair Looe Railway Ltd	Jane Smith Director Cornwall Rural Focus	John Jones Director Looe Aggregates	Richard Burningham Director DCRP			
Governance Started Frequency	Looe Valley Railway Company 1996 Quarterly							
Name Position Organisation	Details 2		Details 3		Details 4		Details 5	
	John Jones Chairman Caradon Holiday Traders	Jim Jansen Member Travelwatch SW	Richard Burningham Member DCRP	Jane Smith Member Cornwall Rural Focus	John Smith Member Looe Railway Ltd			
Governance Started Frequency	Friends of Looe Valley Stations 2004 Annual / Ad Hoc							
Name Position Organisation	Details 2		Details 3		Details 4		Details 5	
	Bill Driver Chairman retired							

Source: Author.

4.3.3 Patronage Performance of Designated Community Rail Partnerships

Having completed the Confidentiality Agreement, I received the dataset on the patronage of all local rail lines in England, for all four week operational periods for a

five year timeframe from 2003/04 – 2008/09, which was the extent of the data held by the Department. I restructured the dataset to reflect designated Community Rail lines and services only. Having completed this review and with both the designation award date, and the date of the creation of the Community Rail Partnership’s functional groups known from the survey responses, meaningful quantitative patronage performance values for abstraction to assist in identifying a sample frame were considered. Table 4.4 is an illustrative example constructed to demonstrate the approach applied. It shows that for CRP 1, a functional group was already in operation before the start of the data period provided. It also shows that the date of its designation was Period 04 in the 2006 - 2007 financial year.

Table 4.4. Illustrative Abridged Patronage Dataset to Support Analysis of CRP Performance

		P01	P02	P03	P04	P05
CRP 1	Period ► YEAR ▼					
	Journeys Apr 03 - Mar 04	15187	15431	18780	22319	18437
	Journeys Apr 04 - Mar 05	20273	17799	19396	21538	16890
	Journeys Apr 05 - Mar 06	19877	19207	26686	32511	20845
	Journeys Apr 06 - Mar 07	22445	21762	23380	29405	25821
	Journeys Apr 07 - Mar 08	21954	22131	24234	26983	23731
	Journeys Apr 08 - Mar 09	23980	24692	27262	32455	27460
	Journeys Apr 09 - Mar 10	32617	28437	29536	33876	29974
	Current Year over Previous	36.02%	15.17%	8.34%	4.38%	9.15%
	Av. Period % Change Since Designation	34.65%	35.24%	22.44%	20.52%	42.84%
	Av. Period Pax Change Since Designation	6737.95	6536.99	4950.30	5223.90	8022.18
2 Clear Comparison	14.41%	26.53%	11.75%	9.97%	35.66%	

CRP Functional Group in operation before start of patronage data records

Start of Designation

Source: Author.

To abstract value from the data to support sample selection, the analysis had to reflect patronage impact to local stimulus and legacy activity and not seek to make assumptions about patronage values reacting to generic policy stimulation such as franchise award dates or natural growth. This was a challenging process as the operational characteristics of both the lines and the functional groups themselves varied so significantly in relation to franchise renewal and investment cycles; the age of the Partnership; and the underlying route characteristics. To support the use of this data in sample selection, I decided that a ranked, and weighted approach be applied to three core patronage comparative values, which were determined as:

- Current Period Performance over Previous Year

This represented a straight line comparison of patronage for each four week period of the current year, over the previous year. In the example shown in Table 4.4 for the Period P03 this equated to an uplift greater than eight per cent in passengers. The thirteen period values were then annualised to determine the average impact over the year as a single value expressed as a percentage. The value of this indicator was to demonstrate current operational performance with no consideration of any legacy issues.

- Average Period Performance Change since Designation Award

This sought to determine the overall average patronage performance per period since designation, compared to the average prior to designation. This value is presented as both a percentage value and an actual patronage value to reflect the underlying operational usage base. These figures were also annualised over the thirteen periods to give a single average value. The value of this indicator in having

both a percentage and patronage figure is to enable a fair ranking score, based upon underlying usage i.e. if a CRP was starting from a low patronage base, a high percentage patronage growth may not be as reflective a measure of success of a lower percentage growth from an already well performing line.

- A Two Year Clear Comparison

This value represents the average of the sum of each period of the first two full operational years since being awarded designated status (based on P01 as the start of the financial year) against the last two full years of operation prior to designation. Expressed as a percentage it seeks to identify whether there may have been a relationship between the award of designated status and a measureable impact on patronage. By utilising only whole year figures pre and post designation, it seeks to mitigate against periods of activity in the immediate preparation for, and award of designated status which may be temporary in their influence.

These values were identified for all remaining twenty three Community Rail Partnerships and collated into a single table and ranked in performance order from one to twenty three. An illustrative example of this work for seven Community Rail Partnerships is shown in Table 4.5.

Table 4.5. Illustrative Example of Analysis of Patronage Performance

CRP	Current Perf over Last Yr	Rank 1	Av. Period % Change Since Designation	Rank 2	Av. Period Pax Change Since Designation	2 Year Comparison Value %	Rank 3	Overall Rank Score	Final Pax Rank
CRP 1	25.19%	6	62.71%	2	237810	25.59%	2	12	V. Good
CRP 2	11.42%	9	28.52%	5	73241	29.16%	1	16	V. Good
CRP 3	37.55%	4	34.68%	4	76387	19.74%	4	16	V. Good
CRP 4	45.73%	3	62.71%	1	105602	15.51%	7	18	V. Good
CRP 5	93.49%	1	36.96%	3	95119	10.57%	9	22	V. Good
CRP 6	33.96%	5	22.85%	6	45345	9.84%	10	31	Good
CRP 7	-2.23%	18	13.96%	10	70550	21.18%	3	34	Good

Source: Author.

Having applied a ranked value for each of the three individual performance indicator variables, the overall ranking process applied a double weighting to the two year comparison percentage value reflecting the additional value of the nature of the functional group activity prior to and after designation. All scores were then categorised into one of 4 classification groups based on threshold levels to help inform sample selection – V. Good (final score ≤ 25), Good (final score in the range 26 - 49), Average (final score in the range 50 - 69), and Below Average (final score ≥ 70). This approach was then reviewed with the Department for Transport before being approved. Of the twenty three Community Rail Partnerships, five were classified as V. Good, six as Good, six as Average and six as Below Average. The overall purpose was not to seek to claim direct causal relationships between patronage and individual CRP activity, but to generate a scale against which operational performance could be compared on an equal basis for all designated CRPs, to assist in my selection of case study lines with differing performance characteristics.

4.3.4 Final Sample Selection of Case Study Areas for Fieldwork Research

The data received from the response to the questionnaire survey, together with the quantitative assessment of patronage performance, were collated into a single streamlined model. The model contained nine core variables from which a sample representing a range of characteristics could be identified. These final variables were:

- Whether the Community Rail Partnership was a National Pilot;
- Community Rail Partnership designation type;
- Community Rail Partnership designation date;
- Community Rail Partnership designated service;
- Governance hierarchy;
- Governance model;
- No of Sectors represented in the functional group;
- Regional geography; and
- Passenger performance ranking.

Six case study areas was considered the absolute maximum which could be utilised for the study based on an expectation of up to nine detailed individual interviews and a group interview for each line. As detailed in Table 4.6, in seeking to keep a spread across a range of selection variables, the final proposed case study areas provided a sample which included:

- A geographic split across six of the nine English Regions;
- All four classifications of patronage performance represented;

- Four different CRP governance models;
- Four different ‘umbrella’ categories;
- A thirty two month spread of designation dates including both line and service designations;
- Two out of six national pilot areas.

Table 4.6. Final Representative Sample Frame Selected

Route	CRP Pilot Y/N	Designation	Designation Date	Designated Service	Umbrella Category	CRP Category	No. of Sectors	English Region	Final Pax Rank
Tamar Valley Line	Y	Line	Sep-05	Plymouth to Gunnislake	Other Public Sector	Other Public Sector	9	South West	Na*
Esk Valley	Y	Line	Jul-05	Middlesborough to Whitby		Company (NfP)	9	North East and Yorks and Humber	Na*
Island Line		Line	Mar-06	Ryde Pier to Shanklin	Company (NfP)	Company (NfP)	4	South East	Na*
Lakes Line		Line	Apr-08	Oxenholme to Windermere	third sector	third sector	7	North West	Na*
South Fylde Line		Line	Apr-08	Preston to Blackpool South	Local Govt	Local Govt	6	North West	Na*
Wherry Lines		Service	Feb-07	Norwich to Great Yarmouth	Local Govt	Local Govt	9	East of England	Na*

Source: Author.

*In accordance with the DfT Confidentiality Agreement, the final patronage ranked classifications are not being published on an individual Partnership basis. It can be confirmed though that the sample selection did contain examples of all four of the ranked classifications. As a way of increasing support for the research from the individual CRPs that I wanted to use as Case Studies, the above methodology was outlined and supported in a presentation to the National Community Rail Conference held in Ipswich on January 15th 2010.

4.4 Conversations with a Purpose or Participant Observation

Having selected a multi-methodological approach as the primary methodology, it was important I ensured that I focused on the outcome and purpose of the work and not become too pre-occupied with the process. I considered the distinctions outlined by Cloke *et al* (2004) between questionnairing and interviewing. Questionnairing, Cloke describes as “part of a wider quantitatively driven strategy of social survey where representative samples of people can be questioned in order to produce numeric measures of behaviour”, whereas interviewing is described as “a qualitative exercise aimed at teasing out the deeper well-springs of meaning with which attributes, attitudes and behaviour are endowed” (p. 127). Eyles (1988) simplifies such a definition with his own, describing an interview as a conversation with a purpose.

With a high level of similarity between the work by Corbin and Strauss (2008) when considering the potential of participant observation, interviewers, suggests Berg (1989) “when conducting an interview must be conscious and reflective. They must carefully watch and interpret the performance of the subject. Their interpretations must be based on the various cues, clues and encoded messages offered by the interviewee. Included in the information these interactions supply may be the communication of a variety of moods, sentiments, role portrayals, and stylised routines, which represent the interviewee’s script, line cues, blocking, and stage directions. From this information, interviewers must take their cues, adjust their own blocking, and effect new or responsive stage directions” (p.35). This metaphor of the interview as a stage performance is a recurring theme in my literature review of the approaches to

interviewing, being reflected in several authors works including Pool (1957, p. 193) and Cloke *et al* (2004, p. 150).

In considering participant observation as a methodology, I was attracted to its ability to gain valued insights through regular contact with participants. Jackson (1985) outlines how a prolonged period of participant observation must be included as one of his five common characteristics of true ethnography, as it provides an extended, detailed, immersive, inductive methodology intended to allow grounded social orders, worldviews and ways of life gradually to become apparent. However, as outlined by Corbin and Strauss (2008) one of the other core strengths of the observational approach is that the participants may not be consciously aware of, or be able to articulate, the subtleties of what goes on in interactions between themselves and others.

However, in seeking to study six case study CRPs, led me to reject participant observation as a core method in favour of conversations with a purpose, due to the time required to have become a fully observant member of all of the communities required to reflect a representative sample. Instead, I would still seek to apply participant observation techniques and processes only in a limited way both in observing the core actors interaction before, within and after the Rail Partnership functional group meetings, but also as part of an unobserved exercise in talking to rail users and the local community during the fieldwork, as outlined later in this chapter.

4.4.1 Structured, or Semi-structured Interview Process

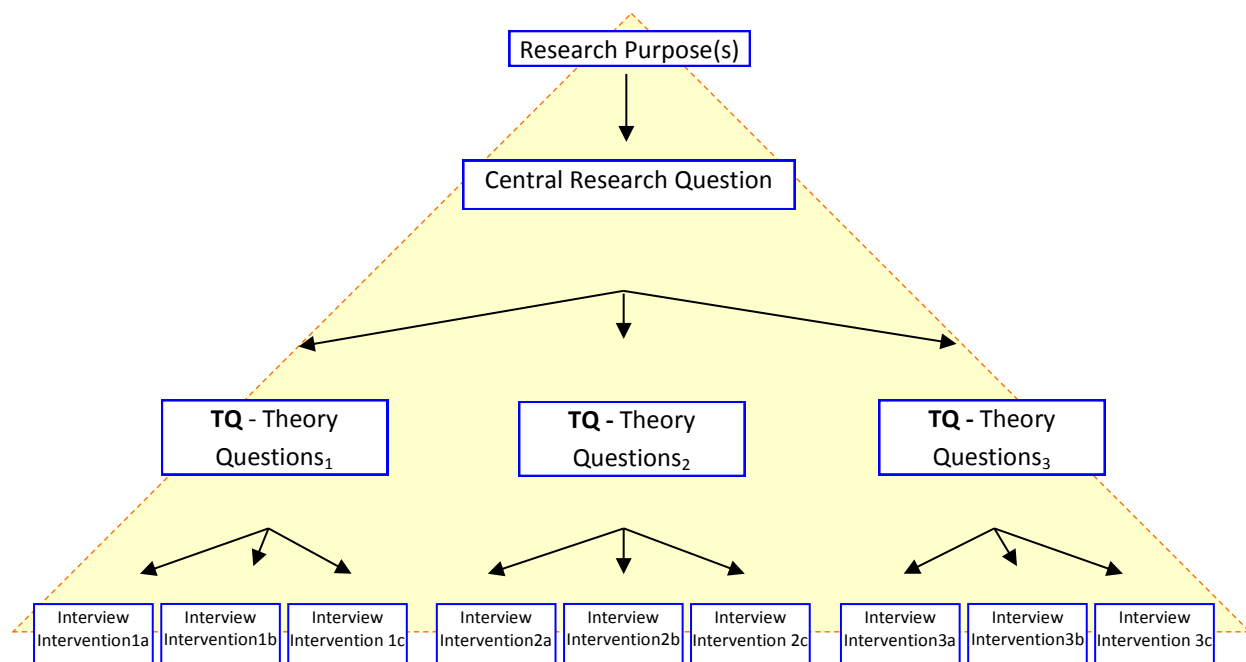
When considering the four core research objectives, the process of structured interviews was reviewed, but I considered that this approach may have limited the usefulness of the interviews through restricting myself, as interviewer to a defined set series of questions only. Whilst retaining an advantage of ensuring that answers can be reliably aggregated and that comparisons can be made with confidence between sample sub-groups or between different survey periods, the disadvantage of such a limited set questions, and the lack of potential for flexibility in not allowing new questions to be brought up during the interview as a result of what the interviewee says was considered too restrictive.

Due to the diversity within the sample and the anticipated range of issues present at different types of Community Rail lines, a series of intensive semi-structured interviews was adopted as the primary methodology, supported by a limited number of semi-structured group interviews; and restricted localised participant observation as explored later in this chapter. The use of the intensive semi-structured interview was chosen as it allowed me to base the interview on a pre-determined core of base question themes, allowing for a certain level of compatibility, but also allowing freedom to move beyond the questions and create a dialogue that was aimed at probing areas of unique experience. May (2001, p. 123) highlighted the benefits of this technique when stating that “these types of interview are said to allow people to answer more on their own terms than the standardised interview permits, but still provide a greater structure for comparability over that of the focused interview”.

4.4.2 Wengraf Model

In preparing the intensive semi-structured interview, the work undertaken by Wengraf (2001) in developing his structural model (Figure 4.2) was reviewed to consider how questions for semi-structured interviews could be generated in relation to the general research objective and the wider purpose of a specific project.

Figure 4.2. Wengraf's Pyramid Model



Source: Wengraf 2001, p. 63.

Wengraf's model starts with the Research Purpose and the Central Research Question (CRQ). Both are directly linked with each other and can thus be formulated together. The CRQ however, needs to be broken down into several major sub-questions which he refers to those as Theory (research) Questions (TQs). Those research questions in turn assist in determining the structuring of Interview Interventions/Questions, which help produce the material relevant to the particular research question (2001, p. 61).

From this approach, the research questions evolve primarily on a thematic basis due to the qualitative nature of the research subject area and the actor groupings being considered. It was clear that in seeking to structure intervention activity to capture information based around varying types of actors and geography, many of the research questions would be transferable across the TQs even if the subsequent interview questions would be tailored to the specific group. The approach I had decided to apply therefore would be consistent with Wengraf's approach to reverse working the data obtained for analysis when addressing my own core research objectives.

4.4.3 Defining the Semi-structured Interview Themes

In seeking to address the research objectives, four participant sectors were targeted – Elites, Individual Community Rail Practitioners, Community Rail Partnership Functional Group Members, and National Performance Indicator Set Practitioners as defined in Section 4.4.4. In considering the elite sector, the following interview research themes were determined:

- The importance of personal commitment as a determinant of successful delivery;
- The role of the institutional functions and duties in delivering the Community Rail Development Strategy outcomes;
- Governance – the place of stakeholder partnerships as a functional delivery model;
- Governance – their role as individual actors within such stakeholder partnerships;
- Issues as barriers to success;
- Outcome delivery and monitoring performance;
- Future planning and forecasting.

In considering Community Rail Practitioners, and the Community Rail Partnership Functional Group Members, the following research themes applicable to individual research questions were determined:

- The role of the institutional functions and duties in delivering the Community Rail Partnership and Strategy outcomes;
- Governance – the success of stakeholder partnerships as a delivery model;
- Governance – their motivation as individual actors within such stakeholder partnerships;
- The output and outcome value of a CRP to their organisation;
- The impact of personal commitment in meeting desired outputs and outcomes;
- CRP outcome delivery and monitoring performance and practices;
- Future forecasting and aspirations.

In considering National Performance Indicator Set Practitioners, the following governance research themes applicable to the research questions were determined:

- Their background to performance monitoring processes at a place based level;
- The suitability and delivery of the National Indicator Set processes as a tool for fair comparative analysis;
- The role of the third sector and compacts in determining priorities;
- The role of the third sector in performance delivery;
- The ownership of individual indicators;
- The awareness of Community Rail Partnerships as a delivery organisation;
- Future forecasting and aspirations.

4.4.4 Participant Typology, Selection and Engagement

As outlined, four key interview groups were initially identified as appropriate for this governance appraisal work:

1. Elite interviews with policy practitioners in the fields of Community Rail Partnership policy and delivery and National Indicator Set application,
2. Defined Actor group representatives of Community Rail functional group members,
3. Group discussions with CRP functional group members, and
4. Locality based National Performance Indicator Set practitioners.

However, as the community of Community Rail practitioners is relatively small throughout the UK, to ensure the maximum level of confidentiality throughout later chapters, these groupings were additionally classified in a more generic typology as outlined in Table 4.7.

Table 4.7. Typology of Interviewees

Classification	Definition
Driver	Senior Officials, Individuals, and Politicians engaged in implementing change
Subject	Respondents permanently or directly engaged with CRPs and LAAs
Recruit	Respondents brought in to the CRP or LAA process where they were not previously engaged in this field.
Participant	Respondents who engage with CRPs and LAAs as part of their work or on a voluntary basis.
Observer	Respondents who engage with CRPs or LAAs but not on a formal basis.

Source: Author.

In identifying and contacting appropriate participants, a range of techniques was applied of which the use of gatekeeper access was most successful. Gatekeepers have been defined as “those individuals in an organisation that have the power to grant or withhold access to people or situations for the purposes of research” (Burgess, 1984, p. 48). I benefited throughout this research through having the support of two key gatekeepers – one in National Community Rail Policy and the other in Performance Management in the Government Office Network, both of whom, whilst not required to contact anybody directly on my behalf, did allow me to reference their support of the research when making initial introductions.

The use of elite interviews as a research tool has a long heritage. In ‘The Beliefs of Politicians’ (Putnam, 1973), Robert Putnam argued that talking and listening to those in leadership positions was an excellent way to “check reality against elite theory”. Interviewing elites also serves other functions as elite respondents act as experts about other individuals, events, processes, institutions etc. (LSE, 2002). By virtue of their status as ‘insiders’, elite interviewees guide the researcher. They also act as a ‘sounding board’ for testing preliminary hypotheses or conclusions derived from earlier interviews. They may also act as well-informed commentators on other matters that lie outside elite theory per se: behaviour of a political party, explication of a policy, or major event etc. They may also act as gatekeepers, controlling access to lower-ranking (but still elite) individuals, or to un-published documentary evidence. For my own work I sought to identify elite interviewees who were national recognised authorities on:

- The historical development of the Community Rail sector;
- The development of the 2004 Community Rail Development Strategy;
- The application and delivery of the 2004 Community Rail Development Strategy;
- The development of National Indicator Set Performance Standards;
- The delivery of National Indicator Set Performance Standards;
- Operational elites from the Rail Sector managing Community Rail Activity.

All of the seven elites approached agreed to participate. When seeking to identify and contact actor group participants of Community Rail practitioners, the quantitative survey had already identified names and contact details of the individual actors involved in the functional groups of the sample survey of Community Rail Partnerships. Rather than contacting the individuals directly, and by way of seeking both to reduce the level of suspicion towards the research and to increase the level of trust in my approach, I always started my fieldwork correspondence for each case study area by writing a courtesy letter, followed by an email, to the individual Partnership Officer of the case study line selected. I sought to work with the Partnership Officers directly in asking for their support; firstly in helping to classify the actor grouping of individuals who attended their functional group meetings where this was not clear from the survey response; secondly in identifying suitable interviewees within the core actor groups required (although always being conscious to try not to allow a filtering process to be applied by the officer); and thirdly in ensuring the contact details were still correct and up to date.

The next stage was to contact the individuals to introduce the research; to ask for their support and participation; and to arrange a place and time for their interview. This

approach was undertaken primarily through the Partnership Officer endorsing, in a localised gatekeeping capacity, a direct approach from myself to the individuals concerned, to whom I wrote individual personalised emails. Alternatively, where the Partnership Officer was not happy with me contacting the individuals directly (one of the six case study areas only), I prepared some introductory text for the CRP Officer to send out to these individuals on my behalf. The response to this correspondence and the influence this had on my approach to preparing for the interviews are discussed later in this chapter.

In identifying the actors for interview from the locality sector, where locality refers to the Local Strategic Partnership areas as managed through DCLG, a desk top exercise was undertaken in reviewing core National Performance Indicator Set monitoring material for each of the Highway Authority areas served by the case study lines. Two core sector types were sought. Firstly, interviewees from an individual Highway Authority with responsibility for National Indicator Set outcome monitoring. In general these individuals had titles similar to Local Performance Manager, or Local Area Agreement (LAA) Delivery Manager. Secondly, the additional sector type sought were the individual Locality Managers within each of the Government Office Regions, with responsibility for the Highway Authorities within which the case study lines operated. The relevance of these individuals and the processes they are responsible for is considered in detail in Chapter 7. Through this targeted and researched approach, a one hundred per cent success record was achieved with all six Highway Authority Local Area Agreement participants agreeing to be interviewed.

4.4.5 Group Discussions

A form of questioning that has become increasingly popular as a tool of qualitative inquiry in human geography and social science generally over recent years has been the group discussion. Whilst a colloquial term of 'focus groups' is often given to this approach, Burgess (1996) makes an important distinction between focus groups, referring to single-group discussions in the tradition and culture of market research; and in-depth discussion groups, referring to interactive group interviews. This in-depth group discussion approach particularly appealed to me as whilst the approach to individual participant selection for the Community Rail practitioners that I had devised, provided me with access to similar types of participants across a very different range of operating and governance environments, I was conscious that I was also reliant on the advice of the Partnership Officer within each CRP as to whom would be an appropriate individual to approach. As such, this filtering process always had the potential to provide a nominated list based around the recommending Officer's own thoughts and opinion on who they thought would give me the answers that either I wanted to hear, or that they wanted me to receive.

To achieve the best attendance at such group interviews, when making the initial approaches to the Partnership Officers, I specifically sought to build my fieldwork visits to coincide with their own quarterly, bi-annual or annual functional group management meetings, not only to allow me to be a participant observer at such a meeting, but also to enable an in-depth discussion group to be accommodated with all attendees of the meeting. I regarded the in-depth discussion group interview as having the potential to be a very beneficial approach to data collation, both in enabling me to

capture the opinions and thoughts of all functional group individuals, as well as enabling me to attend the functional group meeting as a participant observer of how the individuals interrelated to each other before, during and after the meeting. I hoped this would counteract any attempt to screen any un-vetted or un-popular opinions of individuals, should such an approach have been applied in proposing the individual participants for individual interviews.

4.4.6 Fieldwork Scheduling and Opportunity for localised Participant Observation

The use of intensive semi-structured interviews, in general, requires a personal face to face approach. As outlined in 4.4.5, through seeking to undertake an in-depth discussion group interview of each of the case study Community Rail Partnership functional groups, dictated how the fieldwork interview schedule developed. When preparing the fieldwork schedule, a minimum of five days per case study area was agreed. This would allow maximum flexibility in being able to meet up with individual interviewees both in and out of office hours and would further allow me the opportunity to explore the designated line, its communities and functions.

This selected approach was complemented by an historical parallel of a research approach described by Salter (1969) and his article 'The bicycle as a field aid' where he espouses the virtue of the bicycle in "opening routes of information which might otherwise be unfound" (p. 361). Salter considered that his bicycle provided an excuse for a chat to local people and therefore enabled the fieldworker to have enhanced access to informants. I saw the opportunity to re-apply Salter's participant observational approach through replacing his bicycle with the Community Rail line in

seeking to engage and observe non-interviewed participants to give a more rounded approach to the data.

To enable this approach to have the best chance of success, I made specific decisions when planning the fieldwork, not to base myself in any of the core cities/large towns connected to the lines. Wherever possible I sought out locally owned accommodation which was closest to a rural station along the line, but which was not part of a national chain or group. I also sought to eat in locally owned locations again, closest to stations served by the line. The purpose of adopting this approach was to try to seek additional local opinion, albeit fully recognising that such material would be both randomly generated and un-tested. By seeking to include such discussions within wider, more general social conversations and not as part of a formal interview process, I was seeking to understand more genuinely held local opinions to consider alongside the data from formal interviews.

4.5 The Interview Process

4.5.1 Ethics and Confidentiality

In ensuring an ethical and confidential approach to my interviews, it was important to consider not only the right themes on which to solicit valued responses, but also the right environment in which to do so. My own experience of working with different groups of actors over the years, from senior government and business executives, to community focused individuals and volunteers in a wide and varying range of professional and personal activities gave me an insight as to how I felt I wanted to approach this activity. However, I also reviewed the literature in this area to support or

contradict my own beliefs and thoughts. Of key importance was the place of, and commitment to, both an ethical approach, and confidentiality, which was central to my own ability to generate value from the methodology being applied, and its importance cannot be overlooked. Lofland *et al.* (2006) states

“One of the central obligations that field researchers have with respect to those they study is the guarantee of anonymity via the assurance of confidentiality – the promise that the real names of persons, places, and so forth will not be used in the research report or will be substituted by pseudonyms.” (p. 51).

Prior to approaching potential interviewees, and when preparing for the interviews, a refresh of both the University of Plymouth’s Research Ethics Policy and its Research Code of Practice was undertaken, to ensure that the principles contained therein relating to areas such as informed consent, openness and honesty, right to withdraw, protection from harm, debriefing, and confidentiality, were not only adhered to but, where appropriate, outlined to the interviewee at the beginning of an interview.

Whilst considering compliance with the Ethics Policy, there were two areas within this stage of the research which had the potential to be questioned as to whether they were within the spirit of the code as opposed to its application. The first of these related to my use of the Department for Transport patronage dataset in defining a methodology to categorise the patronage performance of each of the designated CRPs. As reflected in Table 4.4, each CRP was categorised into one of four classification groups – V. Good, Good, Average, and Below Average in relation to rail patronage performance data. When presenting the methodology applied in selecting the case study areas to all of the designated CRPs at their national conference, my presentation omitted the use of rail patronage data performance as one of the selection criteria.

The main reason for this was that the Confidentiality Agreement I had signed with the Department for Transport explicitly did not allow for me to put the data in the public domain.

I had considered whether the fact that a classification had been made in relation to patronage for all CRPs could be disclosed without providing the actual values, but in discussion with the Department for Transport it was agreed that this would most likely generate more questions than answers and lead to an air of uncertainty and possible hostility from the case study CRP Officers as to whether they were one of the CRPs which had been categorised as 'Below Average.' In resolving this issue in to what I believe to be a more defensible position, the issue of patronage and rail performance data was specifically included within the interview process, thereby enabling the interviewee to be able to express comments on patronage in context rather than reacting to a desktop process which by its nature could not take into account local circumstances.

The second area which additional consideration to the Ethics Policy of the University was given, related to the application of a specific approach when scheduling interviews with Highway Authority based Corporate Performance Managers. As one of my core themes was to review the contribution of Community Rail Partnerships to the National Indicator Set outcomes, I wanted to ensure that I received a fair representation of the actual relationship between CRPs and the National Indicator Set outcomes for a defined area. Whilst all CRPs would be expecting me to interview Highway Authority Officers engaged with the CRP process through the Passenger Transport Department or Local Transport Plan Team, the qualitative data had revealed that no Highway

Authority based Corporate Performance Managers appeared to be engaged directly with a CRP. Whilst this was not necessarily unexpected, one of my research themes was to investigate the nature of the relationship that existed, or did not exist, between the CRP outcomes and local corporate performance via the National Indicator Set.

With it more than likely that the Corporate Performance Manager and the Transport Officer of the same Highway Authority may be based within the same building, I deliberately scheduled the Corporate Performance Manager interviews several days after the Transport Officer interviews. I also ensured that I excluded any reference to interviewing Corporate Performance Managers when liaising with the Community Rail Partnership Officers, or mentioning it at any of the Community Rail Participant interviews. I also specifically did not mention Community Rail directly when arranging interviews with the Corporate Performance Managers, but requested an interview relating to the Performance Management of Local Area Agreements, with reference to third sector engagement. The purpose of these measures was to seek to elicit untainted responses from both actor groups from within the same Highway Authority.

I was concerned that if I had mentioned directly to the Transport Officers of the Highway Authority that I would also be interviewing the Corporate Performance Managers in relation to CRPs or *vice versa* that this may have led to communication between the two groups prior to the interviews that may not have been made otherwise. I believed it was important that I received genuine and untainted responses in respect of both interviewees about the level of interaction between the CRP and National Indicator outcomes. However, in ensuring this approach was defensible in relation to the Ethics Policy, I had already made a commitment that if, at

any time, I had been asked by either party about who else I would be interviewing or contacting, then I would have confirmed I was talking to other officers, to ensure that at no time would the individual be misled - a situation that did not arise.

As observed throughout this thesis, confidentiality of the participant's identity and data throughout the conduct and reporting of the research has been protected in line with the Policy. This process included the removal of all names when transcribing the interviews, and subsequent coding, and where records are held on computer, ensuring compliance with the Data Protection Act. It also applied to a few instances within the interview process itself where participants asked for the data recorder to be turned off as, even having received confirmation of confidentiality, they were not willing to speak on a particular subject with any form of recording being made. At all times, where asked, this was respected.

4.5.2 Power Relations, Positionality and Reflexivity

The potential for, and the place of, power relations between the interviewer and their subject was considered. Often when academics talk about power relations the assumption is that it is the interviewer who is in the dominant position (Flowerdew and Martin, 1997). However, a lot of work has been undertaken (see for example McDowell, 1992) as to the potential for reversing this traditional power relationship when seeking to interview elites and business people. It is they, it is argued, that have the upper hand by controlling access to knowledge, information and informants. The practical impact on the preparation process in relation to power relations is considered further in Section 4.5.3.

Whilst power relations affect how an interview may be controlled, it is the concept of positionality within ethnographic research which also has the potential to shape the data by the researcher whether on a conscious or subconscious level. Researchers such as Chiseri-Strater (1996) outline how whilst core individual attributes such as race, nationality, and gender are fixed or culturally ascribed, positionality is also shaped by subjective contextual factors such as personal life history and experiences. This was an area I considered very carefully. Whilst my core attributes as a white middle aged male may have some impact on the data and its interpretation, of both higher risk and potential value was my career background and any subconscious in-built bias towards the research subject area.

Indeed it was this very background that attracted me to the research in the first instance. As a former Community Rail Partnership Officer in the first of the modern day CRPs, and one of a group of former CRP Officers who supported the creation of ACoRP, I had experienced at first hand the impact of governance change caused by rail privatisation, as my tenure covered the period prior to, during, and after the transition from a state controlled Regional Railways to the new private integrated network reflected in Figure 3.2. Having initially moved from a CRP to the local government sector, where my duties included representing my Authority as part of a CRP, I also had some former experience of applying the principles and values of a CRP within my own governance structure.

Of most significance to this research however was my longstanding role as an employee of the Department for Transport within a regional Government Office, with responsibilities for transport planning, public transport, and locality management. This

engagement with localities required liaising directly with the same governance entities introduced across regional, sub-regional and local government tiers, which is central to addressing core Research Objectives 2 and 3. Whilst I hoped that this initial higher awareness of the research subject area would enable a more detailed and thorough appraisal to be determined, I had to acknowledge that I needed to be aware of, and prepare for, any inbuilt subconscious bias towards the subject area which I may carry around with me.

In addition to positionality, I also had to be fully aware of the issues around reflexivity. This is an issue which needed to be considered both in the decision to adopt the semi-structured interview approach and subsequent analysis. There are two types of reflexivity: personal reflexivity and epistemological reflexivity (Willig, 2001). Personal reflexivity involves reflecting upon the ways in which our own values, experiences, interests, beliefs, political commitments, wider aims in life and social identities have shaped the research. Epistemological reflexivity requires us to engage with questions such as: How has the research question defined and limited what can be 'found?'

“How have the design of the study and the method of analysis 'constructed' the data and the findings? How could the research question have been investigated differently? To what extent would this have given rise to a different understanding of the phenomenon under investigation? Thus, epistemological reflexivity encourages us to reflect upon the assumptions that we have made in the course of the research, and it helps us to think about the implications of such assumptions for the research and its findings.” (Willig, 2001, p. 10).

Over such a high number of individual interviews (fifty three in total), there would be no doubt that my own emotions would likely be conveyed to the interview participants, which may in turn influence their own response to me. Whilst most of this

may well be on an unconscious level, it is likely to be a reciprocal process between myself and the interview subject. Cutcliffe (2003) makes an interesting point when he asks how we can completely account for ourselves in the research since so much of what transpires takes place within the deeper levels of consciousness. Indeed Finlay (2002) goes so far as to suggest that the researcher and participant co-construct the research (at least the data collection) together, and goes on to state how reflexivity can be “a value tool to promote rich insight through examining personal responses and interpersonal dynamics” (p. 532).

I was further aware that I would need to be conscious that “it is not unusual for persons to say they are doing one thing but in reality they are doing something else” (Corbin and Strauss, 2008). Indeed, from my own personal experience of being interviewed by researchers in the course of my own professional duties, I am aware that when such material is being recorded either through notes or by audio or visual recording, the answers that I provide are considered in thought before being offered. Through this approach, I may wish for the researcher to perceive the way in which my work is undertaken to be more structured, calculated, and policy led in its application – rather than the actual more humanistic process, which may be applied. As such, having had a reasonable amount of such interview experience over the last fifteen years, I did consider that my own ability to identify where this approach was being applied by my own participants would be enhanced through a reflection of self.

4.5.3 Preparing to Manage the Interview Environment

To seek to provide the right environment in which the questions were to be asked and to achieve the best rapport with the participants, I had to make advance, individual personal judgements about my appearance, the right meeting location, appropriate interview style, my own background and history as it applied to the research area, and the initial positioning 'role' I would apply for each participant. The importance of such consideration is expressed in work by authors such as Gorden (1987) and Walford (1994). Of the forty eight participants to be interviewed on a one to one basis, I initially divided them into three categories: those I believed I knew, those I had met before in a professional capacity but did not know, and those I had never met before in any capacity.

For the limited number of interviewees that I knew, I contacted each directly and individually, primarily by phone in addition to the email as described, to identify a time and location suitable for them. In these cases I considered that smart but casual attire would be most suitable, and that my initial positioning 'role' should be that of a relaxed acquaintance undertaking this research project as the fulfilment of a long-held desire to both test my own academic competences, whilst seeking to enhance the understanding of the Community Rail sector. For the remaining two categories, I sought to utilise a twin track approach to making such judgements based upon their responses to my initial direct contact, and the individual interview sectors in which they were part.

Whenever I was to interview an Elite, Rail Industry or Local Authority Manager, the location type and time made little difference to my personal dress style. I decided that my style of dress for this sector should be formal but relaxed (dark suit but with 'friendly' tie, or 'no tie' if the meeting was in the evening), and that my introductory positioning 'role' should be directly tailored as best I could to their own professional environment – for example: when I would meet a rail sector professional for the first time, I would introduce myself by outlining my previous experience of having worked in the rail and passenger transport sector at a senior level. When meeting a Local Authority Transport Manager I would introduce myself as having been the former Public Transport Manager of a large unitary authority and a civil servant with local authority transport responsibilities. Finally, when meeting a senior Local Authority Performance Manager, I would introduce myself as having formerly been the Locality Manager for a regional Government Office, and civil servant with Local Area Agreement responsibilities.

This deliberate attempt to position myself in a role familiar to their own environment was to try to break the ice with the participant at an early stage, to try to establish a familiarity bond of with each of them as a means of trying to help them to relax for the interview in the knowledge that I had a genuine (if only partial) understanding and comprehension of their own work areas, and that the process should therefore be a non-threatening environment in relation to comprehension and expression. However, the approach of my own demeanour throughout the interview for this 'professional' sector had to be completely fluid and responsive depending on the reactions received in seeking to maintain an environment where responses and discussion were freely and openly given, even if doing so with limitations.

When seeking to interview the officers who I had either met before professionally but did not know well, or indeed had never met, the approach used to gauge the personal dress style, and my introductory positioning 'role' was the same, even if delivering very different approaches. For these individuals, the location type and time made little difference to my personal dress style. I decided that my style of dress for this sector should be smart casual and relaxed (jacket and trousers but with no tie), and that my introductory positioning 'role' should be directly tailored as best I could to their own professional environment – for example: when I met a Parish Councillor, I would introduce myself by outlining my own current experience as a Parish Councillor. When meeting a Community Rail Partnership Officer who I did not know, I would introduce myself as having been a former Rail Partnership Officer, albeit many years previously.

As I had developed a rapport with the participant, it became possible to ask more abstract, sensitive or difficult questions. Further, as the interview drew to a close, I took the opportunity to try to 'warm down' the interview by asking more relaxed or light hearted questions so that it would end on a positive note. Almost always, each interview was different and had its own pattern, despite my guidance notes per sector type. It was important to me that I tried to follow the conversational flow of my interviewee. If they started to talk about my last theme first, then rather than try to change their approach back to my order of notes, I went with it so ensure that the spontaneity of the interview was not lost, whilst seeking to perform mental gymnastics in my head as to which subject areas had and had not been covered.

4.5.4 Preparing For In-depth Discussion Group Interviews

When preparing for my in-depth discussion group interviews, Cloke *et al* (2004) describe an informative account of the techniques of in-depth discussion group work, outlining how Morgan (1997) identified particular phases of research and posed key questions about each so as to provide appropriate guidelines for undertaking discussion groups. Two core phases were identified – the planning phase and the conduction phase. Morgan’s approach as to the who, how and how many required of the planning phase included a rule of thumb with suggestions including that the discussions rely on a relatively structured interview with high moderator involvement; have between six and ten participants per group; and have a total of three to five groups per project. In this research, the average number of participants was ten, and a total of five group interviews were held, with myself as moderator.

In conducting the group, its content and the role of the moderator, Merton *et al* (1990) suggested four basic criteria for an effective discussion group: “It should cover a maximum range of relevant topics, provide data that are as specific as possible, foster interaction that explores the participants’ feelings in some depth, and take into account the personal context that participants use in generating their responses to the topic” (cited in Morgan, 1997, p. 45). This approach is further explored by Cloke *et al* (2004) in providing guidance to the moderators role, advising how they should include an honest introduction to the topic, a series of ground rules for the discussion, an ice-breaking discussion starter, the use of prompts to continue the discussion and an effective conclusion which debriefs participants and informs them about any further involvement with the transcriptions and resultant narratives that will be produced.

4.6 The Data Analysis Process

4.6.1 Classifying and Coding Data

In total, over sixty five hours of interviews with fifty three individuals and thirty six additional group interview participants (within five group interviews) were completed in accordance with the earlier classifications as outlined in Table 4.8.

Table 4.8. Interview Hours by Classification

Classification	Number of Interviews
Driver	8
Subject	17
Recruit	7
Participant	16
Observer (inc. groups)	10

Source: Author.

The analysis of interview data was undertaken by transcription, and through non-statistical content analysis by means of the visual identification of patterns within the text. A range of computer programmes were available to assist in such a process including; Atlas, Nudist, Ethnograph and NVivo, all able to analyse and codify transcriptions. Although there is no industry leader like SPSS for quantitative analysis, Nudist is the most commonly known and the new version QSR NUD*IST Vivo or rather NVivo is having a big impact (Bryman, 2004). Qualitative research software like NVivo, helps people to manage, shape and make sense of unstructured information. It doesn't do the thinking, but provides purpose built tools for classifying, sorting and arranging information. NVivo version nine (NVivo9) was utilised as the primary tool to code and structure the transcripts and report data.

My use of Nvivo9 was as a repository for data collected and for data coding. Coding as introduced earlier in this chapter is described by Charmaz (1983) as “simply the process of categorising and sorting data” while ‘codes’ are described as serving to “summarise, synthesize and sort many observations out of data”. Utilising NVivo9, I initially applied an ‘open-coding’ approach (Strauss, 1987) in categorising the data into ‘Free Nodes’ within the program. In the first review of the transcripts a total of two hundred and twenty five free nodes (codes) were created, reducing slightly after an initial screening to clear out inadvertent duplication.

This data was then reconstructed through the application of axial coding, where axial coding is the process of relating codes to each other, via a combination of inductive and deductive thinking. The initial two hundred and twenty five free nodes were incorporated into a series of thirty five categories, each of which contained several initial open codes, which themselves were often part replicated in multiple categories. These initial thirty five categories are outlined in Table 4.9.

Table 4.9. Initial Categories from the 225 Open Codes

Initial Categorisation of 225 Open Codes		
CRP Early Policy Development	Wider Policy Framework	CRP Policy Awareness
Transport Policy Awareness	Third sector / Community Policy Awareness	Transport Policy Alignment (LSP and LAA)
Regional Policy Alignment	Commercial Policy Relationships	Local Area Policy Alignment
CRP Host	CRP Delivery Model	CRP Leadership
CRP Officer Type	CRP Funding	Role of Individuals
CRP Members Engagement	Branch Line NR Capital Costs and Savings	Branch Line TOC Opex Costs and Savings
Branch Line Value	CRP Value	Quantifying Value
Value of Designation	CRP Recognition	CRP and DfT Policy Delivery
CRP and Local Policy Delivery	CRP and Local Trn Policy Opportunities	OPCO Engagement
NR Engagement	DfT Engagement	Community Engagement
Volunteer/User Group Engagement	Third sector Engagement	Third sector / Community Policy Awareness
LAA Development	LAA Process and Place for CRPs	

Source: Author.

In undertaking this initial categorisation process, it became clear that whilst one of the core advantages of utilising a software approach to hosting and coding the data – namely the ability to code data simply and efficiently, it was also its main disadvantage. The initial coding of over 65 hours of transcripts not only led to a very high number of initial open codes, but also allowed the same text quotes to be included within several open codes as appropriate generating significant data volume. In the worst case example my category ‘Branch Line TOC Opex Costs and Savings’ initially had forty seven open codes aligned to it for next stage screening containing over one hundred thousand words in total. This led to an extensive editing of the data within each of the thirty five initial categories to eliminate both duplication and non-

relevant sections of associated open codes. In addition, a memo describing the content and purpose of the category was added to support the theme-based categorisation process. This process was undertaken in a standard word processing package.

Having utilised Nvivo9 for the open coding and initial categorisation, the storing of interview transcripts, interview audio recordings, case study area station images, case study area station audio diaries, and associated data from policy documents as outlined in Chapters 6 & 7; the second stage categorisation of the emerging themes was undertaken through a more traditional manual process. Each of the thirty five categories was aligned with one or more of three of the four core research objectives:

1. To establish the place of the Community Rail Development Strategy and the Partnerships tasked with its delivery, within the wider transport policy landscape.
2. To investigate the extent to which a resurgent approach to localism poses an opportunity or threat to the Community Rail Development Strategy, its Partnerships and their outcomes.
3. To evaluate the importance of governance and engagement processes to a Community Rail Partnership in supporting successful Strategy outputs and outcomes.

These were considered alongside the additional desk based research of reviewing in detail thirty five locality based core Policy Documents, in support of the development of the National Community Rail Toolkit as part of research objective 4, to provide a structure and framework for analysing the data in addressing the primary research aim.

4.6.2 Policy Data Analysis

Whilst the Literature Review within Chapters 2 and 3 outline the emergence of both the principles behind the modern day Community Rail Strategy, and a new approach to localism as introduced under New Labour, it is the application of these policies at the local, sub-regional and regional scales which impacts upon a CRP's ability to deliver the Strategy and add value to its Members. To be able to understand how the case study CRP's are able to engage in such spaces, a detailed policy review of this empirical data was considered as the most suitable method to apply. The application of the policy review took two core forms: Firstly, a detailed critical review of how each individual CRP case study line had been considered and represented within the statutory transport, planning and localism based policies of each of its Members. This is summarised within Chapter 5, with the data used to evidence both how individual Members reflect and apply not only the policies of the CRP within their own environment, but also how they interact with each other Members in applying such policies across shared spaces and disciplines.

Secondly, the policy review considered the national and regional requirements of the core statutory transport, planning and localism policies and policy guidance from a CRP policy perspective, to identify both the constraints and opportunities afforded to CRP Members in optimising their own policy agendas to being more CRP friendly, should they wish them to be so. Chapter 6 reflects this review of the national transport and planning policy landscape in seeking to address research objective 1, whilst Chapter 7 reviews the policies introduced to support a new approach to localism, central to addressing research objective 2. Indeed, the application of the methods adopted in

reviewing this data for Chapter 7 also led to the development of core outputs associated with meeting the requirements of research objective 4 and the creation of the National Community Rail Toolkit outlined in Chapter 7.

4.7 Summary

This chapter has described in detail how a multi-methodological approach was identified as most appropriate to address the primary research aim and core research objectives. Central to this was the identification of the correct governance related data to achieve the required level and quality of analysis. It outlined the quantitative process undertaken to create a national dataset of the structural and performance characteristics of all designated CRPs in England to support the case study sample selection, and how associated issues such as confidentiality were managed. This selection and its ability to reflect differing approaches to CRP governance, as well as a diverse range of geographical, operational and performance characteristics provided a research platform capable of supporting the empirical process as detailed within the next chapter.

The chapter also considered the most appropriate approach to interviewing, as well as who should be interviewed, when and how, with details as to how consideration was given to both key issues of ethics, reflexivity and positionality. Important research areas such as the use of elites in the process of Community Rail and governance processes were introduced, central to the data gathering in Chapters 7 and 8 in considering research objectives 2 and 3. Further important areas outlined in this chapter, to the rest of the thesis, included the research themes to be explored through

the semi-structured interviews, and the participant typology. Whilst the core data for analysis in Chapters 6 to 8 are based on the transcripts and subsequent classifications as outlined in this chapter, this needs to be considered alongside more static information relating to policy landscapes to address the core research objectives.

Chapter 5 introduces the work undertaken as an empirical overview, in collating this core data as it applied to the transport planning policy landscape, within a wider review of each of the case study areas' own operational, functional and political environments generated through the quantitative and qualitative activities outlined within this chapter. Further, this combination of data supported the development and publication of the practical desktop outputs of the research for the wider national policy stakeholders and CRP community, in addressing the requirement of research objective 4, and outlined in Chapter 7 and Appendices B to D. Chapters 6 to 8 then consider each of the core research objectives individually, analysing the data generated through the fieldwork, with the wider policy review and desktop based research.

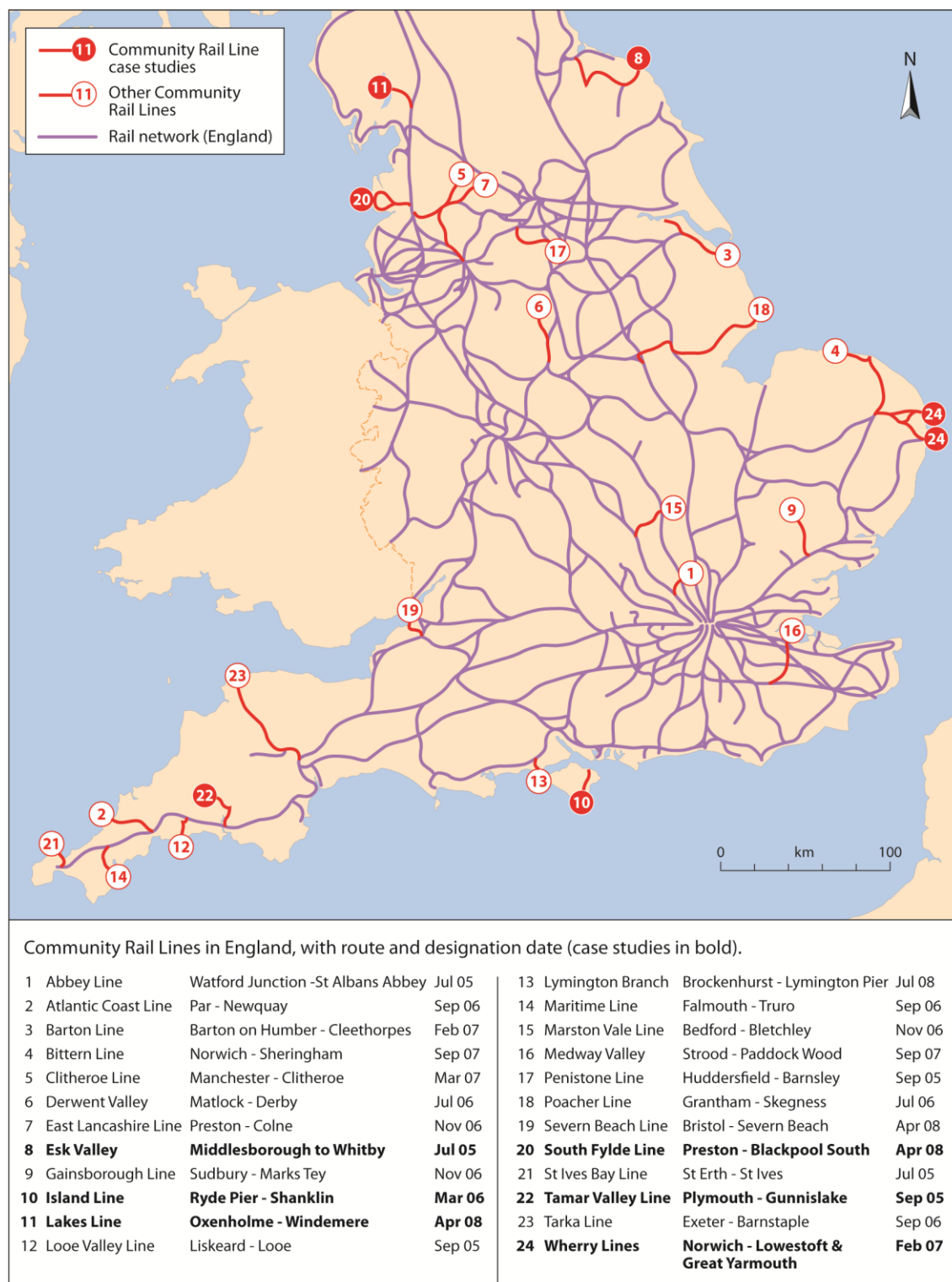
Chapter 5: Empirical Overview of Case Study Lines and Local Transport Policy Alignment

5.1 Introduction

Whilst Chapter 4 outlined the methods applied in determining the most appropriate designated branch lines and CRPs for consideration as case studies, this chapter provides the empirical overview of the Lines selected, and the CRPs tasked with their development. For each CRP and Line a concise overview of the historical, regional, sub-regional and local governance tier is outlined, as well as the operational and policy environments within which the CRPs engage. The purpose of this approach is to enable the subsequent thematic analysis central to exploring the research objectives within Chapters 6 – 8, are placed within context. As such, this chapter does not seek to comment upon, explain or justify any of the data outlined at this stage. Each case study overview also includes a pictorial map of the line, taken directly from the respective Lines' own website to reflect how the CRP presents the line in visual form.

For each case study, the geography of their operational environment is considered, as is the geospatial and other political boundaries and scales within which the CRPs operate. Particular consideration is given to the level of community and local rail related references, commitments, direct policies, wider strategic alignments, and links to the national CRP Strategy detailed within a CRP's own Strategies and Policies, as well as those of its stakeholder members. A map of all designated Community Rail Lines in England, including the CRP Case Study Lines is shown in Figure 5.1.

Figure 5.1. Map of Designated Community Rail Lines in England



Source: Author

For each of the case study areas, three core policy areas and their associated strategies and documents were explored in detail – local transport strategies and plans, which align with core research objective 1; Community Strategies and Local Area Agreements, which support the examination of research objective 2; and the Partnership’s own strategies and business plans which apply across all thematic areas.

In total thirty five individual documents were reviewed as part of the policy appraisal process. However, it was recognised that to seek to fully detail and contextualise the position of each Line and CRP, for each of the thematic and place based approaches adopted by each policy document would not be reasonable in terms of space available. As such, whilst each of the Lines was appraised in full, it is a heavily edited and abridged version of this work, and the associated core findings, which have been included within the chapter.

Lastly, by way of introduction, Chapter 4 also introduced the audio and photographic audit process undertaken for each of the CRP stations of the case study lines visited. This is expanded within this chapter with examples outlined. The purpose of the audit was to consider the customer experience in relation to the station environment, with an aim of developing an approach for benchmarking quality and for exploring the relationship between local station infrastructure and the core themes of the thesis of engagement, partnership working and local governance arrangements. The importance of station infrastructure quality within the thematic environment outlined is explored in more detail in Chapter 8 in addressing the third of the core research objectives.

5.2 Case Study Area 1: The Esk Valley Line

5.2.1 Background, Overview and Service Pattern

The Esk Valley Line connects Whitby (population *circa* 15,000) with the mainline rail network at Middlesbrough (population *circa* 300,000), whilst travelling through the North Yorkshire Moors National Park. From Middlesbrough to Whitby the line passes through the Highway Authority areas of North Yorkshire County Council and Middlesbrough Council as well as the local authority areas of Scarborough Borough Council, Redcar and Cleveland Borough Council, and Hambleton Borough Council. The line also passes through two of the former English Government Office regions – North East (GONE), and Yorks and Humber (GOYH). A total of eleven intermediate stations from Battersby to Ruswarp serve villages in the Esk Valley (total population *circa* 5,000) and on the approach to Whitby. A map of the line, derived from the online marketing presence of the CRP is shown as Figure 5.2.

Figure 5.2. Map of The Esk Valley Railway



Source: Esk Valley Railway Development Company Website, 2010.

The service is operated by Northern Rail along the full route, with additional seasonal tourism services operated by the private North Yorkshire Moors Steam Railway in to Whitby sharing the line from Grosmont station. There are only four main return services daily all year along the full line with an enhanced commuter service from Nunthorpe to Middlesbrough. The line operates Monday to Saturday all year and summer Sundays with a long journey time of approximately ninety minutes for the full thirty five mile journey.

5.2.2 Governance Model and Resource

The Esk Valley Rail Partnership was originally set up for an initial period from 1995 to 1998 to re-engage the community with their railway. Reformed in 2003, the Esk Valley Railway Development Company (EVRDC) promotes the Esk Valley Railway to the residents it serves, and to the wider community. The governance model adopted is a not-for-profit company limited by guarantee.

The Company has a Board (Management Committee) of eight members, two of which are independent. The Company is responsible for developing, implementing and maintaining the Community Rail Development Designated Line Action Plan. The Mission Statement of the Partnership, as outlined within the Action Plan is: "To ensure the viability and vitality of the Middlesbrough to Whitby railway as a sustainable means of public transport to the benefit of residents and visitors to the Esk Valley" (EVRDC Action Plan, p. 4). The Management Committee includes representation from North Yorkshire County Council, ACoRP, Tees Valley Joint Strategy Unit, Northern Rail, North Yorkshire Moors Railway, Network Rail, independent Directors, North York

Moors National Park, Whitby Town Council and Scarborough Borough Council. The Aims and Objectives of the EVRDC are “to increase ridership and net revenue, manage costs down, to increase involvement with the community, to address social and economic regeneration and to highlight the benefits of rail travel for the environment” by:

- Providing a bridge between the community and the rail industry responsible for delivering the service along the Esk Valley from Whitby to Middlesbrough.
- Providing information on the service in a format that is understandable, accessible and up to date.
- Promoting the service to as wide a client-base as possible, identifying new markets.
- Helping to deliver as cost effective maintenance platform as possible by encouraging the enthusiasm and ownership of station environs by resident volunteers to build on social capital (EVRDC Action Plan, p. 8).

The EVRDC has three staff – one full time officer, one part time officer and one support officer for six hours per month. All staff work on the Esk Valley CRP only. The Company is based at ‘The Coliseum’ in Whitby, one minute’s walk from the railway station. The premises are administered by the charity ‘Whitby Network’ which rents out office space to third sector organisations. Awarded funding annually, current core funding is provided from Northern Rail, North Yorkshire County Council and Intercity East Coast under a wider franchise commitment to the DfT. This core funding covers the costs of the staff and operational activities. Locally earned income, and successful grant awards provide additional funding for project activity.

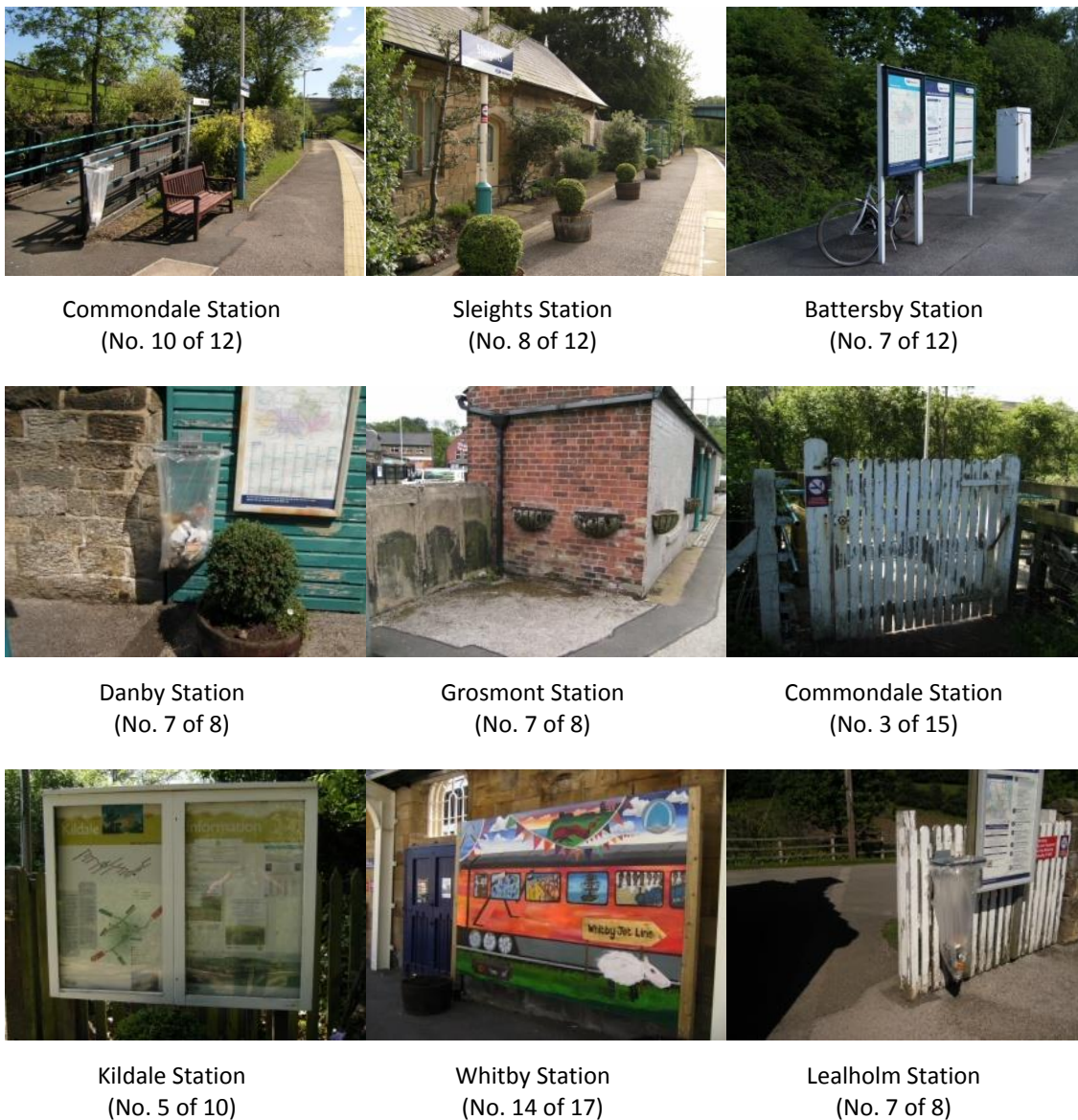
The Esk Valley Rail Development Company operates its own extensive interactive website <http://www.eskvalleyrailway.co.uk> and produces local marketing material promoting the line and its community activities. The website and printed material provides information on all stations along the line; full timetable fares and ticketing information; additional rail, wider transport and other site links; a promotional line guide; a rail ale trail and material on events. The website also contains extensive details about the Company itself, and the Line Action Plan. The Esk Valley Railway was one of the original six national Community Rail pilot lines in 2005 and has full line DfT designation from Middlesbrough to Whitby as detailed in Section 4.3.

5.2.3 Station Audit

As part of the fieldwork an audio and photographic audit of all fourteen rural stations along the line was completed, with the fourteen audio files and one hundred and forty one images stored and coded within NVivo9. The purpose of the audit was to record the structural and functional condition of each individual station as well as the individual facilities provided, their condition, any clear maintenance challenges, the level of information available to both local and visiting Community Rail passengers, the awareness of each station within its locality (signing), and visual signs of engagement with the local community. Explored within the Interview process was the relationship between the CRP and its stakeholder members responsible for the waiting environment as outlined within the summary of this chapter. A synopsis of overall perception and comments is included in this chapter for each line to summarise the work undertaken. The interpretative material at stations along the Esk Valley Line were well presented and in very good condition, for example as shown in Figure 5.2

Kildale Station, image 5 of 10. Structurally and functionally, the stations were in good condition with good lighting, signing and platform edging and accessibility, but some issues of local maintenance need were apparent, as shown in Comondale Station image 3 of 15. The arrival environment at Whitby was classified as excellent. A snapshot of nine images from the audit is shown in Figure 5.3:

Figure 5.3. Examples of Images From the Esk Valley Line Station Audit



Source: Author.

5.2.4 Integration with Local Transport and Wider Policy Landscape

In considering the policy environment within which EVRDC operates (in addition to the principal plans and strategies of the CRP itself), core strategic policy documents of both its CRP members, and the areas within which the line operates were reviewed, within three core category areas:

- Transport Strategies or Local Transport Plans (LTP) of the key stakeholders;
- (Sustainable) Community Strategies of the core stakeholders;
- Local Area Agreements of the core stakeholders.

In considering the Transport Strategies and Local Transport Plans (LTP) of the core stakeholders, four core documents were reviewed. These were:

- The Middlesbrough LTP2;
- The Redcar and Cleveland LTP2;
- The North Yorkshire LTP2;
- The North Yorkshire Moors National Park Authority Local Development Framework.

The Middlesbrough LTP2 is an interesting example of a Local Transport Plan carefully crafted to meet a range of local, sub-regional and political agendas. Within the core two hundred and fifty page document, it is clear how important public transport and local rail is to the overall Plan hierarchy and to its partners. As part of its internal governance mechanism, LTP1 was subjected to a scrutiny process from which recommendation H outlined how the Council should work with others to:

- i. Make the best possible use of the existing rail lines for commuter travel.
- ii. Modernising and better maintaining of Middlesbrough Station.
- iii. Building new stations at Middlehaven and the James Cook University Hospital.
- iv. Maintaining and adding to existing local services on the Esk Valley line, to Nunthorpe, to Darlington and on the coastal line to Sunderland.
- v. Encouraging new, faster intercity services. (Middlesborough LTP2, p. 81)

This local policy steer was also reflected within the wider objectives of the Tees Valley Partnership area as part of a sub-regional approach to local rail policy. In taking this forward, Section 2.6.2 of the LTP2 Accessibility Strategy stated how the plan “will allow Community Rail Partnership proposals for the Esk Valley Line and the Bishop Auckland – Darlington service to proceed” (p. 39). The transport implications of the wider Tees Valley Objectives for Middlesbrough (p. 46) were reflected as a summary in Table 5.1:

Table 5.1. Sub-Regional Rail Objectives of the Tees Valley

Tees Valley Objectives	Transport Implications and Risks	LTP Contribution
Links to: Mayor’s Transport Priority 1,2 and 5	Use of local rail service still only 1% of total trips across the Tees Valley <ul style="list-style-type: none"> • Low perception of quality by users and non-users • Low frequencies of existing sub-regional services • Existing junctions on network operating at or near capacity, restricting the potential for increased freight movements • Limited access points for rail passengers 	<ul style="list-style-type: none"> • Better integration of the local rail network with other levels of the public transport hierarchy • Promotion of Middlesbrough station as the key rail hub for the area • Need to improve quality of facilities at local rail stations, possibly through Community Rail Partnership • Less freight carried by road, especially with expansion plans of PD Teesport • Expand the number of rail halts on the network.

Source: Middlesbrough Local Transport Plan (Second Edition), p. 46.

Within the development of the longer term Transport Strategy, the Plan confirmed how, in relation to network and infrastructure enhancements, the eight and three quarter year franchise awarded to Northern Rail in 2004, contained no major proposals for local rail improvements in the lifetime of the second LTP and as such any future proposals for the local rail network were only likely to be implemented after 2013, when the local franchise arrangements would change. Rather than leave that as a definitive statement, the Plan went on to refer directly to the Community Rail Development Strategy in outlining (p. 93) how, as the Middlesbrough to Whitby Line had been selected as a possible trial for a Community Rail Partnership during the second LTP period, this may provide the opportunity for a greater range of leisure services between Middlesbrough, the North Yorkshire Moors and the coast.

Alongside Middlesbrough, the Unitary Authority area of Redcar and Cleveland is also part of the Tees Valley Partnership with its own close boundary proximity to two Esk Valley Stations. In preparing its own LTP2, Redcar and Cleveland Borough Council also included the jointly agreed Tees Valley Objective 4, and associated local Tees Valley policies on the Esk Valley CRP, including the desire for a shared integrated transport network. Overall, the Redcar and Cleveland LTP2 is clearly pro-public transport and supportive of local rail, despite the limited number of rail stations within its area. For example, as referenced within the Accessibility Chapter of the Redcar and Cleveland Plan (p. 73), the importance of Passenger Rail is introduced, and providing support for the Esk Valley Line Community Rail Pilot is confirmed as a Key Action for the Borough Council.

The North Yorkshire County Council LTP2 is based around the defined two tier hierarchy of a County/District Authority environment, containing 13 of the 17 Esk Valley stations within its boundary. Whilst less defined than Middlesbrough in confirming CRPs as part of the funding mix, nevertheless strong support for the Esk Valley CRP is clearly evident throughout the 172 page main document. When considering the wider more strategic transport links (Section 2, p. 33), the Plan contains a dedicated section on Community Rail Development (Section 2.8.7, p. 35). This section introduces the National CRP Strategy and the place of the five lines in North Yorkshire within it. It confirms how at that time, only the Esk Valley CRP was formally designated with DfT status and how “Community rail lines offer the potential for local control and can provide a useful tool to address accessibility issues in many areas.” (NYCC LTP2, p. 36). This is further considered within Chapter 5 of the Plan, which sought to address wider strategic issues, of which Section 5.3 (p. 62) reviews Strategic Rail and Passenger Transport Issues. This section considers the impact of the Northern Rail Franchise and makes specific reference to the Esk Valley Line as follows:

“In partnership with others, the County Council holds a place on the Board of the Esk Valley Railway Development Company (EVRDC) and it is expected that this membership will continue as part of the Community Rail Partnership (CRP) Development Proposals. Improved rail links on the Esk Valley Railway to Whitby can make a significant contribution to overcoming the economic problems of the area associated with its geographical isolation. The Council will also work with partners to develop the potential of the Esk Valley Railway for facilitating sustainable tourism to the North York Moors and Whitby and as a tourist attraction in its own right.” (NYCC LTP2, p. 62).

Such positive, if a little bland support is further reinforced with additional sub-sections on Community Rail in Chapter 5 of the Plan, where sub-section 5.3.17 details a short overview of CRP Development and Policy and sub-section 5.3.18 is dedicated to outlining the work of the Esk Valley Line and the Development Company.

The other core partner with an influence on transport policy over the line's operational area is the North Yorkshire Moors National Park Authority (NYMNP). Whilst the Authority does still retain a dedicated Traffic and Transport Strategy for the National Park, it was developed and published back in 1997. As such, the most influential document on Transport Policy at the present time is the Core Strategy and Development Policies of the Local Development Framework (LDF) of the Authority published in 2008. A review of this LDF document confirms that Chapter 10 - Accessibility and Inclusion, contains one of the National Parks 13 Core Policies - Policy M. Policy M states how: "Through strong and effective partnerships the Park Authority will work to improve accessibility to services and facilities within and beyond the National Park for all users and to encourage more sustainable patterns of travel" (NYMNP LDF, p. 91). The Policy then outlines seven actions, of which Action Four states this will be achieved by "Supporting the development of community transport initiatives such as the Esk Valley Community Railway". The National Park's LDF then goes further within Chapter 10 to confirm:

"As a form of transport, rail has a valid contribution to make in terms of improving accessibility and widening travel choices within the National Park by connecting the more reliable communities and providing an alternative means of travel, particularly in the context of sustainable tourism. As one of only seven original pilots in the country, the Authority recognises the particular value of the Esk Valley Community Rail Partnership (CRP) and has actively supported it for a number of years. Having CRP status enables the Authority, through the partnership, to work effectively with communities to promote the line and improve its use and accessibility." (NYMNP, p. 92)

Lastly, the review of the relevant Community Strategies and Local Area Agreements are considered in Chapter 7.

5.3 Case Study Area 2: The Lakes Line

5.3.1 Background, Overview and Service Pattern

The Lakes Line provides an important link for both locals and Lake District visitors alike between Oxenholme station on the West Coast Main Line, through Kendal and the villages of Burneside and Staveley, to the lakeside towns of Windermere and Bowness.

With just a small resident population of 45,300 from all communities along the line, the service makes an important contribution to supporting the tourism and leisure economy and the fifteen and a half million annual visitors to the Lake District. All of the

line is within the County area of Cumbria which

itself is part of the former Government Office region

for the North West (GONW). With direct

services to Manchester Airport from Windermere

with a total journey time of around two hours, the

Lakes Line is promoted as a great way to travel to and from the Lake District.

As the marketing material

acknowledges “You can even leave London at breakfast time and have lunch in the Lake District” (Lakes Line Website). A map of the line is shown in Figure 5.4.

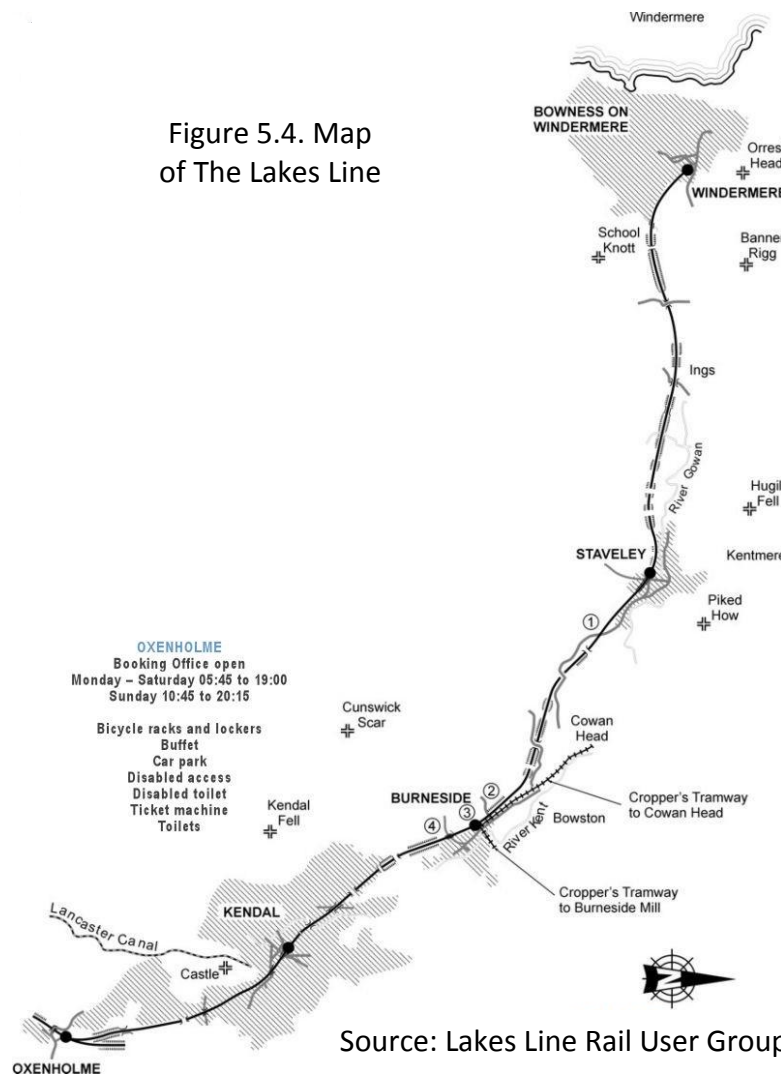


Figure 5.4. Map of The Lakes Line

Source: Lakes Line Rail User Group.

Following the privatisation of Regional Railways North West in 1997, the line became part of the North Western Trains franchise operating area. The early operator of the franchise was subsequently acquired by FirstGroup plc. to become part of First North Western. In 2005, however, the services were taken over by Trans Pennine Express (TPE) a partnership between FirstGroup plc. (55% ownership) and Keolis (45% ownership), who remain the current operator. The predominant rolling stock operated along the line is the German engineered class 185 trains, the 'Pennine Desiro's', introduced in 2006 by TPE. Along the eleven mile route there are up to seventeen services in each direction Monday to Saturday and up to fourteen on Sundays all year round. The slowest end to end journey time stopping at all stations is twenty one minutes, and the line has an particularly high number of overseas tourists, particularly Japanese visitors, due to the cultural associations between Japan and Windermere through the Beatrix Potter books which were used in Japan for many years to teach English.

5.3.2 Governance Model and Resource

The Lakes Line Partnership has its origins firmly rooted in the local community. In 1984 a Lakes Line Action Group was formed by local businesses, and residents concerned that the condition of the line and service frequency no longer provided a suitable gateway to Kendal, Windermere and the Lake District National Park. Acting as a champion of rail users and business, the Group sought to promote the line and represent its interests during the privatisation period. Positive engagement with North Western Trains and First North Western over the years, and with the line secure through the franchise minimum timetable commitment, the Action Group made a

move to change its name to a 'Rail User Group' to reflect its changed priorities. It was the Rail User Group, who in responding to the activities of ACoRP Members and the Department for Transport (DfT), worked with the South Lakes Development Trust, the local business community, the National Park and Local Authorities in 2005 to set up the Lakes Line Community Rail Partnership.

Launched in February 2006, the Lakes Line Partnership was initially hosted by the South Lakes Development Trust (SLDT), a not-for-profit company with charitable status created to promote rural regeneration for the benefit of the public in the areas of Windermere, Bowness and Ambleside. Based in the SLDT's Windermere office, the Lakes Line CRP became its own third sector organisation; established a Partnership Board and appointed a part time Project Officer. The Board initially met approximately bi-monthly, and was comprised of representatives from the Rail Users Group, the South Lakes Development Trust, Cumbria County Council, South Lakes District Council, local businesses, Trans Pennine Express and active individuals supportive of the work of the CRP.

After an exciting and positive first few years, the Partnership's governance arrangements were in the process of being re-structured at the time of my fieldwork, as the previous Officer had moved on. The Partnership Board was in the process of migrating its hosting away from the SLDT to Cumbria County Council and a new full time CRP Officer had just been appointed to cover not only the Lakes Line but also the other CRP and rail lines in Cumbria. At the time of my visit in 2010, the Lakes Line was listed in the DfT's top ten most improved branch lines in the country. The DfT Community Rail designation awarded in 2008, covers both the line and service from

Oxenholme to Windermere including all intermediate stations and aimed to give more freedom to the operator and the community in running the infrastructure, service and the stations.

The value of the designation as outlined in the Lakes Line Prospectus (2008) between the Partners and the DfT was that it would assist in the following tasks:

- Investigation of travel markets and needs (local and longer distance), and costs (operational and capital) in order to devise and implement service patterns and a main line connectional policy which meet their respective needs.
- Exploration and, if appropriate, implementation of opportunities for alternative fares structures to ensure that the line revenue is optimised whilst ensuring fares assist with social inclusion objectives.
- Looking for innovative ticketing and marketing schemes with the aim of making it easier to buy tickets away from staffed stations, effective collection of revenue and higher service awareness and take-up by the local population.
- Working with local councils and other transport providers to develop integrated transport initiatives to improve accessibility to the area.
- Exploration of the potential for involvement in schemes to enhance sustainable access to the Lake District National Park.
- Encouraging social and community enterprise initiatives at or around railway stations along the line.
- Working with the local community and partners to improve accessibility of approaches to stations, and to enhance access, facilities and security within stations e.g. improved lighting at Burneside, and signage information in Kendal.

The Lakes Line CRP has its own interactive website <http://www.lakesline.co.uk> and produces local material promoting the line and its community activities. The website and associated printed literature provides information on all stations along the line; links to core wider tourism opportunities; timetable information; rail; wider transport and environmental site links; links to partners own sites; and promotional and material. The website also links to other lines within Cumbria. However, the Lakes Line CRP is almost unique in that it does not have an extensive web presence for its own governance and policies, and focuses on the product, not the process.

5.3.3 Station Audit

The audio and photographic audit of all four rural stations along the line was completed, with a snapshot of six images from the audit shown in Figure 5.5.

Figure 5.5. Examples of Images From the Lakes Line Station Audit



Burneside Station
(No. 2 of 8)



Kendal Station
(No. 5 of 15)



Staveley Station
(No. 2 of 8)



Staveley Station
(No. 6 of 8)



Windermere Station
(No. 7 of 12)



Kendal Station
(No. 10 of 15)

Source: Author.

In summary, the four audio files and forty four images were stored and coded within NVivo9. The awareness and interpretative material at stations along the Lakes Line were very well presented and in very good condition. Structurally and functionally the stations were in excellent condition with good lighting, signing and platform edging and accessibility. The arrival environment at Windermere was classified as excellent.

5.3.4 Integration with Local Transport and Wider Policy Landscape

In considering the Transport Strategies and Local Transport Plans (LTPs) of the core stakeholders, four core documents were reviewed. These were:

- The Cumbria LTP2;
- The Lake District National Park Authority (LDNPA) Local Development Framework Core Strategy;
- The LDNPA Saved Local Plan Policies; and
- The LDNPA Vision.

With all of the line operational within a single County area, the policies of the Cumbria LTP2 provide the core public transport framework for local action. Overall, the Cumbria LTP2 is a pro-public transport plan, but feedback on the public transport section of the draft LTP2 noted that there was a “Lack of reference to the role of rail, and the need to improve Furness Cumbrian Coast/Windermere lines in particular” and that there was an “Absence of promotion and development of public transport services into the National Park” (Cumbria LTP2 Annex A, p. 51). The structure of the Plan combines thematic based policies, with place based local action plans in line with the LTP Guidance. Chapter 6 of the Policy Approach section is dedicated to Public

Transport and the section on Rail outlines how the Council would “work with the DfT, Network Rail, the passenger and freight train operators and others to develop and maintain the rail network in Cumbria to meet the travel needs of the county and to deliver the shared priorities” (Cumbria LTP2, p. 64).

The LTP2 then dedicates an entire sub-section to working in partnership with Trans Pennine Express and its owners First Group Keolis to achieve improvements to services and passenger facilities, and refers to how “the lack of capacity on the Windermere branch, severely restrict opportunities to enhance or vary the service pattern. Opportunities will continue to be sought to resolve this problem.” (Cumbria LTP2, p. 64). A similar approach is then outlined for partnership working with other local service operators within their area, which is all linked in to a dedicated policy for local rail services. Identified as Policy PT1 (p. 65), the local rail policy states how:

“The council will work with all agencies in the railway industry to ensure the development of local and regional passenger facilities. We will partner the rail industry to improve infrastructure, especially station security, information systems and accessibility improvements as part of an overall investment strategy led by the train operator. The council will particularly seek to improve interchange arrangements at key stations. We will lobby for improvements to rolling stock and passenger services provided by Northern and Trans Pennine Express and will work with the train operators to promote local railways, including encouraging local adoption of stations.”

This is further supported by a short dedicated section on Community Rail, with the Council committing itself to continuing to support local community groups and their role in promoting the local railways and station adoptions. The Plan outlined how existing relationships such as that already in operation on the Lakes Line provided a sound basis for developments relating to Community Rail initiatives that may benefit

the county. The Council outlined how it sought to deliver better promotion of the local lines by working with the train operators, rail user groups and other organisations to mobilise publicity activity, with priority areas including the Cumbrian Coast, Furness Lines and the Windermere Branch (Cumbria LTP2, p. 66).

With the Lake District National Park Authority (LDNPA) having statutory planning policies for its area, and with almost all of the Lakes Line within its jurisdiction, a review was undertaken of the LDNPA Transport Policies of the Local Development Framework Core Strategy (LDF), adopted in October 2010. Three references to rail were identified. The first related to Policy CS02: Achieving vibrant and sustainable settlements. LDNPA Authority defined these settlements as rural service centres, villages and cluster communities. The communities along the line, outside Kendal and Windermere are classified as rural service centres and the policy stated how they should:

- Act as a transport hub for the area by enabling access to a range of transport types such as rail, bus, boat, cycling and walking;
- Enable public transport provision and linkages with other towns and villages inside and outside the National Park.

(LDNPA LDF, p. 28)

Secondly, Policy CS08 - the Windermere Waterfront Programme, which outlined a vision for 2025, relating the rail line and sustainable transport in general to enhance key sites around the lake to deliver visitor management and better transport connectivity.

Lastly Policy CS14 of the National Park LDF (p. 82) is all about sustainable transport solutions. The Park Authority commits itself to reducing the need to travel within and through the Lake District National Park, and to promote the development and use of sustainable travel choices including rail.

Whilst the commitments made in the LDF align with aspirations of more sustainable transport responsibilities, there is scope to question both how much thought is really given to the Line through the planning process in the Park, and how familiar Planning Officers are with their own policies and their application. Also re-adopted in October 2010 were a set of 'Saved Local Plan Policies' that were retained from the former Local Plan to complement the new Local Development Framework. Within these saved policies was a statement on public transport:

“Rail services encircle rather than enter the National Park with the exception of the Oxenholme - Windermere line and part of the Cumbria Coast line. Patronage is generally poor, with the lack of adequate levels of winter services and weekend services a particular problem. Public transport on the roads also suffers from the problems of traffic congestion. Notwithstanding privatisation the County Council has a major role to play in the future development of the public transport system. It considers the public transport needs of the National Park within the overall countywide strategic context and, with money obtained through its TPP bid, can directly finance public transport infrastructure works and help toward supporting essential bus services.”

(LDNPA Saved Lake District Local Plan and Joint Structure Plan Policies, P. 29).

What is disappointing from this October 2010 statement is that the Transport Policy and Programme (TPP) process as outlined in this thesis, ended in March 2000, almost a decade earlier. Of even more concern though was the 2009 Report *A Transport Framework for a Sustainable Lake District* also produced by LDNPA in partnership with Cumbria County Council – both core members of the Lakes Line Partnership Board.

This document was aimed at setting out the transport priorities in support of the vision for the Lake District, and yet the only place that rail was specifically mentioned within the Framework in its own right was in the context of problems associated with accessibility. Page 7 of the Framework states:

‘Rail services have a more limited role as the existing rail lines are located only around the fringes to the Park, with the exception of the Lakes Line reaching as far as Windermere. Also, recent and future timetable changes are likely to result in fewer through trains into the Lake District, which may not be attractive to potential passengers. Travelling times by rail do not compare favourably to travel times by car, for journeys to the Lake District.’

This report and statement, prepared by consultants Steer Davis Gleave, seems to be at odds with the entire West Coast Mainline and Trans Pennine Express focus on promoting travelling by rail to the Lake District, precisely as it was faster than driving.

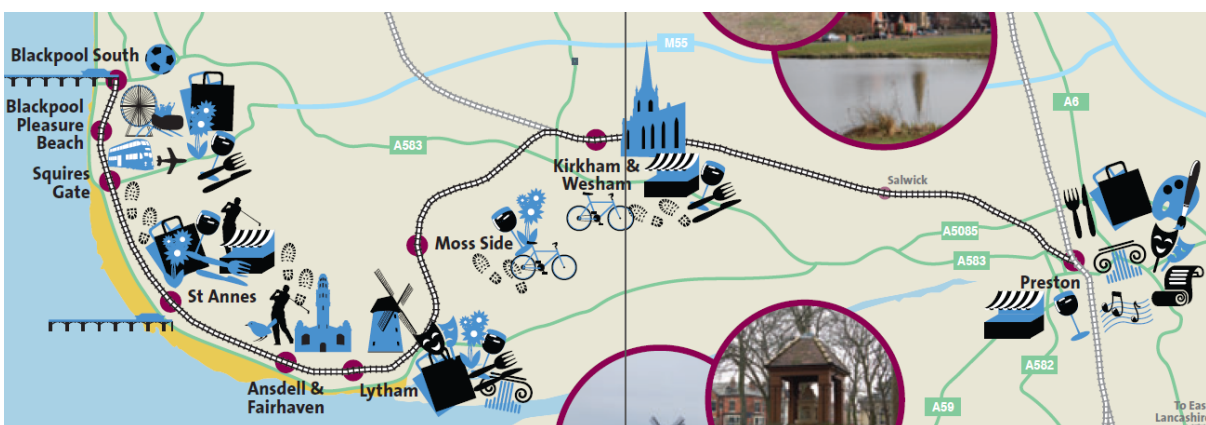
As with the Esk Valley Line, both the Community Strategy and the Local Area Agreements of all of the core stakeholders of the Lakes Line, in this case South Lakeland Community Strategy (as Cumbria’s own Community Strategy was a composite of all five District Level based strategies) and the Cumbria Local Area Agreement were reviewed against a set of defined National Indicator related themes associated with Community Rail as detailed in Section 7.1. The results of these reviews are detailed within Chapter 7.

5.4 Case Study Area 3: The South Fylde Line

5.4.1 Background, Overview and Service Pattern

The South Fylde Line links Preston (population 114,300), the main administrative centre of Lancashire, served by the West Coast Main Line, with Lancashire's main holiday resort Blackpool (resident population *circa* 140,000). Blackpool is served by two rail lines, the mainline service to the main station at Blackpool North and the South Fylde Line to Blackpool South. South Fylde Line trains use the main line towards Blackpool North until Kirkham and Wesham where they branch off on a dedicated twelve mile section of line towards Lytham, St Annes and Blackpool South. As with the Lakes Line, the South Fylde Line is wholly within the former Government Office North West area, but operates within two Transport Authority areas, Blackpool and Lancashire, and a single District Authority area of South Fylde. The Line serves a total of ten stations from Preston to Blackpool South, with the total resident population of the intermediate communities served being around 50,000. A pictorial map of the line derived from the online marketing presence of the CRP is shown as Figure 5.6.

Figure 5.6. Pictorial Map of the South Fylde Line



Source: Discover the South Fylde Line Leaflet – South Fylde Line CRP.

The service is operated by Northern Rail along the full route. The line operates a clockface hourly return service on Weekdays and Saturdays during the winter from around seven in the morning until nine in the evening with an additional late evening service in the summer. The line operates Monday to Saturday all year with additional Sunday services from Spring to Autumn. The Line has a journey time of approximately thirty eight minutes for the full twenty mile journey.

5.4.2 Governance Model and Resource

The South Fylde Line Rail Partnership was originally set up in December 2006, partly in response to the publication of the Community Rail Development Strategy. The Partnership has a Management Group which is made of 8 core Members including Lancashire County Council, Blackpool Council, Network Rail, Northern Rail, Fylde Borough Council, St Annes Town Council, Blackpool and Fylde Rail Users Association (Bafrua) made up of committed local residents and rail users who provide volunteer support to the CRP, and Blackpool International Airport. The Management Group meets on a bi-monthly basis, and takes responsibility for the Department for Transport (DfT) Route Prospectus, the Annual Action Plan, Budget, Marketing and stakeholder relations. The Group has a series of short, medium and long term aims reflecting a practical approach to addressing a series of obstacles it is aware it needs to overcome. The Line was awarded full Line Designation status from the DfT in April 2008.

These obstacles include the lack of a passing loop along the twelve mile single line section between Kirkham and Blackpool South, restricting the ability to operate more services; the age and condition of the life expired rolling stock being operated along

the line; and the lack of committed funding for investment – as the line is claimed to be Northern Rail’s poorest performing route. The Line has seen many of its stations adopted by the local community.

The Partnership shares the CRP Officer with other Lancashire Lines, with their operational base within the ‘Community Rail Lancashire’ team, hosted by Lancashire County Council. The Council seeks to achieve economies of scale by creating a dedicated Community Rail team within the Council which support all of the Community Rail lines in the Lancashire area. The Council provides the admin support, financial management and hosting facilities for all CRPs in its area and has a long tradition of very positive support for local rail. However, unlike most local authority hosted CRPs the South Fylde Line Partnership Officer is not a local council employee but an employee of Northern Rail who has been seconded to the Community Rail Lancashire team. This unique approach is considered in more detail in Chapter 8.

The South Fylde Line CRP has its own website <http://www.southfyldelinecrp.co.uk> promoting the line and its community activities, complemented by a limited range of printed marketing material. The website, which is part of a Community Rail Lancashire composite site provides information on all stations along the line; links to core wider tourism opportunities; timetable information; links to core partners own sites; and promotional and event based material.

5.4.3 Station Audit

The audio and photographic audit of eight stations along the line was completed, with the eight audio files and seventy one images stored and coded within NVivo9. A snapshot of nine images from the audit is shown in Figure 5.7:

Figure 5.7. Examples of Images From the South Fylde Line Station Audit



Ansdell and Fairhaven Station
(No. 11 of 13)



Blackpool Pleasure Beach Station
(No. 9 of 9)



Blackpool South Station
(No. 5 of 5)



Kirkham & Wesham Station
(No. 9 of 9)



Lytham Station
(No. 4 of 8)



Moss Side Station
(No. 5 of 10)



Moss Side Station
(No. 9 of 10)



Squires Gate Station
(No. 2 of 9)



St Annes Station
(No. 5 of 7)

Source: Author.

In summary, the awareness and interpretative material at stations along the South Fylde Line was limited with very little material in evidence at all. Structurally and functionally, where the Partnership had managed to secure investment, or where Bafrua were actively engaged in station adoption activities, the stations were in good condition with good lighting, signing and platform edging and accessibility. This is shown within Figure 5.6, and the image of St Annes Station No. 5 of 7. However, where they were not, the stations were in a much poorer condition possibly as a result of the governance relationship between the CRP and local station environment stakeholders, as reflected for Kirkham and Wesham station image No. 9 of 9. The arrival environment at Blackpool South was classified as decidedly average/below average.

5.4.4 Integration with Local Transport and Wider Policy Landscape

In considering the Transport Strategies and Local Transport Plans (LTP) of the core stakeholders, two core documents were reviewed. These were the Blackpool LTP2; and the Lancashire LTP2. It would be harder to find a more pro-Community Rail and pro-local rail LTP2 as that of Lancashire County Council. This extensive two volume Plan considers local rail from its initial Executive Summary on page iii of Volume 1 – ‘Our Plans’ through to the Congestion Strategy outlined in Section 8. Congestion of Volume 2 – ‘the Strategy’. Community Rail and the role of the Authority in supporting Community Rail Partnerships is a recurring theme, with each of the Community Rail Lines in Lancashire including the South Fylde Line examined and considered in detail as being part of the solution to local problems. Investment in the South Fylde line is outlined as early as the Introduction to the main Plan (pp. 6-7), and throughout the core sections. When considering the challenges and opportunities being faced in

Lancashire and shared with cross boundary neighbours, the commitment from the Council is clear - 'We will work with train operators and Community Rail Partnerships to raise the standards of travel by train and the services in peak and off peak hours. We want to improve the comfort and convenience for all rail passengers' (Lancashire LTP2 Table 2.5, p. 58).

This approach is continued within Section 3 of the Plan – Value for Money, where Community Rail is again identified (p. 71) as a cost effective way to effect change. South Fylde Community Rail is allocated its own expenditure line with the Council committing upfront financial support over the five year LTP period of a minimum £300,000. No other Local Transport Plan appraised as part of this thesis is so explicit in its medium term financial commitment to a named individual CRP line. Further relevance of the Lancashire LTP2 to this thesis is the commitment of the Council to voluntarily adopt a Community Rail Local Indicator. As outlined in Section 5.2 of this thesis, Local Indicators were not compulsory in LTP2, but Local Authorities could choose to adopt and be judged against a set of local priorities in addition to the core indicators if they so wished. Lancashire County Council adopted fifteen such indicators (p. 241), of which Indicator E related specifically to growing the number of Community Rail Passengers by fifty four per cent over the five year plan period (p. 254).

In addition, whereas most local authorities sought to interpret and relate their Regional Policy Framework to generic areas of public and/or sustainable transport; again Lancashire took this one step further and interpreted in detail how specific priority areas of the Authority related directly to core regional policies. On this basis, Community Rail was identified as contributing directly to the Regional Transport

Strategy (p. 256); the Draft Regional Spatial Strategy Policy RT3 on Air Transport (p. 263); the Regional Economic Strategy Transformational Action 48 (p. 267); and the general policies of the Joint Lancashire Structure Plan (p. 275).

The Blackpool LTP2, perhaps not surprisingly is much more focused on peak time seasonal travel within its urban borough with its primary rail focus on the main line to Blackpool North station, and the replacement tram investment within its area. Where there is apparent diversion with the Lancashire LTP2, is extensive referencing within the Blackpool LTP2 of the potential to incorporate sections of the South Fylde Line as part of the new Tram Network, essentially truncating the heavy rail element at Lytham rather than Blackpool South at present as part of an Airport Access Strategy; a wider Resort Access Plan, and a localised Blackpool Masterplan (Blackpool LTP2, p. 31). This is not considered or acknowledged at all within the Lancashire Plan.

However, Community Rail and the role of the South Fylde Line is also considered within the Blackpool LTP2, within the Congestion section, seeking proposals for better direct access to the Pleasure Beach and Blackpool Airport (Squires Gate station) from Preston, East Lancashire and Lytham St. Anne's. Lastly, the Plan does recognise the value of creating the Community Rail Partnership for the South Fylde Line to improve patronage and this has a direct reference in the Plan on p. 90. As with all other case study lines, the West Lancashire Sustainable Community Strategy and the Blackpool Community Strategy, as well as the Lancashire Local Area Agreement and the Blackpool Local Area Agreement were reviewed against a set of defined National Indicator related themes associated with Community Rail as detailed in Section 7.1. The results of these reviews are detailed within Chapter 7.

5.5 Case Study Area 4: The Tamar Valley Line

5.5.1 Background, Overview and Service Pattern

The Tamar Valley Line connects rural villages within the Tamar Valley AONB to Plymouth, the largest city on the south coast of England (population *circa* 252,000). Formerly part of the Southern Railway to London around the western edge of Dartmoor, this fourteen mile route links town to countryside. Within Plymouth the line operates along the main line serving core local urban stations for the communities of Devonport, Keyham and St. Budeaux as well as Dockyard station historically serving workers of the Royal Naval Dockyard. From the urban environs within the Unitary Authority area of Plymouth City, the line branches from the mainline at St. Budeaux and when it reaches the edge of the City it passes over the Tavy Viaduct into Devon and the remote rural Bere Peninsula serving adjacent villages of Bere Ferrers and Bere Alston.

From Bere Alston the line travels through the Tamar Valley, famous for its cherry growing heritage, and over the magnificent Calstock viaduct into Cornwall where it serves the former mining villages of Calstock and Gunnislake with its industrial heritage and identity, and proximity to Dartmoor National Park. The total population of the parishes of the four rural communities served is around 14,000, but with the line serving a wider community in providing a fast, convenient commuting route into the centre of the City. Whilst passing through three Highway Authority areas (Plymouth, Devon and Cornwall) and one District Council (West Devon Borough Council) along its short route, all of the line was within the Government Office for the South West

(GOSW) region. A pictorial map of the line derived from the online marketing presence of the CRP is shown as Figure 5.8.

Figure 5.8. Pictorial Map of the Tamar Valley Line Railway



Source: Tamar Valley Line Website
<http://www.greatscenicrailways.com/dartrover.html>

The service is operated by First Great Western, with nine return services during weekdays including an early train to support both the Devonport Dockyard shift workers and to enable connections at Plymouth for London bound services; eight return services on Saturdays and five on Sundays where the line forms part of an integrated Sunday Rover network of buses and rail services for the Dartmoor National Park. The core market for the line is for commuters and students studying and working within Plymouth. The Inter-urban stations of Plymouth are served by extra services throughout the day from trains using the main line from Plymouth to Cornwall.

5.5.2 Governance Model and Resource

The Tamar Valley Line is part of the wider Devon and Cornwall Rail Partnership (DCRP), the first modern Community Rail Partnership in the UK, set up in 1991 to promote the use of, and improvements to, the rural railways in Devon and Cornwall; and to promote the places served in order to assist the local economy as outlined in Section 3.5.2. The DCRP is the largest and most successful Community Rail Partnership in the country covering six CRP lines. Hosted by and based within Plymouth University, the status of the DCRP is that of an un-incorporated association. It has a two tier governance structure with a Steering Group comprised of twelve members, but which is flexible to accommodate more if desired, which oversees the Partnership itself, and which resources the core operational costs such as staff, offices, utilities etc. directly through central contributions of partners made up of the franchise operator, the Local Authorities, the University and Grant Award bodies.

Underneath this 'umbrella' sits a network of individual Working Groups comprised of local stakeholders with a direct interest in the line. These Working Groups, such as the Tamar Valley Line Working Group with its sixteen Members representing many local interest groups, generate local funding to promote and develop the line, under the control and guidance of the CRP Officer. This is a relatively unique approach in that all money generated by the Working Groups is spent on local activities – with no contribution to the staffing costs incurred in delivering the work, as considered further in Chapter 7. The Tamar Valley Line itself received full Line designation in September 2005. The DCRP has three staff – one full time Partnership Manager, one full time Partnership Officer and one part time Admin Officer. The DCRP operates its own extensive and award winning interactive website <http://www.carfreedaysout.com> promoting the lines and community activities as well as an extensive range of high quality local printed marketing material. The DCRP has introduced award winning carnet based ticketing products for the line, and has been instrumental in securing additional services. The website provides extensive information on all stations along the Line; full timetable, fares and ticketing information; additional rail, wider transport and environmental site links; promotional line guides; rail ale trails; Dartmoor Sunday Rover; walks leaflets; and material on events.

5.5.3 Station Audit

As part of the fieldwork an audio and photographic audit of all eight rural stations along the line was completed, with the eight audio files and eighty nine images stored and coded within NVivo9. In summary, the awareness and interpretative material at the rural stations along the Tamar Valley line was well presented and in very good

condition as outlined in Figure 5.9 and image 10 of 22 of Gunnislake Station. A snapshot of nine images from the audit is shown in Figure 5.9:

Figure 5.9 Examples of Images From the Tamar Valley Line Station Audit



Source: Author.

Structurally and functionally the stations were in very good condition. They had clear signs of recent investment, with good lighting, signing and platform edging and accessibility. The rural stations infrastructure had been designed to reflect a heritage approach with appropriate paint colours and design styles which made the stations

less corporate and standardised, and more local and reflective of the rural communities they served. The urban stations along the line however, whilst having some local community based material in evidence, were showing much higher rates of deterioration, possible related to their location, and perceived neglect of the core railway owned infrastructure, even where it was also evident that this non DCRP infrastructure could not have been more than a few years old.

5.5.4 Integration with Local Transport and Wider Policy Landscape

In considering the Transport Strategies and Local Transport Plans (LTP) of the core stakeholders, four core documents were reviewed. These were the Plymouth City Council LTP2, the Devon County Council LTP2, the Cornwall Council LTP2; and the 2005 to 2011 Review of Priorities for the Dartmoor National Park Traffic Management Strategy.

The Plymouth LTP2 was a 381 page, thirteen section document. The Tamar Valley Line is the only local rail line in the Plan area and was well represented within the Plan proposals. Central to this was a Local Indicator to increase the annual patronage on the Tamar Valley Line by two per cent per annum. The Plan also contained a joint statement with Devon County Council (Devon County Council LTP2, p. 49) where, ‘the authorities will continue to support the Devon and Cornwall Rail Partnership to implement the pilot Community Rail initiatives and maximise the use of local rail lines.’ This approach of supporting the DCRP in its aims and delivery ran through the Plan with additional supporting statements within a Local Rail Section 5.5.14-18; and within Chapter 6, Tackling Accessibility where the DCRP was listed in Table 6.6 (p. 92). The

Plan also contained extensive referencing to a proposal to re-open the former railway line from Bere Alston to Tavistock, known as the 'Drake Line' Project.

With only two rural stations out of a total of forty stations within Devon being on the Tamar Valley Line, it is not too surprising that the line does not receive a prominent focus within the Devon LTP2. The Devon LTP2 is a much a smaller document than Plymouth (274 pages in total) which promotes sustainable transport in a more generic policy form. Where detail on local rail does exist, it tends to be more area focused within the dedicated sub-regional sections. Indeed within the Plymouth sub-region section the joint statement agreed with Plymouth Council is repeated. The exception to this is within Chapter 7 – Issues and Impacts, on pages 237-40, under the sub heading 'Future of Rail Services in Devon'. Whilst focusing primarily on mainline rail and issues within the local rail network of the Exeter area, this section does make a very positive statement in relation to Community Rail and the partnership approach (p. 239) which includes the following passage:

'Devon County Council is an enthusiastic participant in developing the Community Railways initiative, through its involvement in the joint pilot for the Tamar Valley and Looe Valley branch lines. This is a means of increasing patronage and reducing subsidy per passenger, whilst the development of lower cost models for railway operation may help exploration of the potential for re-opening the Drake line between Bere Alston and Tavistock. Devon County Council will also continue to support train services to Okehampton, as part of the Dartmoor Sunday Rover public transport network.'

The 260 page Cornwall LTP2 positions its five core transport aims within 'Connecting Cornwall' a long term overarching programme for strategic investment in the County, incorporating eight Action Plans – one of which, AP2 relates to Strategic and Local Rail Connections (Cornwall LTP2, p. 63). Within the main Plan, Section 6.5.3 (p. 80) is

dedicated to the role of rail, and makes positive commitments to maintaining support for local rail and the DCRP. This is enhanced with a sub-section on Community Rail (pp. 83-84) and a separate sub section on Rail's contribution to sustainable tourism (p. 99). Cornwall Council further reinforces the role of local rail through its contribution to the wider public transport delivery agenda; with sub-sections on integrated ticketing, customer care, travel behaviour, promotion and marketing, and travel planning. The Council also details 'The Riviera Project' with its medium term investment programme to refresh and update all stations in Cornwall, including those on the Tamar Valley Line (p. 80). Cornwall also committed itself to Local Indicator Targets relating to rail services with CCC2 committing the County to working in partnership to grow the number of rail passengers in the County by over sixteen per cent over the 2006-2011 period, and CCC6 which sought to increase the number of summer peak trips by public transport by five per cent over the period.

Lastly the Dartmoor National Park Traffic Management Strategy (DNPTMS) was considered, which confirmed its own commitment to the Tamar Valley Line and its role in providing sustainable transport access to the Park through, primarily, the Dartmoor Sunday Rover Network. Working with stakeholders was key to providing access (DNPTMS, p. 23) as was improving access to and from local rail stations – as outlined within Annex 3: Local Implementation Programme Priorities for the Dartmoor and Tamar Valley Zone (DNPTMS, p. 24). As with all other case study lines, the Devon County Council, Cornwall Council and Plymouth Council Community Strategies and their Local Area Agreements were reviewed against a set of defined National Indicator related themes associated with Community Rail as detailed in Section 7.1. The results of these reviews are detailed within Chapter 7.

5.6 Case Study Area 5: The Wherry Line

5.6.1 Background, Overview and Service Pattern

The Wherry Lines is the name given to two lines which connect Norwich, the capital City of Norfolk (population *circa* 135,000) with both Great Yarmouth and Lowestoft. They are named the Wherry Lines after the traditional Norfolk Wherry boats which provided the main transport around the Norfolk broads and rivers in this part of the country, through which the lines operate. The case study focused on the Wherry Line from Norwich to Lowestoft (population *circa* 64,300), which has a total route length of twenty three miles. Its route carries it through some beautiful areas around the Broads and stops at a total nine intermediate villages along its journey, within the two highway authority areas of Norfolk and Suffolk as well as the City of Norwich. Whilst operating within two county areas, both were within the single Government Office East (GO-E) region of the country. No illustrative map of the line is included, as no such image is provided within the CRP website for the Line.

At the time of the site visit, the service was operated by National Express East Anglia along the full route all year. Since March 2011 it has been operated by Anglia Railways. At the time of the site visit there were nineteen return services daily along the full line on weekdays and Saturdays, reducing to nine return services on Sundays. The average end to end journey time from Norwich to Lowestoft is around forty minutes. Both of the Wherry Lines, having left Norwich, stop at the two local stations of Brundall Gardens and Brundall after which the lines separate. As such, both of the Brundall services are very well served by local rail with around 36 return services daily to Norwich. No image based map of the line is provided within the CRP website.

5.6.2 Governance Model and Resource

The Wherry Lines Rail Partnership was originally set up in 2000 by Norfolk County Council following the success of their Bittern Line CRP with former railway company Anglia Railways. Since its inception new partners and funders have joined, with resources used to promote the railway and its communities to develop economic and environmental benefits for residents, visitors and tourists. The Partnership is both hosted and administered by the County Council in Norwich and the Wherry Line Service received its CRP designation from the DfT in February 2007. The Partnership has a Working Group of up to twenty one members, primarily made up of staff from all tiers of local government in the area, elected Members, railway officers and the East Suffolk Travellers' Association (ESTA). The Working Group is responsible for developing, implementing and maintaining the Line's Business Plan, which has been developed around the core LAA Indicators of its core partners. The twelve page Business Plan also confirms that in carrying out its work the Partnership will:

1. Include local communities both in consultations and practical activities give a sense of ownership and opportunities for volunteering for all parts of the community;
2. Behave in a sustainable fashion in line with the Partnership's Policy;
3. Implement the Norfolk County Council Community Railways Business Plan;
4. Operate to this more detailed plan regularly monitoring implementation against changes in patronage, revenue and awareness; and
5. Work with partner organisations and SME's to encourage and assist in promoting use of SME's along the route.

(Norfolk Council Wherry Lines Business Plan 2010-11, p. 4)

The CRP is resourced through a single, full-time Community Rail Officer who also has responsibility for work on the Bittern Line. The Officer is based at the head office of Norfolk County Council in Norwich and is a local government employee. As outlined, the County Council administers the Partnership and its activities. Funding towards the Officer and the delivery activity is provided by a wide range of core stakeholders including the County, City and District Councils, with the rail operator providing around ten per cent. Like most CRPs a significant part of its work programme is expected to be funded through successful third party grant applications. The Wherry Lines operate their own interactive website <http://www.wherrylines.org.uk> promoting the line, local communities and activities. The website provides information and maps on all stations along the line; full timetable fares and ticketing information; a promotional line guide; extensive walks trails and material on events. The website also contains details about the Partnership itself, and the Business Plan.

5.6.3 Station Audit

As part of the fieldwork, an audio and photographic audit of eight of the nine stations along the line was completed, with the eight audio files and one hundred and thirteen images stored and coded within NVivo9. Following advice from the Community Rail Officer, Brundall Gardens Station was not included in the audit as it was not actively promoted by the Partnership. In summary, the awareness and interpretative material at stations along the Wherry Line was mixed and not always well presented nor in good condition. Structurally and functionally the stations were also mixed with some in better condition than others. Whilst I am sure all of the stations met the franchise commitments given, there was no clear sense of local identity and a lot of poor or

neglected maintenance. The stations felt more corporate in appearance than many of the other CRP lines, with some in a very poor state of presentation and condition. Whilst a clear demonstration of commitment from the CRP was evident in some locations, particularly in relation to some excellent gardening work by ESTA members or the local community, this was often lost within the wider tatty station appearance which remained the responsibility of both Network Rail and the franchise operator. A snapshot of nine images from the audit is shown in Figure 5.10.

Figure 5.10. Examples of Images From the Wherry Line Station Audit



Somerleyton Station
(No. 18 of 25)

Brundall Station
(No. 1 of 11)

Cantley Station
(No. 23 of 24)



Haddiscoe Station
(No. 6 of 11)

Lowestoft Station
(No. 3 of 6)

Reedham Station
(No. 19 of 25)



Reedham Station
(No. 21 of 25)

Cantley Station
(No. 15 of 24)

Somerleyton Station
(No. 16 of 25)

Source: Author.

5.6.4 Integration with Local Transport and Wider Policy Landscape

In considering the Transport Strategies and the Local Transport Plans (LTPs) of the core stakeholders, two core documents were reviewed. These were the Norfolk County Council LTP2; and the Suffolk County Council LTP2. Within the Norfolk LTP2, Community and Local Rail were well represented from early on within the Plan's Chapter 3 - Guiding Principles. Page 19 restated the commitment to partnership working, including working with the rail sector through its Norfolk Rail Policy Group, and through Norfolk's CRP Board for the two CRPs in Norfolk, "where we jointly give the Partnerships direction and advice to ensure their continued success".

In line with many other LTP2s, the Norfolk Plan is structured around the DfT's four core objectives, where in the Accessibility Section, Community Rail merits four positive references; firstly within Plan Table 6.2 SWOT Matrix, with Community Rail schemes identified as a strength (Norfolk LTP2, p. 57); secondly, indirectly within a wider commitment to Partnership Working with public transport operators as contained within Plan Policy 11 (p. 64), thirdly as part of the strategy for key bus/rail routes which, as one of its four targets included a commitment for "Continued development of rural rail services (Wherry and Bittern Lines), especially developing community participation and growing patronage, and improving 'on-train' quality (p. 64).

Lastly as part of a more generic approach to improving accessibility, the Council committed itself to 'continue to support Community Rail Partnerships and work with the rail industry to improve services and access to rail' (p. 65). This theme of improving services is touched upon again within the following LTP2 chapter – Reducing

Congestion, which outlines the problem of peak summer visitor numbers and the desire to improve sustainable tourism through encouraging more public transport users. To seek to address this concern, the Council commits itself to working with the CRPs to provide additional train capacity during the peak season (p. 82).

Unlike Norfolk, Suffolk only has one Wherry Line station within its area – Lowestoft. However it does have other CRPs within the Plan area and so it is not surprising that the Community Rail Development Strategy is mentioned. However, even with both the East Suffolk Line CRP and the Essex and South Suffolk CRP being included within the Plan, there is only one reference within its one hundred and seventy six pages of the Wherry Line. This occurs within Chapter 3, 'Key Transport Issues in Suffolk' where the 'Partnership Working' section has its own sub-section on Cross Boundary Issues (Suffolk LTP2, p. 21). In relation to the Wherry Line, the following statement is made:

'The Wherry Line's Community Rail Partnership covers the Norwich to Lowestoft/Great Yarmouth lines and has been in operation since August 2000. Improvements include a new car park, better access, new platform shelters and improved signage.'

Whilst positive in its short summary of work to date, there is no mention of supporting the line or the CRP for the LTP2 period, or indeed how the CRP would contribute to its wider agenda. Indeed, the Plan makes no further reference to the line at all other than a desire to improve the interchange at Lowestoft station. As with all other case study lines, the Community Strategies of Norfolk and Suffolk County Councils and their respective Local Area Agreements were reviewed against a set of defined National Indicator related themes associated with Community Rail as detailed in Section 7.1. The results of these reviews are detailed within Chapter 7.

5.7 Case Study Area 6: The Island Line

5.7.1 Background, Overview and Service Pattern

The Island Line is, as it sounds, the only national rail line in England not on the mainland. First opened in 1880, and operating on an eight and a half mile stretch of track from Ryde Pier Head (population *circa* 26,000) to Shanklin (population *circa* 8,000) on the Isle of Wight, the Island Line is unique as being the only part of the national rail network operated by ex-London Underground carriages. Currently part of the South West Trains franchise, operated by Stagecoach, the electrified line also connects to the Steam Railway on the Isle of Wight, as well as the Wight link passenger ferries to the mainland. It is solely within the highway authority area of the Isle of Wight Council, and within the former Government Office for the South East region (GOSE). A pictorial map of the line derived from the online marketing presence of the CRP is shown as Figure 5.11 with a visual emphasis on connectivity with ferries, strong heritage and leisure branding and links with leisure activities.

Figure 5.11. Pictorial Map of the Island Line



Source: SW Trains Website.

The Island Line currently operates over thirty return trips per day on a Monday to Saturday, all year with nineteen on winter Sundays, but increasing up to twenty seven on summer Sundays. The average journey time is around twenty four minutes. Between Ryde and Shanklin are six additional stations. Of key interest to this study was the fact that the Island Line is the only example of a micro-franchise within the current rail network – where the Train Operating Company is responsible for both the running of the train services and the maintenance of the infrastructure.

5.7.2 Governance Model and Resource

During the consultation process on developing the Community Rail Development Strategy in 2004, as introduced in Section 3.6.3, the Island Line was suggested as a line suitable for becoming one of the initial national CRP Pilot Lines, largely due to its micro-franchise status. However, the Rail Working Party of the Quality Transport Partnership of the Isle of Wight Council responded to the consultation stressing how the line was more urban in nature, and how its service frequency did not meet the standard definition of Community Rail. As such the proposal to include the line as an initial Rail Pilot was dropped by the SRA, but continued to recommend that a CRP could contribute to the existing set up.

On this basis, in January 2005 the Quality Transport Partnership approved a proposal to set up the CRP, which was launched with original stakeholders including the Isle of Wight Council, Wightlink, South West Trains and the Quality Transport Partnership. Initial funding was provided by a mixture of public and private partners as well as grant support. Due to the early success of the CRP, initial stakeholder membership was expanded to include the Isle of Wight Steam Railway and Southern Vectis, the local bus operator. The CRP was hosted by the Isle of Wight Council who also provided administrative and financial support and the part time partnership officer was based in Ryde. The line finally received full line designation status in March 2006. As outlined within the Island Line Business Plan, and on their website, the aim of the Island Line Community Rail Partnership is to create a sustainable future for rail on the Isle of Wight by:

- Increasing the use of existing train services and Solent connections;
- Developing community goodwill and involvement with the local railway;
- Improving station facilities and environment;
- Developing integrated transport links to and from the railway; and
- Assisting with developing agreed long-term strategies for the local railway.

By working in partnership with the local management of the Island Line, the objectives of the Partnership are:

- To identify potential growth markets for the rail service;
- To support station development projects along the line and act as a catalyst for other projects;
- To work positively with other transport providers;
- To work with the tourism industry on the island and mainland to promote use of rail;
- To ensure that the railway is an active participant in regeneration strategies for the Island;
- To identify new potential stakeholders in the community.

The Island Line Partnership operates its own detailed interactive website <http://www.isleofwightcrp.co.uk> and has a range of local printed marketing material promoting the line, local communities and activities. The website provides information and maps on all stations along the line; links to full timetable fares and ticketing information from the Island Line Trains pages within the South West Trains website; promotional line material; extensive walks trails and material on events. The

website also contains details about the Partnership itself, and a comprehensive history of the line.

At the time of the initial identification via the case study selection process of the suitability of the Island Line for this research, the Partnership had a part-time project officer based on the island. Early contact in person and by phone with the officer identified that work was going well and the Partnership was looking to expand to cover the Lymington to Brokenhurst CRP on the mainland. A provisional date for the fieldwork was identified and 8 contacts from the CRP Working Group were identified to approach nearer the time for interview. However, when the Partnership was re-approached in late spring 2010 to confirm dates for the interview requests to be sent out, it was clear that there was a reluctance to participate. Over the next few weeks as the scenario unfolded, I was informed that the Isle of Wight Council sought to withdraw from the Partnership and also wished to withdraw its annual financial support. Whilst acknowledging and being sensitive to the issues and challenges that this turn of events was having on the Partnership, I nevertheless asked for approval to retain the line as a case study, as part of this work was to explore the relationships between actors, and I was keen to understand the processes at work when such a significant challenge is faced, to see if there were any lessons which could be learned for other CRPs.

Whilst the Council was still happy for me to visit, the Partnership Officer (over a series of emails) became less supportive and left the final decision to the new Chairman – who confirmed that they did not want to participate, and that I would not be allowed to interview the CRP Officer. Whilst I could have visited the line independently for the

station audits, and met non CRP staff stakeholders, I considered that this would have been a breach of trust and not in line with the University's ethical policy approach. As such, whilst the second core part of the case study activity – namely exploring the relationship between Local Area Agreement (LAA) outcomes and the opportunity for Community Rail Partnerships was continued with LAA interviews completed with the Government Office South East and the LAA officer from the Isle of Wight Council, the interview with the CRP Working Group Members (including the former rep from the Isle of Wight Council) was not progressed. As such there is no station audit, and no interviews with CRP Working Group Members.

5.7.3 Integration with Local Transport and Wider Policy Landscape

As the line is fully self-contained within the Isle of Wight LTP area, this has been the only LTP2 document considered. The LTP2 of the Island is a comprehensive document prepared by the Engineering Services Department of the Council, and comprised of fifteen formal chapters, extending to a total of almost four hundred pages, as well as eight Appendices totalling a further three hundred pages and an additional Strategic Environmental Assessment. For a total population of around 132,000 residents, this is not an inconsiderable document.

Of core importance to this work is Appendix B, the twenty four page Rail Strategy for the Island. This comprehensive document outlines the vision, objectives and targets for the line and the CRP is central to this process with its own dedicated chapter on Community Rail. It even includes the Constitution of the CRP as its own Annex. Of key interest to this Study and the potential for extended application of the micro-franchise

approach is a statement from the Isle of Wight Council within its Rail Strategy which expresses concern that whilst a high level of subsidy is allocated to the Island (£10.2m) throughout the franchise period, only half of this subsidy actually reaches the Island to support the Island Line and maintain the infrastructure (IoW LTP2 Annex C, p. 13).

It is this Rail Strategy that is referred to constantly within the main body of the LTP2 with the Island Line / local rail attracting over one hundred and forty direct references, with the Community Rail Partnership itself receiving nine such direct references also. From this commitment, three local LTP2 indicators were developed as outlined in LTP2 Chapter N (pp. 13-20):

- Target T4 – to increase the number of train passenger journeys by 20% over the plan period.
- Target T5 – to improve train punctuality to 97.2% or better over the plan period.
- Target T6 – to improve train reliability to over 99.5% or better over the plan period.

Whilst the LTP appears so supportive of the CRP and with the withdrawal of support from the Council during the LTP2 plan period, it was highly disappointing that this could not have been explored in more detail with the core partners.

Lastly, as with all other case study lines, the Isle of Wight Community Strategy ‘Eco-Island’ was reviewed as was the Island’s Local Area Agreement against a set of defined National Indicator related themes associated with Community Rail as detailed in Section 7.1. The results of these reviews are detailed within Chapter 7.

5.8 Case Study Lines Functional Group Meetings

5.8.1 The Micro Level Application of Participant Observation

As outlined in Section 4.4.6, for five out of the six case study lines the fieldwork was structured to coincide with their functional group meetings, regardless of the governance model applied, which ranged from a formal Company Board meeting, to a very informal working group, where I attended as a local participant observer. After each functional group meeting, I conducted a group interview, the responses from which were coded as outlined in Section 4.6. However, in addition to the formal interview process where the transcript based outputs generated are used to support Chapters 6 to 8, my personal thoughts as a participant observer of the functional group meetings attended were also recorded. Following each functional group meeting, I completed a short audio recording of my first impressions, and general overview. Upon later reflection, as such comments were unguarded, and subject to issues of reflexivity and positionality, it was decided not to include the comments within the coding process.

5.9 Summary

This chapter provided an empirical overview of each of the six case study lines. From a practical rail perspective, it detailed the geography of their operational environment including the location of each line, the stations served, the train operator providing the service, the service timetables and frequencies, as well as an insight in to the condition of some the stations as recorded by the station audit. Whilst visually representing the practice and methods applied in the audit process, the value and outcomes of the data

collection to this thesis is in its alignment with the core governance themes of engagement and partnership. The station audit data as outlined within this chapter therefore is examined within the context of these themes within Chapter 8, in considering whether the outcome of such an audit in terms of benchmarking the quality of station infrastructure could be considered a proxy for the success of a CRP in its engagement across a governance hierarchy, to influence change. Whilst not considered in detail within this thesis, this proxy based approach could also be applied across a wide range of CRP related outcomes such as the quality of marketing material, websites and the visual presence of CRPs, to the ability to generate third party income.

The chapter went on to detail how and when each of the CRPs were established, and the governance model applied. The reasoning and logic behind the selection of a particular governance model introduced in this chapter is considered in detail within Chapter 8, and considered to identify the levels of appropriateness and suitability for the task in hand. The CRP's funding structure, its geographic base, where and how the support staff are employed (including on what basis) were all additionally reviewed, and then tested through the interview process to determine how they were influenced by the governance model and/or the space of engagement within which each CRP has to operate.

The process of attending the CRP management functional groups as a local participant observer was also included within this chapter, and outlined the process undertaken in recording my individual first impressions of the meetings. It further outlined how it was the correct decision not to include the transcripts of these thoughts and

comments as data for coding, due to the potential for undue influence of reflexivity and positionality.

Of key importance within the chapter, was the representation of the political environment within which the CRPs operate and how they manage to engage within the spaces available. The physical boundaries and scalar range of the political administrations within which each case study CRP operated were detailed, and the core area of how these stakeholders with boundary responsibilities across multiple layers had considered Community Rail as a policy area, and the CRP itself as a service provider. How Community Rail was considered within the relevant local transport planning policy documents was explored at an individual and collective level, and how completing this policy review in advance of the interview process enhanced the ability to engage in more detail during the fieldwork interviews with the core transport policy actors at the local and regional scale.

It is this review and the engagement of the actors involved that is so important to this thesis in terms of the core themes of governance, scale and hierarchy. It is one thing for an individual officer from a partner organisation to be engaged with a CRP through having a personal interest in the subject area, but the real commitment of the organisation lies within its integration of the subject area within its own core policies and priorities. This is the central theme explored within the next chapter in considering the first of the core research objectives, by building upon the transport policy alignment data outlined for each CRP in this chapter.

Finally, as outlined within the chapter, the pre-interview policy review work not only undertook the appraisal of core transport planning policies, but also the wider corporate policies developed and owned by the Local Strategic Partnerships (LSPs), namely the Community Strategies and the Local Area Agreements. Whilst right to acknowledge the place of these policy documents at this stage, the detail of these policies and the impact on and opportunity for the 2004 Strategy and its practitioners is the basis of Chapter 7 where the core policy research themes, of enhanced Localism, multi-stakeholder governance and an enhanced role for the third sector, are considered in detail.

Chapter 6: The Place of Community Rail within the Transport Policy Landscape

6.1 Introduction

This chapter in conjunction with Chapter 7, considers how the change in approach as part of New Labour's 'Third Way' manifested itself in relation to the delivery of transport policy and its place within a new regional governance hierarchy. It addresses core research objective 1: 'To establish the place of the Community Rail Development Strategy and the Partnerships tasked with its delivery, within the wider transport policy landscape.' It considers key changes reflecting the ideological policy concepts outlined in Chapter 2 and the opportunity for Community Rail to establish its own 'space of dependence' as transport policy migrates from silo based individual transport outputs of Local Transport Plan 1, to the wider more community focused outcomes within a shared policy area of a Local Area Agreement and Local Transport Plan 2. This is explored within the state spatial strategy applied by the government towards transport planning as a function and the revised governance mechanisms introduced to fill in the process, embracing a significant role for the regional tier, and the extended involvement of third sector organisations.

The chapter starts by outlining the evolution of national transport planning policy and the desire of the New Labour Government in 1997 to encourage a more integrated approach to Land Use, Transport and Economic Plans. It briefly considers the history and key policy drivers of change from a centralist to a neoliberal approach to public transport provision, initially through the privatisation of the National Bus Company

and then the National Rail network, with particular reference to how early CRPs were able to engage and negotiate within this process and the change in attitude of the new rail operators. It then considers how the Community Rail Development Strategy itself changed in emphasis from the original vision, to the final published version, and explores a key theme of the roles played by individuals in driving and leading change.

The chapter then moves on to explore how transport policy is inextricably linked with the governance of spatial planning policy as the means of connecting people to their houses, jobs, shops and services. Decisions around spatial planning and patterns of development that affect how people gain access to work, education and recreational facilities are made with due regard to relevant planning policies. Transport planning has often been carried out as a separate activity from spatial planning and the policy basis for the two activities has also failed to sufficiently influence each other despite the significance of their interrelationship. In addressing this legacy failure, this chapter considers the origin of the regional governance mechanisms established to integrate these core policy areas, and the resulting hierarchies of associated and shared policy outcomes across all tiers of local government.

Having established the formal policy hierarchies, the place of, engagement with and opportunity for Community Rail is explored in relation to the statutory Local Transport Plan, Regional Transport Strategy, and local planning processes created. Of key importance is a review of how CRP member organisations with statutory transport responsibilities within the differing tiers of government have reacted to these changes when considering the place of Community Rail and their commitment to both the individual lines and the 2004 Strategy. The chapter concludes by introducing the

Government's Public Sector Agreements (PSA) targets in outlining how their new approach to a national hierarchy of policy is changing the order of ownership, governance and responsibility, which is then considered in the context of Community Rail in Chapter 7.

6.2 Local Transport Planning and Early CRP Policy within a Liberalising Environment

6.2.1 Hollowing Out the Transport Sector - The Impact of the 1985 Transport Act

Local Transport Planning takes place within an increasingly complex operational environment. Instead of 'fixed route' planning (Nijkamp and Blaas, 1994), transport planning has become a multi-agency, multi-sectoral, multi-modal process which must balance and engage with a wide range of interests, issues and policy areas. Nijkamp and Blaas (1994) describe it as a "multi-dimensional activity focusing on multiple (public and private) interests with strong emphasis on conflict resolution". They argue that traditional technocentric approaches to transport planning no longer apply. The roots of such change in recent times can be traced back to the consequences as legislated for within the 1985 Transport Act.

The 1985 Transport Act de-regulated the bus industry, taking the operational and transport planning control away from local government, and privatising the National Bus Company through a subsidiary network of new local companies. The role of the local authority was reduced to one of subsidising socially necessary services through a competitive tendering process to make the direct subsidy process more transparent, as the right wing legislators regarded previous practices as absorbing excessive finance. "Subsidy has long been unpopular with right wing commentators who tend to

view it in particular as a distortion of the operation of the free market, but a growing crisis in funding welfare state services has been leading to a wider body of councils and other organisations in this direction” (Bell and Cloke, 1990).

Yet as Charlton and Gibb (1998) point out, despite the “undeniable prominence of liberalised transport systems”, there was “an apparent contradiction between the broad policy support for deregulation and privatisation and the continued, and even enhanced regulatory environment affecting many transport systems”. This observation refers to the fact that, in reality, it was never possible to privatise or deregulate many transport markets to the point where the state could simply withdraw from them (Shaw *et al.*, 2008). As discussed in Chapter 3, despite the significant privatisation and neoliberal agenda undertaken by the Thatcher administration, it was Thatcher herself that considered the privatisation of the British Rail network as a privatisation too far, and was personally active in the late 1980s and early 1990s in restraining Ministers considering such a policy proposal, opting for financial savings rather than outright privatisation.

The impact of the 1985 Act created an interesting sphere of engagement which, in part, is still in evidence today. Local transport planning in Britain can no longer be understood solely as a public sector activity (Booth and Richardson, 2001). The market place of transportation is increasingly open to competitive forces. Rail and bus markets are liberalised and de-regulated, and services and infrastructure are increasingly placed under private ownership or privately financed. However, there remains the notion of, and commitment to the ideals of social equity in transport provision retained through the process of local authority subsidy for socially

necessary services. Buchan (1992) and Farrington and Farrington (2005), maintain that overall, social equity can be maximised through the provision of a transport system which enhances for as many people as possible, the accessibility of a wide range of services. Widening access of opportunities for disadvantaged groups can also serve to promote broader economic benefits by, for example, increasing the mobility of a potentially neglected part of the labour force (Houston, 2001).

6.2.2 Early Community Rail Partnership Policy Development

Whilst Chapter 3 considers the policy implications of the Railways Act 1993 and the structural implications of the privatisation process, it was within the wider local transport planning context of this changing policy environment that predecessors to what would become known as Community Rail Partnerships had already begun to work. This activity was well underway both locally for individual lines and services, and collectively in the collaboration of research and academic papers. This was explored within the interviews and early motivation for such engagement has its origins in responding to perceived threats to existing lines and services:

‘My involvement started with an approach by *[name(s) deleted]*, who was in Regional Railways at the time who, conscious of issues, and of the possible impact of reports like the Serpell Report, wanted to form a partnership with local authorities to regenerate the branch lines, which became known as Community Railways, in order to help them survive..... Well I think, I think *[name(s) deleted]* was certainly coming from the threat, first of all, because bus substitution was around. I think he was obviously seeing the results in Regional Railways and these lines may well have looked vulnerable. So I think it started off with a threat but collectively we wanted very much to turn it into a positive so, it’s not a threat, it’s an opportunity, it’s regeneration. Let’s promote and develop these lines and see how good we can make them, see how many passengers we can get on them and so on and, of course, the main thrust was very much the marketing side, the promotion and development. It wasn’t too

much then about timetable development or rolling stock or issues like that.... I think ideas in the beginning were 50/50. *[name(s) deleted]* particularly was thinking out of the box with Regional Railways and the battles he had with his other colleagues, I'm not sure, these could have been quite significant, you know, but he persisted and I think that's how it's worked. You get individuals who are prepared to commit and those individuals convince their colleagues, convince their organisations and so it's developed through that.' (Driver 7)

This approach was a diversion from the perceived mainstream opinions of sections within Regional Railways where more traditional, alternative views were held:

'In many ways the way the PSO [Public Service Obligation] worked for them, there was no real incentive on British Rail to operate additional train services. As far as they were concerned if they earned more money they lost PSO that was the simple sort of deal, you know, there was no real incentive.' (Subject 10)

Led by Paul Salveson, a key driver behind the success of the Community Rail, these collaborations took the lead in providing instructive guides for local authority and other actors to the changes underway. In *New Futures for Rural Rail* (1993) as detailed in Chapter 3, Salveson outlined options as to how rural lines could be managed within the framework of the Railways Act. Whilst acknowledging that the development of rural railways was not dependent on any single model of ownership, the significant change brought about by hollowing out through privatisation meant that the issue of management and governance should be addressed.

As part of the wider local transport planning environment, Salveson identified the clear risk that, as part of a large franchised network, rural lines could be in real danger of being marginalised, as the franchise owner sought to focus attention on the parts of their business that would bring the best commercial return. However, it was argued that privatisation as part of a more local transport planning process could offer exciting

opportunities to fill in with a new style of 'community-based' railway management, closer to its market and more capable of local innovations. This awareness of a more coordinated approach to local transport planning was a theme already being discussed in wider political environments, and the DfT in particular, but not necessarily so within the now commercial rail network.

In those early years immediately after privatisation, those Rail Partnerships which had already been established often found themselves in very challenging circumstances when trying to engage with the new privatised rail companies:

'So for a period from '95 to '99 ish, the Partnership was very much about survival, was very much about how can we get a better deal for users. The lobbying turned from privatisation, to timetables, how can we get better timetables, let's pressure these bastards to do better timetables.... From what I recollected, the Partnership became much more of a Local Authority versus the railway industry for a short while because people in *[name(s) deleted]* really didn't want to know... I mean there were franchise plans but it was very difficult to actually find out the details of what the franchisees were actually committed to... As there wasn't a commitment in their franchise to support the Community Rail Partnerships at that time, relations really didn't improve, to a great extent, until Wessex arrived on the scene and then again that was due to an individual.' (Driver 7)

It was little better with the new infrastructure provider:

'The pendulum swung completely in one direction after privatisation. It was not just a question that a lot of expertise and experience was lost, it was actively discouraged. I mean there was a new breed of people running Railtrack then, who locked everything up in a cupboard and started with a blank sheet of paper. I think that was one of the reasons for their downfall, that they never keyed into experience.... That changed though, sort of, post Hatfield, I don't think the two are related but when Railtrack gave way to Network Rail there was throughout the industry a slightly different approach. I mean I suppose, I was quite surprised to be asked in 1999 to go and work at the SRA because I was very clearly old school ex-BR, but by that age they were actually looking for a mix of people, people with that sort of experience and people with the

experience outside the rail industry. And it became much better balanced. So I think that was one of the things and that's part of the sort of what you might call The Wasted Decade after privatisation, that lesson.' (Driver 6)

6.2.3 New Broom, New Thinking; Preparing the Community Rail Development Strategy

With the arrival of the New Labour Government in 1997 came the development of the Transport White Paper *From Workhorse to Thoroughbred*, explored in more detail in the next section. Community Rail Partnerships were again on the increase and had formed a new trade body – the Association of Community Rail Partnerships (ACoRP) with a coordinated approach of national level engagement with core rail stakeholders, and with a central resource to make it happen. Also around this time in 2001 a new Head of the Strategic Rail Authority (SRA) Richard Bowker was appointed with a more positive approach to collective partnership working. But the SRA had a big challenge on its hands in being tasked to bring the costs of the railway under control. As commented upon by one interviewee:

'it was evident that the horns were going to have to be drawn in. The Rail Passenger Partnership Fund disappeared and there started to be quite a lot of looking at the level of service provided and it was clearly getting back towards looking at do we need all this railway, do we need ten and a half thousand miles of railway.' (Driver 6)

It was commented that Richard Bowker himself could see this coming and asked personally whether anything could be done to avoid what was otherwise going to be a very difficult period of entrenchment. This enabled the SRA to provide dedicated resource to take forward and develop a new Strategy for rural rail lines. This activity led to a detailed consultation process in early 2004, leading to the full Community Rail Development Strategy in November 2004 as detailed within Chapter 3. However, the

final 2004 Strategy was not necessarily reflective of the approach initially envisaged by the SRA when starting the 2004 Strategy development work:

‘I hadn’t quite envisaged it working out in the way that it did until we actually sat down and tackled it. I suppose I’d envisaged it involving more of the micro-franchising approach, the sort of thing that Paul Salveson had been advocating and written very eloquently about. As we got into that it was evident that was going to be quite difficult and take quite a lot of time, and was quite the opposite of the Railtrack (now Network Rail) culture which really was quite possessive of the network. I can’t remember when *[name(s) deleted]* was appointed actually, it must have been late 2004 or early 2005 I suppose, and immediately changed things because he was a guy whose responsibility was as account director for this whole area and suddenly lots of barriers were broken down and there was somebody sensible to talk to and discuss things, see what was possible. So it was quite good to have a coherent strategy which you could start to deliver in the short to medium term which everyone appeared to buy into at a sensible way forward. And I knew very well in preparing this that if we got this right and it was accepted, it would make the whole business of retrenchment and closures very much more difficult to implement.’ (Driver 6)

This compromising, but pragmatic approach in trying to bring all sides of the rail sector together behind a single Strategy was confirmed as a theme replicated within other parts of the industry:

‘There was a conference at Earls Court, where there was a lot of discussion about this new idea Community Rail and where it was going. I managed to wangle attendance and found my now boss *[name(s) deleted]* Group Director of *[name(s) deleted]*. She and I talked over the break and the conversation was basically this is something we ought to be looking at, we are going to be growing the railway, we need to get involved in here..... I said I felt we need to actually address this properly with somebody working at the centre with DfT and with some of the partnerships to try and move some of the ideas forward. So her response was yes she thought exactly the same thing and did I want the job. Pretty quickly after that was the creation of the Community Rail role, specifically to work with the DfT with ACoRP and with the Community Rail Partnerships around the county..... To understand what our input to that should be, bluntly there was a bit of expectation management in that, but equally it was about looking at what opportunities are presented for us as a business and for the railway in general, to understand what input we could have and how to move the Railway Agenda forward.’ (Driver 5)

These comments from stakeholders involved at the very start of the 2004 Strategy Development process encapsulate a number of recurring themes which are evident throughout this thesis – the role of individuals; the challenge of partnership working; and the compromise between realising real value against the need to keep all partners on side. These are all themes explored in this and the forthcoming chapters.

6.3 New Labour and a New Approach to Transport and Land Use Planning

6.3.1 The 'New Deal' and Introduction of the Local Transport Plan Process

Prior to 1997 local authority capital transport funding was awarded annually by central government through the Transport Policy and Programme (TPP) process. The TPP framework addressed only capital expenditure, and included competitive bidding for integrated packages of local measures such as cycle and bus lanes. The only active approach to transport planning consultation was through the statutory planning process and its requirement for local development plans to contain transport policies. This was reflected in a note of desperation from the Department of Transport in 1995 which stated:

'There are no statutory requirements for communities to be consulted about the overall transport policies expressed in TPPs. But it would reassure the Department to know that at least the general strategy underlying and authority's TPP has the support of a majority of local people. We recognise that in practice this might be hard to achieve, but indications of the outcome of any public consultation on policies, schemes and programmes would be helpful.' (Department of Transport, 1995).

Under New Labour, the Government's stance on the matter was set out in the White Paper: *A New Deal for Transport: Better for Everyone* (DETR, 1998). The White Paper made clear the Government's understanding of the spatial (land use) planning system

and how it was seen as being a key component of an integrated transport policy, capable of reducing the need for travel and auto-dependency through encouraging sustainable travel choices (Headicar, 2009; Enoch and Potter, 2003). It aimed for 'integration' between different types of transport, with the environment and between the spatial planning system and other policies for education, health and economic development (DETR, 1998).

The 'New Deal' White Paper also made substantial advances in the scale and quality of local authorities transport planning activities, through the introduction of the Local Transport Plan (LTP) concept, as a replacement of Transport Policies and Programmes, and which were introduced through the Transport Act 2000. The Transport Act 2000 delivered a statutory requirement and framework for local transport authorities to produce a Local Transport Plan (LTP) every five years and to keep it under review. The new framework attempted to bring together transport with social, economic and land use dimensions. Whilst still focused on capital expenditure, the first LTP (LTP1) covered a five year period from 2001 to 2006, and for the first time highway authorities received an indicative five year funding allocation based on an initial assessment of their Plan submission. For each of these years, the Authority was then subjected to an annual performance monitoring exercise where the forthcoming year's budget could be increased or decreased by up to twenty five per cent based on performance.

When preparing the LTP1s, each highway authority had to demonstrate how it would meet a series of thirty five defined output focused core Government 'Best Value Performance Indicators' (BVPI's) for transport, against which national benchmarking

could be applied. Highway authorities also had the ability to include additional target indicators prioritised at a local or sub-regional basis, an early acknowledgement of the shift in emphasis towards more local and regional governance. The move away from the administratively intense annual TPP process was welcomed by highway authorities, who regarded these first LTPs as more responsive and inclusive and offering central government core annual data on the national transport indicators for comparative review. The LTPs were assessed through a joint approach between an expanded Government Office Network within the regions, whose Department for Transport (DfT) Officers led on the LTP appraisals utilising local knowledge and context, and the core policy officers in the DfT head office in Whitehall who reviewed indicator values against national policy aspirations.

It was through this Government Office feedback process that a significant shift from 'output' based indicators to 'outcome' based indicators was developed for the second round of Local Transport Plans for the period 2006-11 (LTP2), a move which paved the way for an enhanced role of Community Rail Partnerships in contributing directly towards the key performance indicators. Whilst the role of the Government Offices and the Local Transport Plan process can be traced back to the LTP1 guidance and appraisals, it is their enhanced role in the management of both LTP2 and the Local Area Agreement process which is of key interest to my research, and which is explored in more detail in both Section 6.4.2 for LTP2 and in Chapter 7 for the Local Area Agreements.

6.3.2 Rural Policy Change and its Embracing of Community Rail Outcomes

Whilst primarily focusing on core transport policy and governance change, it is recognised that Community Rail in many areas also plays an important role both within, and responsive to, the separate rural policy agenda. Publications such as the Department of National Heritage's report *Sustainable Rural Tourism – Opportunities for Local Action*, published in 1995, and the Department of the Environment's White Paper *Rural England, a Nation Committed to a Living Countryside* also published in 1995 both drew heavily on the work and successes of the new-localism based approach championed by Community Rail Partnerships significantly raising their profile within government. The importance of this work continues today in linking CRPs with rural and tourism related outcomes and was a focal point of some respondents including:

'In terms of the sustainable transport framework, getting people to migrate from the private car to the train as a more sustainable means of transport is the ultimate aim. As an interim step I think you've got to accept that because we can't cure the problems of getting from your house to the rail link at the other end, yes people will come by car, then I think having the ability to leave the car and given them a sustainable transport alternative when they're here is the next best thing.' (Participant 3)

This recognition of the value of Community Rail Partnerships in delivering wider rural and cross departmental policy objectives was further enhanced in 1996 with the publication by the University of Plymouth of two economic focused reports on rural rail: *Rural Rail Branch Lines as Axes of Economic Regeneration*; and *Valuing Rural Rail Branch Lines – A Methodology for Investigation and Guide for Potential Researchers*. These reports by Martin Mowforth and Clive Charlton provided a detailed evidence

base of the economic contributions made to rural areas served by branch lines, providing more quantified analysis of the types of issues initially raised by Hillman and Whalley in 1980 and the outcomes associated with the rural policy of the government as outlined in 1995 by the Departments' of National Heritage and Environment, above, as well as by the National Parks – a tradition that continues today:

‘Certainly, from a planning point of view, we see a lot of benefits in the line and, you know, I highlighted quite a few yesterday certainly from a climate change point of view. Reducing CO2 emissions its high on our agenda as a National Park, and we see the line as a mechanism to get people out of cars and on to the train, bums on seats, that is one of the objectives, obviously, of the CRP. Getting people into the park, for tourism that particular aspect.’
(Participant 11)

With particular reference to National Parks, as discussed by Kendal, Ison and Enoch in their *Transport and UK National Parks: Issues and Policies* paper (2011), the issue of promoting sustainable access to the Parks, whilst itself was well supported, the ability to introduce more stringent demand management measures to encourage this was less successful. Publications such as the Edwards Report as early as 1991 were recommending public transport plans, comprising explicit policies for public transport (Kendal, Ison and Enoch, 2011). It was against this background that in 1991 Dartmoor National Park became a founding member of the Devon and Cornwall Rail Partnership as discussed in Section 3.5.2, as the Tamar Valley Line, one of the case studies within this thesis, was considered part of a sustainable gateway to the National Park. In a review of literature associated with the changing nature of rural governance aligned with the arrival of New Labour, this fundamental shift towards localism is also recognised. In rural areas, the blurring of the traditional roles of government and non-governmental sectors had already started prior to New Labour and involved the

development of new structures both informally (Curry and Owen, 1996) and in response to national and supranational policies and programmes.

Connolly and Richardson (2004) argue that the change in rural governance marks just such a period, characterised by the institutional shift towards partnerships and other ways to engage stakeholders in policy-making processes, and the shift in societal values away from a reliance on trusted representatives towards demands for more direct engagement in decision making. They argue that within rural governance there is a recognised need to secure legitimacy as a pre-condition for effective governance and as a means of promoting their interests. A need, which I believe, applies across the wider spectrum in the roll out of new localism governance structures and its encompassing of the wider transport planning activity.

6.3.3 Regional Governance and Influence on Transport and Land Use Policies

In parallel to the introduction of Local Transport Plans, rather than abandoning core Conservative actions of the mid 1990s, New Labour also sought to build upon and re-focus early attempts at governance change. This is no more true than in their extension of hollowing out, and enhancing the role of the regional scale throughout England with the creation of the Regional Development Agencies (RDAs) and Regional Assemblies (RAs), and the extension of the remit of the regional Government Office (GO) network as introduced by John Major.

In 1997, John Prescott, the Deputy Prime Minister and Head of a new Department for the Environment, Transport and the Regions (DETR) published a White Paper on the

creation of new RDAs for each individual English region. The White Paper clearly stated that by providing a leadership role through the preparation of statutory Regional Economic Strategies (RES) it was hoped that this would instil a sense of regional identity and build support for an elected assembly in due course (DETR, 1997). In the meantime, in order to address the accountability issue, the government invited the regions to establish voluntary regional chambers, later referred to as Regional Assemblies (RAs), with responsibility to review the RES on an annual basis. This 'filling in' was to be achieved by building upon existing local authority regional collaborative structures concerned with planning and economic development issues (Mawson, 2007). Both the RDAs and RAs became formalised under the Regional Development Agency Act 1998, with core functions of the RAs to:

- Channel regional opinions to the business-led Regional Development Agency;
- Coordinate with national government bodies and the European Union;
- Formulate a Regional Spatial Strategy (RSS); and
- From 2004 the Assembly was also the Regional Housing Body responsible for producing the Regional Housing Strategy.

The eight assemblies established sought to do this by taking on the responsibility for drafting regional planning guidance, a role previously undertaken by the Regional Government Offices (GOs), and in identifying and presenting local regional opinion to the RDAs.

In his review of governance in the English regions, Mawson (2007) identifies a critical problem associated with the role of the assemblies. He argues that whilst the GOs

and the RDAs already had sophisticated collective structures for engagement with senior officials and Ministers, there was no such access in Whitehall for the RAs. Mawson revealed that most departments had little understanding of the roles and responsibilities of the assemblies, which they saw primarily as 'sounding boards' with few executive or statutory functions. Senior Treasury officials admitted 'we know little about the way in which strategies are prepared and co-ordinated at regional level' (Mawson, 2007).

Over the intervening years, and particularly after the 2001 general election, the role, responsibilities and funding of the RDAs and RAs steadily, but progressively increased. The 'Modernisation of Government' White Paper (Cabinet Office, 1999), highlighted the value of devolved policy and service delivery and the need to clarify the role of government at a regional and local scale. The RDAs were given a new owner in the form of the Department for Trade and Industry (DTI) with additional responsibilities relating to skills and enterprise, and with the Treasury agreeing to a flexible funding regime or 'single pot'. Further, a regional dimension was introduced to the newly established Public Service Agreements (PSAs) negotiated between the Treasury and individual Government Departments as explored in Section 6.7. With the new administration introducing such significant change at the regional and local scale within such a short period of time, it naturally took time for the changes introduced to local transport planning through LTP1 to integrate and align with the increasingly regional approach to spatial and economic planning through the RAs and RDAs. In essence, as highway authorities had already published a five year plan to 2006 without any alignment with a regional agenda, the LTP1s were playing catch-up in this new game.

6.4 Hollowing Out and Filling In - A Multi-Scalar Policy Approach

6.4.1 Aligning and Integrating Land Use, Transport and Economic Agendas

In December 2001, the DETR published a Green Paper on Planning, including a proposal for a regional land use plan. These Regional Spatial Strategies (RSS) as they became known were to be delivered through an enhancement of the network of RAs. These new RSS would formalise, for the first time, the alignment of both sectors of local government in relation to transport and planning responsibilities. Under the legacy system of local government, unless you were a largely urban based Unitary Authority such as Plymouth, Bristol or Nottingham with combined functions and responsibilities, it was the county council as Highway Authority who had responsibility for transport planning, road maintenance, public transport, on-street parking, road safety and vehicle emissions. However, it was the second tier District Councils who had responsibility for planning, concessionary travel and off-street parking. Whilst in many areas a good working relationship existed between the two tiers, this could not always be guaranteed.

The revised RSSs were thus to provide spatial visions for each region, inclusive of a strategy for their achievement and implementation (Headicar, 2009). A Regional Transport Strategy (RTS) was also to be prepared as part of the RSS, and RDAs were seen as being best placed to develop both in close collaboration so that the transport implications of the economic/planning strategy could be reflected in the planning guidance and *vice versa* (DETR, 1998). The RTS was tasked to ensure that the necessary infrastructure to support the development of the region as a whole was promoted and received sufficient investment (DETR, 1998). Furthermore, the RTS had

to contain contextual information and policies to steer the public transport accessibility criteria for significant types of development; the approach surrounding car parking standards; guidance on the contribution of ports and airports in the region; transport investment and management proposals; regionally important traffic management issues and new measures such as road user charging (DETR, 1998).

Mawson (2007) argues that under the encouragement of former Prime Minister and Chancellor Gordon Brown, the Treasury has gradually become more engaged in these regional governance issues. In 2005 to 2006, the Treasury, Office of the Deputy Prime Minister (ODPM), DfT and the DTI collectively published Regional Funding Advice (RFA) for housing, transport and economic development with the proposal to transfer a significant proportion of central government expenditure in these areas to the Regional Assemblies for an initial period up to 2015 (HM Treasury, 2005).

Each region was invited to identify its priorities (including the possibility of virement) with the presumption that they were likely to be accepted subject to a sound case. The aim was to provide certainty and facilitate long-term planning and coordination of spatial, economic, housing and transport plans. In each region the process was coordinated by the GO with active involvement from the RA. Whilst this was seen as a positive move however, the exclusion of rail in the first round of funding limited the ability to provide an integrated transport strategy (Doherty and Shaw, 2008).

6.4.2 Local Transport Plan 2 Development and Support for Community Rail

Whilst introduced in some detail in Chapter 3 and central to this thesis, the timing of the development and introduction of the Community Rail Development Strategy is significant to its place in local transport planning policy and the development of Local Transport Plan 2. The Strategy, developed in early 2004 and published later that year, provided a broad framework within which local and rural lines could be developed as part of a wider approach to local transport planning, and a recognition of transport as a cross-cutting theme in supporting environmental and economic outcomes. The emerging 2004 Strategy outlined that achieving its objectives would depend on partnership and on active support from a wide range of stakeholders including local authorities, rail operators, users and community groups.

Following feedback from practitioners and stakeholders, the LTP1 process was itself subject to a significant consultation exercise to create an enhanced and refined process for LTP2. With parallel work already underway in developing the 2004 Community Rail Development Strategy in advance of the publication of the new guidance for LTP2, and in recognition of the contribution CRPs were making to the LTP1 outputs, it was the GO Network that played a key role, along with the SRA and ACoRP in encouraging the LTP Policy Makers at the DfT in Whitehall that Community Rail should be specifically mentioned within the guidance for LTP2.

This engagement process recognised that the outcomes of the emerging Community Rail Development Strategy could be reflected within the four transport priority outcomes shared between central and local government – those of congestion

reduction, improved road safety, enhanced accessibility and better air quality, being developed for Local Transport Plan 2. This, together with both the associated objectives of supporting local economic growth, social inclusion and environmental improvements and the wider recognition of the work of a CRP in delivering cross Departmental outcomes, all made the Strategy very relevant to the cross-cutting, inclusive and partnership based themes being developed as part of a wider local transport planning debate. This led to a detailed inclusion in the consultation draft of the LTP2 guidance as outlined in Figure 6.1.

Figure 6.1. CRP Reference in Local Transport Plan 2 Consultation Draft Guidance

Delivering value for money LTP solutions through railways

Consistent with its desire not to focus on particular modes or scheme types, the Department is prepared to consider supporting rail projects with LTP funds in the second LTP round. Local authorities with ideas for achieving a successful integration of local railways with other local transport modes and services are invited to develop those ideas as part of their new LTP. The Department anticipates that some local authorities will wish to include proposals relating to local branch lines managed under Community Rail Partnerships involving the local authority. The Strategic Rail Authority expects to publish a Community Rail Development Strategy shortly; in the meantime further details of this initiative are in its consultation document at

www.sra.gov.uk/publications/consultation/comm_rail_development/community_rail_develop_pub .

Source: DfT Draft LTP2 Guidance, July 2004.

With widespread support from the consultation process, the inclusion of a positive reference to Community Rail activity with very similar wording to that outlined above from the draft guidance, made its way in to the final LTP2 guidance, with dedicated sections on rail on p. 54, paragraphs 248 and 249. (DfT Full Guidance on Local Transport Plans-Second Edition, 2004). The Community Rail Development Strategy was also included within the 'Best Practice and Further Links' section of the guidance (p. 78). The extent to which highway authorities responded to the guidance remained varied, as reflected within the review of all Local Transport Plan 2 submissions of all

highway authorities served by the six case study Community Rail Lines as detailed in Chapter 5. In some areas, such as Lancashire and the Isle of Wight, the authority had embraced the guidance in full and included Community Rail as a fully integrated activity of the authority, others, clearly less so.

6.4.3 Local Transport Plan 2 Alignment with New Regional Processes and Policy

Such was the emphasis on alignment with regional processes for LTP2, the DfT incorporated a requirement for LTP2s to be aligned with the delivery of their areas Regional Spatial Strategy (incorporating the Regional Transport Strategy), the Regional Economic Strategy and the lower tier Local Strategic Partnership strategies such as the local (Sustainable) Community Strategy. The guidance produced by the DfT for the second round of LTPs (LTP2s) required a distinction between the LTP2 and the 'local transport strategy' (Headicar, 2009), as set out in the DfT's 'Full Guidance on Local Transport Plans' (2004) where the term local transport strategy referred to an area's RTS, and associated regional and sub-regional transport policies:

'The purpose of the LTP is to set out how the local transport strategy translates to a policy implementation programme, and a set of targets and objectives, over a particular period - in the case of second-round LTPs, the period 2006 to 2011.' (DfT 2004, Part 2 para 4).

The guidance also confirmed that:

'There is no requirement to include local transport strategies in full in LTPs. However, the Department will, in its LTP quality assessment, look for evidence that a well-considered strategy exists. Authorities should therefore consider including in LTPs either a summary of longer-term transport strategies, or references to where relevant strategies can be found.' (DfT Part 2, para 6, 2004).

In total the DfT dedicated one sixth of the total appraisal marks of an LTP2 to its context. Unlike LTP1 where, as the transport departments of a Highway Authority were most likely to have been the largest funder, the CRP outputs at a County level would be measured against supporting the relevant BVPI indicators, LTP2 allowed the CRPs to demonstrate a much higher level of value in relation to local indicators, cross-cutting areas, education policy, rural policy, tourism, land use, accessibility etc.

6.5 Community Rail Alignment With This Wider Policy Landscape

6.5.1 Awareness and Understanding of Community Rail within LTP Policy Teams

Ownership of the responsibility for preparing and delivering LTPs varies from one local authority to the next. In some councils, LTP2 responsibility lay with a Highway or Engineering Team, whilst in others it is within a more generic Transport Planning Policy Team. It has to be considered that the backgrounds and mind-sets of those individuals tasked with preparing the document may well have had an influence as to the Plan's content, development, emphasis and structure. It has been observed through this process that those officers within a highway authority who already had an existing relationship with the CRP and awareness of the 2004 Strategy in an operational capacity, more often than not were from a public transport team and not from within the Transport Planning Policy environment. This raised, and continues to raise, issues around internal as well as external communications relating to how LTP2 and other transport policy documents were and are developed:

'Aware of the Strategy? Apart from myself and maybe *[name(s) deleted]* I should imagine that's about it.' (Participant 8)

This potential for the segregation or isolation of internal knowledge and awareness, together with the DfT's change in emphasis from a concentration on physical outputs from LTP1 i.e. KM of bus lanes, to that of an outcome based approach in LTP2 i.e. % growth in bus patronage, sometimes challenged the more traditional approach as to how to prepare Plans to access money for transport from Government. Ensuring awareness of an existing CRP, the 2004 Strategy and how the role of Community Rail met and supported the LTP2 outcomes, was therefore important in enabling LTP2 policy makers to have confidence to include Community Rail within the Plan, and hence to enable Partnerships to be able to demonstrate value for its Highway Authority members. In some areas this clearly required a steep learning curve process for those tasked with developing the LTP2. When asked how aware LTP policy managers were about Community Rail and the 2004 Strategy when initially considering LTP2 development, responses included:

'I'd seen some of the marketing leaflets and stuff, you know, but not really a lot, to be honest.' (Participant 8)

'To be fair, we've just done a consultation document for the LTP and rail travel is not in the document at all.' (Observer 2)

However, a much more typical response was confirming that such an educational process had already taken place or was taking place when developing LTP2:

'There has been a shift really, the local authorities originally with the first LTP really saw rail as someone else's responsibility. It's not really anything to do with us, there has been a shift at the sort of highest level, if you like, of the local authorities about the role that rail can play now and now we've got authorities that were, I think it is fair to say, were indifferent to rail at one point and took the view that, as I say, it's not anything to do with us, now taking a more active role in developing partnerships and being prepared to spend local transport plan money on rail direct.' (Participant 10)

For some LTP2 managers this created a challenge in relation to their understanding of the role and place of Community Rail within the Plan and within the wider Transport Strategy of the local authority:

‘From my point of view I am in a dichotomy really, is it all about that community partnership working and actually grass roots stuff, the sponsorship with the football teams, the hanging baskets that works and gets people on the train or should we be taking a much more strategic view and thinking actually what is the role of these services, and as I said earlier you know, should we be looking at actually defining what the role is and looking at how that plays in with the other transport, so how does it compete with the buses, are they different roles, why should we be putting this money into trains and just having a commercial market for buses. So I am a bit stuck really as to which is the better and perhaps it is just a mixture of the two, trying to achieve strategic objectives but then not lose sight of the grass roots stuff.’ (Participant 4)

For others, as demonstrated within the positive inclusion of Community Rail within the LTP2 submissions detailed in Chapter 5, this was seen as a natural progression of an existing commitment to and understanding of the role of Community Rail:

‘My impression from the time I’ve been with *[name(s) deleted]* is that the Council has always been interested in rail, and been prepared to go beyond its absolute responsibilities into looking at rail services almost on a similar basis to looking at road-based, bus based, schemes etc. I think because that it has always featured within the LTPs. We’ve always had, not large amounts of money, but, we’ve always contributed to try and do station improvements, to do publicity, to do information on the station. And equally, you know in the past, pre-LTP, I suppose *[name(s) deleted]* has always been committed to rail.... I would have to say it was largely a collective commitment. I mean, going back again to pre-LTP days, in the days of our committees and subcommittees, there was always support to do the Rail Partnership.’ (Participant 7)

Overall, the research identified that staff engaged within a second tier highway authority, with responsibility for Transport Planning had, over time, developed an active awareness of CRPs and local rail, if not the full CRP strategy.

6.5.2 Valuing the Role of Community Rail in Meeting Outcomes within LTP2

The purpose and value of Community Rail engaging in the LTP2 process is two-fold. Firstly, there is a recognition that Community Rail, the partners it brings to the table, the engagement with the community, and the outcomes that it delivers, can contribute to a highway authority meeting its own aims, policies, objectives, strategies and targets. It therefore has a value to the authority which can be measured, quantified and promoted. Secondly, by being able to quantify such value strengthens a Partnership's own ability to validate its own role through its alignment with such statutory processes, which in turn affords it more protection in relation to on-going funding and its ability to harness support for new resource and other opportunities. This approach was clearly evident in the interview process:

'From the transport authority point of view it is making better use of an existing resource, it is bringing focus to it, it is bringing the partnership together which is driving and encouraging more people to use the service and addressing that affects the delivery of the service, so from that point of view we are making better use of the facility and making it work harder for us so it is helping us meet our local transport plan objectives.' (Observer 4)

'I think the railway has a lot to do with helping us achieve our objectives at LTP, including climate change, helping enhance the environment, access to countryside, and tourism as well, so I think it's very important to *[name(s) deleted]* as an asset.' (Participant 5)

'We didn't used to have a rail officer, but why we have got one and why we promote Community Rail Partnerships is the carbon reduction agenda and of course it relates to access to services but there is a significant drive in *[name(s) deleted]* because of the emphasis on travel to get access to key service centres to reduce our carbon footprint, so that is a very critical area.' (Participant 9)

'I've had them send LTP consultations personally to me which we've gone through together, two heads are better than one. *[name(s) deleted]* will respond to the LTP on his own behalf but he will often ask me, like for instance when he had to give a breakdown of the whole line and its area, he sent the document to me just to check over a few things, and I just amended, you know, where there were certain assumptions that weren't right.' (Subject 9)

However, whilst all very positive, it was equally clear from those engaged in LTP provision that in today's economic environment, every element has to earn its keep:

'Where it is non-statutory, we haven't got a cat in hell's chance. So it is going to be really difficult. I have just come from a scrutiny meeting this morning looking at the 1.7 million quid that we have to find from our capital program.'
(Participant 9)

Overall, the research identified how the alignment of Community Rail outputs with the statutory LTP process, and the quantification of its value to such process outcomes, is regarded by the significant majority of respondents as providing a CRP with a greater chance of financial stability in a very challenging financial environment.

6.5.3 Community Rail and its Place within Regional Transport Policies

Whilst Section 6.5.2 considered the place of Community Rail within LTPs, and Chapter 7 considers the role within the Local Area Agreement process and new sub-regional and local governance mechanisms, the research also considered whether, for the case study lines, Community Rail had been considered within the context of developing the Regional Transport Strategies (RTSs). A desktop review of each of the Draft Regional Transport Strategies of each GO region containing a case study line was completed, and whilst no RTS referred directly to either Community Rail or the Community Rail Development Strategy, there are a significant number of positive references to the need to protect and encourage local rail, and to develop and encourage sustainable transport, particularly in the context of new planning developments.

As part of this approach I included the subject of regional policy and rail, when interviewing officers engaged in such policy making but who were also partners of the Community Rail case study areas. It was clear that at this level, the place of Community Rail in relation to regional policy had been considered. In most cases the responses were very positive about the role of Community Rail:

‘We are taking on the strategic voice for rail for the sub-region. Pretty much from day one the authorities have looked to us to lead on all rail issues, and particularly with the line being largely out of the region but, obviously, playing a key role as a key link into that region, they look to us to take a lead on input into this partnership. We obviously have wider rail issues, and clearly this is just one of many, and some would argue it’s not the highest priority, but it’s clearly key, given its priority and its profile as a Community Rail line, and we have learned and been able to develop our own relationships on the back of Community Rail. We see the Line as a key part of the city region rail network, and we don’t draw the line at our administrative boundary.’ (Participant 10)

I also sought to explore this in a wider context of the role of rail within a sub-regional area and the relationship between local aspirations and sub-regional and regional/national policies, as best outlined below:

‘It is very much in our corporate director's mind, as you would appreciate rail plays a significant part in two things in *[name(s) deleted]*. As a spread out and thinly populated county so the rail network does provide a local service. I know on the West Coast mainline that it conflicts with how Virgin in particular see the functioning of the mainline mainly as a strategic network to get people to get to the Southeast. So there are tensions there between the way the Council view the network for access, and Virgin in particular, but we were also exposed to the fact that DFT take a similar view on the mainline.’ (Participant 9)

This is particularly interesting as the research highlights an issue of internal Department for Transport policies conflicting with each other. On the one hand central government seeks to hollow out responsibility for transport provision and priorities, stating that at a regional level it should be local actors making the decisions

in line with the neoliberal approach to governance outlined within the literature review in Chapter 2; and on the other, seemingly for mainline rail only, contradicts localism in favour of national priorities where delivery is engineered against a region's wishes through the franchise process.

As part of these discussions I also explored the relationship between a CRP and the regional institutions of their area, and almost exclusively, the research identified that there was little evidence of CRPs having particularly positive relations with regional institutions such as the RDAs, once they had taken over responsibilities from former government agencies such as the Countryside Agency. This was typified by the following comments:

'We might go to a meeting but we do not do the direct talking to an RDA, I mean we've done our best to engage Northwest MWDA but we've had problems. We had a lot of problems there, he didn't seem to like rail, but we eventually prised money out of them for bits and bobs of projects but they never really like rail, I mean they gave us some money towards *[name(s) removed]* but they just didn't understand us.' (Subject 8)

'When the countryside agency were sort of moved out of being the delivery body and it moved into the regional development agency, those soft targets became rather large in terms of financial outputs and far more business orientation, and what we recognised was that in fact in this area there were not the bodies to take forward of these particular types of projects.' (Participant 2)

These interviews also considered the subject of regional working across tiers of local government and both the wider role of public transport support from within the Planning system, and how the transport policies of the District Council tier could support Community Rail and *vice versa* as considered in the next section.

6.6 Community Rail and the Transport and Planning Policies of a District Council

Having considered in detail the role of Community Rail within highway authority (county and unitary) policies, I sought to consider its place within the policies of District Councils who traditionally have been supportive of, active engagers with, and obtain representation on Community Rail Partnerships. In particular the research focussed on two core areas of District Council policy: Planning; and Concessionary Travel.

6.6.1 Community Rail and District Council Planning Policy

In a two-tier local government area, it is the District Council which is responsible for planning policy through a Local Development Framework (LDF), and the County Council as highway authority for most areas of transport policy through the Local Transport Plan (LTP) process as detailed in Section 6.4.1. Whilst the aforementioned transport and planning policies overlap one another in terms of their ambition for the built environment to be highly accessible and sustainable, both financially and environmentally, the extent of their joint influence is only partial. Planning policies are applicable in localised planning areas, and take account of transport as one aspect of a much wider package of considerations; whereas transport policies tend to apply over a much larger area, and depending on the relationship with the District Council may have limited influence on local planning policy or decisions to the extent that they should, considering the shared objectives.

Section 106 of the Town and Country Planning Act 1990 allows a local planning authority to enter into a legally-binding agreement or planning obligation with a developer in association with the granting of planning permission. The obligation is termed a Section 106 Agreement. These agreements are a way of delivering or addressing matters that are necessary to make a development acceptable in planning terms and to mitigate the impact that the new development would have on local infrastructure and services. This has often led to conflict where planners at a District Council award planning consent for developments where little or no Section 106 resource is paid to mitigate the transport impact of the development.

The fieldwork explored the relationship between district and county representatives in relation to transport and planning obligations and how, if at all Community Rail had been involved. When initially enquiring about levels of engagement between the two tiers of local government in relation to transport and planning, an initial response from a highway authority representative did not seem encouraging:

‘There is political pressure not to have another tax on development and that is how tariffs are seen. So when I first came to *[name(s) deleted]* I was surprised that the scale of development contributions were very small compared to my authority in *[name(s) deleted]* and we have been working with the districts to try and improve the amount of developed contributions and the range. It has taken a long time to get to where we are and it takes I have to say new personnel coming in from different areas in local planning authorities to agree with us that we are not taking as much of the opportunities as we can.’
(Participant 9)

When talking with a planning officer from a second tier authority about their awareness and inclusion of transport in planning decisions, the response received was:

'I am aware that there is a local transport plan, I couldn't really tell you what was in it.' (Recruit 7)

and when enquiring further as to whether another District Council had a rail policy in its Local Development Framework (LDF), received a response of 'No, not really' (Recruit 1). There were pockets of encouragement though when enquiring to one District Council representative of a CRP Management Committee whether their council has a Section 106 policy for sustainable transport and rail:

'Not until I stepped in. All the 106 money was always going to rather unnecessary forests of traffic lights that nobody uses and to improvements to the roads and this sort of thing and until I stepped in and said.....well I particularly remember giving permission for block of flats next to *[name(s) deleted]* station and there was a 106 agreement and I said 'I want that 106 agreement for the station' and that was agreed. It's not been done yet because the developer hasn't made any progress. So when the 106 does arrive, it's earmarked for being spent at the station, and it's the rail partnership who get the 106 money.' (Subject 2)

Overall, the research identified a very low awareness and application by District Councils of sustainable transport and local rail issues within the statutory planning process. As the Draft Regional Spatial Strategy (RSS) work had underway for several years and was in its final stages in all case study areas at the time of the fieldwork, and which because of its statutory nature would have required the alignment of transport and planning policies across the two tiers, the research led me to conclude this as an indication of failure by the District Councils in recognising and applying their duty and obligations to sustainable transport. As all District Councils interviewed were full CRP Members, it raised further questions about the level and depth to which such an authority converted its external stated commitment to a CRP into internal actions.

As reviewed in Chapter 5 with all LTP2s already taking in to account the Regional Transport Strategy and alignment with the RSS in considerable detail (in particular the policies relating to sustainable transport) due to their re-submission date of 2006, the move by District Councils to do the same via their Local Development Framework (LDF) process could have had significant implications and opportunities for Community Rail. As a statutory document, if an LDF or subsequent planning decision taken by a Planning Authority fails to adhere to the policies of the RSS, including those RTS policies relating to the promotion of local rail and encouraging wider sustainable transport, then this will be sufficient grounds for a challenge to the planning consent. This was expected to deliver for the first time a real alignment of district planners and highway authority policies.

6.6.2 Community Rail and the District Council Community Infrastructure Levy

As an alternative to, or to complement a planning authority Section 106 Policy, and to assist in ensuring a fair and equitable approach is applied within a region, the Government introduced through the Planning Act 2008, a new process called the Community Infrastructure Levy (CIL). The Community Infrastructure Levy (CIL) empowered local authorities in England and Wales, but not required, to charge a levy on most types of new development in their area (DCLG, 2008). CIL charges are based on simple formula, which levies a charge based on the size and character of the development proposed. The proceeds of the levy are spent on local and sub-regional infrastructure to support the development of the area.

The original purpose was that CIL would improve predictability and certainty for developers as to what they will be asked to contribute, would increase fairness by broadening the range of developments asked to contribute, would allow the cumulative impact of small developments to be better addressed, and would enable important sub-regional infrastructure to be funded. With the planning authorities collecting the CIL and aligning it to the RSS priorities including RTS priorities and commitment to sustainable transport, the CIL was initially regarded as having real potential to support local and Community Rail. In one interview with a highway authority officer in a two tier area, plans to utilise the CIL to be applied by the districts for sustainable transport were already underway:

‘From that date in our new restructuring all development managing matters including LDF’s and CIL and all that lot comes to me or has come to me.... We are talking hundreds of millions of pounds, so that has been part of the process of identifying developer contributions.’ (Subject 2)

The CIL process has real potential to have led to a permanent, ongoing income stream for operational and promotional improvements to Community Rail within a region.

6.6.3 Community Rail and District Council Concessionary Travel Policy

Whilst District Councils have significant indirect transport responsibilities through the planning system, they are also directly responsible for two additional core transport areas – off-street parking, and concessionary travel. Whilst off-street parking has not been considered within this research, the role of concessionary travel has. Concessionary travel is the provision of transport related support to elderly and disabled residents within a defined area to improve accessibility. Support for

concessionary travel has been a long supported policy of recent governments, and whilst most responsibility relating to transport and bus travel remains with the highway authority; it is district (and unitary) councils who have the statutory responsibility for supporting concessionary travel. Their official duty for this is as a Travel Concession Authority (TCA).

Historically, TCA funding for concessionary travel was provided to the TCA directly from Government as Grant Related Expenditure (GRE) specifically for the task in hand. In 1990/91 however, as part of a simplification programme of local government finance, the concessionary travel GRE became included within a new funding distribution formula, known as the Standard Spending Assessment (SSA), within a new Environmental Protective and Cultural Services (EPCS) section of the formula under the sub-block for “services provided predominantly by non-metropolitan District Councils”. Like all other elements of the EPCS block, this meant that the money for concessionary travel was no longer ring-fenced. The last figures available from the Department for Transport of the separate direct GRE provision of resource for concessionary travel to the Travel Concession Authorities, was for the financial year 1989/90 where the total GRE concessionary provision within England was £296.9m.

Between 1990/01 and 2003/04 the EPCS grant element of the SSA total increased by eighty two per cent from £3,891m to £7,065m and included within it was an increase in the scope (and funding) of the concessionary travel entitlements. In April 2006, concessionary travel entitlement for its users was extended from a statutory half fare scheme, to free local bus travel within a TCA’s own area. To fund this enhancement in entitlement an additional £350m was added to the EPCS block in England, pre-Barnet

formula adjustment for the devolved areas of Wales and Scotland. In April 2008, the entitlement was extended further to free local bus travel anywhere within England. To support this additional change, an extra £250m was allocated for the task, but instead of just adding the new resource to EPCS, it was provided directly to TCAs as non-ringfenced grant, in a return to a similar process as the GRE provision in 1989. This gave an approximate value of spend by the DfT on concessionary travel in 2008 as £1.1bn a year, a figure the DfT has often used itself. The relationship between Community Rail and funding for concessionary travel in England has therefore been considered as part of this research, not only in relation to the alignment of the complementary national policies, but also as concessionary travel is the key District Council transport policy area where they could influence and support Community Rail patronage, as summarised in Figure 6.2 in a review of Case Study 4's own TCAs.

Figure 6.2. Concessionary Travel Policy: Case Study 4 – The Tamar Valley Line TCAs

Concessionary Travel Policy: Case Study 4 – The Tamar Valley Line TCAs

Post Beeching, some branch lines survived only because the local rail/road/river geography made bus replacement impractical. One such line is Case Study Line 4 the Tamar Valley Line, which runs through the two Travel Concession Authority Areas of Cornwall (as a unitary authority) and West Devon Borough Council (in Devon). When the national concessionary travel policy proposal for free national bus travel was consulted upon in 2007, a comparison of bus and train journeys from villages along the Tamar Valley Line to Plymouth, was undertaken by local transport consultant Ray Bentley. Based on data taken from the Traveline national public transport information service, on 10th Feb 2007, Bentley demonstrated the clear time based advantage that Community Rail has over local bus travel for the same journey, as a result of natural geography and the provision of the rail only Tavy Viaduct.

The ratio of time taken by bus compared to Community Rail in this case study is at best almost double the time (1.90) for the journey from Gunnislake from Plymouth, or at worst, around six times (5.73 or 6.44) the time from Bere Ferrers. In his response to the national concessionary travel consultation exercise, Bentley argued on a social justice basis that with such significant time variances, if concessionary travel on the Tamar Valley Line was to be denied, eligible concessionary passengers would be denied equity with people on reasonable bus routes, and empty off peak seats on such trains, would be wasted, in contradiction to the aims of the 2004 Strategy.

Ray Bentley also demonstrated that in addition to the rail journey times being significantly faster, the cost of travel on the Community Rail line compared to the bus in many areas could also be significantly cheaper. In a review of fares between the rail and bus alternatives for the communities along the Tamar Valley Line using appropriate off peak fares (in line with the concessionary travel policy of supporting post 09.30 journeys only), he demonstrated that rail was considerably cheaper in all comparisons, for example: from Bere Alston the cheapest off peak bus journey to Plymouth was £6 (as a day ticket is cheaper than two singles), whilst the train was £3.50. The Tamar Valley Community Rail Line would therefore not only be quicker for the passenger by up to 600%, but also be cheaper for the TCAs by up to 41%.

Source: Author.

In this example, the consideration of the Tamar Valley Line TCAs when formulating their own policy approach to the change in concessionary entitlement was to weigh up the risk of abstraction from the Community Rail line, with the national statutory and local policy measures available to them to mitigate against it. The risk of abstraction is particularly significant to Community Rail Partnerships, as the new entitlement meant eligible concessionaires continuing to travel by rail would have to continue to pay their fare but receive a faster journey, whilst moving to the bus would give them a comparable journey for free, but take significantly longer, a form of time based modal apartheid. This is a further example of one national policy initiative (the Community Rail Development Strategy) potentially being undermined by another (the Concessionary Fares Entitlement Policy). Whilst no UK wide inclusive research exists yet on abstraction from Community Rail by the concessionary fares policy changes, Report 179 from the Scottish Executive's Development Department did look at the effect of the free (previously half) bus fares on local rail, and it stated:

'A significant switch from rail to bus was measured by on train surveys on routes in the Lothians and Strathclyde where bus was offered as a free fare alternative.' (Scottish Executive, 2009)

They found between nineteen per cent and sixty six per cent pensioner abstraction on different lines, averaging at forty six per cent. There is no reason to suppose that similar abstraction would not and is not happening in England and Wales but as yet is unproven. Indeed a core motivation for the Welsh Assembly Government to extend its own support for concessionary fares to the Conwy Valley Community Railway was abstraction. Therefore in relation to two of the core Community Rail Development Strategy targets – those of increasing patronage, and reducing subsidy per passenger, the abstraction of revenue paying Community Rail passengers who are over sixty years old but attracted to bus when the half fare scheme on buses became free fare, will have worked against both of these targets, as observed:

‘I think it was down to reason that elderly people will probably be using their free pass and not using the train, not unless the train is a more appropriate way of doing their journey, as there is a greater willingness to sit on the bus even if it takes longer because it’s free, than to sit on the train where they only get a reduced fare with a rail card.’ (Observer 1)

Conversely, allowing the extension of the concessionary travel scheme on to the Tamar Valley Line was estimated by Ray Bentley as having the potential to generate concessionary passenger uplift amounting to around ten per cent of the total passengers on the line, leading to a nine per cent reduction in subsidy per passenger in line with the 2004 Strategy Outcomes. This more modest appraisal of demand based on a review of actual passengers travelling and the demographics of the eligible population of the villages served should have been a moderating voice in mitigating against the concerns expressed by some of the risk of increasing patronage:

‘It does have a down side and my colleagues on the *[name(s) removed]* line have experienced an issue where the trains are now so full of people travelling on free bus passes, as a result of the Welsh Assembly Government decision.’ (Driver 1)

With the national concessionary travel legislation allowing any TCA the discretion to extend the entitlement to Community Rail, and with the Local Transport Plans of the highway authorities promoting the value of Community Rail as endorsed by their district authorities, then logic ought to have dictated that both Cornwall and West Devon TCAs (both active members of the Tamar Valley Line CRP Committee), would have extended their concessionary travel schemes to include Community Rail as a discretionary add-on, not only in support of their involvement in CRPs and to reduce abstraction from the line, but also as a direct cost and time saving measure for themselves. This would be in line with the Metropolitan District Council TCAs and the Isle of Wight TCA who have applied this approach as outlined in Table 6.1.

Table 6.1. TCAs in England Allowing Free or Discounted Local Rail Travel

Travel Concession Authority	Mode	Fare
London	Local rail, tube, DLR & tram	Free
West Midlands	Local rail and tram	Free
Greater Manchester	Local rail and tram	Free
South Yorkshire	Local rail and tram	Free
Merseyside	Local rail	Free
Tyne and Wear	Local rail	50p flat fare
West Yorkshire	Local rail	35p flat fare
Milton Keynes	Local rail	35p flat fare
Isle of Wight	Local rail	Free

Source: Ray Bentley (2007).

Despite extensive local lobbying, neither TCA would use their discretionary powers to include the Tamar Valley Line as part of their concessionary travel scheme, favouring the risk of abstraction and the introduction of journey time increases for residents instead. Indeed, as part of this research it was determined that no mainland District Council of the case study lines interviewed, had extended or had plans to extend their

concessionary travel scheme to include Community Rail travel. The standard response was that these rural shire district authorities did not have enough funding to do it. But to what extent can this argument be justified? This has been researched in relation to Case Study 4 the Tamar Valley Line and is shown in Figure 6.3.

Figure 6.3. The Cost Implications of Concessionary Travel on the Tamar Valley Line

Funding for concessionary travel is contained within the Environmental Protective Cultural Services (EPCS) block of the national Rate Support Grant (RSG) formula of local government funding. DCLG, the Department responsible for the formula, does not allow the formula to be disaggregated into component elements, in favour of a non-ringfenced approach, as endorsed by the Local Government Association. This means that it is not easily possible to determine exactly how much of the grant provided via EPCS relates directly to concessionary travel. To try to improve this knowledge, in June 2005 a report was commissioned by the Devonwide Concessionary Fares Scheme Partnership from Rita Hale and Associates Ltd to determine how the additional funding from the DfT via EPCS for concessionary travel improvements, translated in to real cash at the TCA level. Rita Hale and Associates worked with the District Council Treasurers of the Scheme and DCLG to disaggregate the RSG formula as best they could, and determined that of the £350m uplift put in nationally to the formula to extend the scope of concessionary travel in 2006, West Devon Borough Council (WDBC) received an extra £310k (Rita Hale, 2005).

In the financial year 2007/08, the last year before the free national travel was introduced, WDBC received £880,700 in concessionary grant, from within the EPCS block, based on the Rita Hale formula disaggregation. Its total spend on concessionary reimbursement in 2007/08 was £428,750 thereby indicating a likely 'surplus' of up to £451,950. This is further validated as WDBC is part of the Devonwide Concessionary Travel Consortium, where the Devon TCAs work together to operate a joint Countywide concessionary travel scheme. Within the South West region, the average total spend of a TCAs EPCS funding block on concessionary travel was 2.3%. For Devonwide TCAs this figure was only 1.4%, whereas nationally, the figure was 7.2%. It is reasonable to say therefore that WDBC prior to the free national concessionary travel in 2008, was as an absolute minimum being fully resourced by Government for their obligations.

In 2008/09 WDBC received extra direct grant from the DfT, in addition to their EPCS allocation, to cover the extra costs incurred in supporting free national travel. The grant paid was £189,311 against an observed increase of around £20,800, thereby generating a direct surplus to the Council of £167,000. The other TCA along the Tamar Valley line is Cornwall Council. Within Cornwall, the total percentage of EPCS spend on concessionary travel was just 1.1% of their EPCS allocation against a national average of 7.2%, it is fair to determine that Cornwall too was receiving appropriate resource from Government. In 2008/09 Cornwall TCA received an extra direct grant of £3,312,621 against an increase in cost of around £2,114,642 thereby generating a direct surplus to Cornwall of a minimum £1.19m.

Source: Author.

By using the work undertaken by Ray Bentley, the total travel on the Tamar Valley Line, the fare structure and the percentage of passengers aged over sixty, it was estimated that the cost of reimbursement for the free concession to operate along the Tamar Valley Line, would be *circa* £13,600 p.a. on the West Devon Borough Council section of the Community Rail line or £32,000 p.a. for the whole of the line. This represents less than three per cent of the West Devon TCAs £500,000 p.a. 'surplus' in their RSG for bus concessions, or just eight per cent of the observed surplus in 2008/09 onwards. This would allow Bere Peninsula pensioners to enjoy concession travel to the full on the fastest and most cost effective mode.

The research clearly identified that none of the District Council TCAs of the case study lines visited extended their concessionary travel scheme to the Community Rail lines of which they were a member, preferring an abstractive based policy approach to CRP patronage impact. All of these District Council TCAs opted to keep the extra government grant for other purposes. However, in 2009/10 following a review by the DfT, of the surpluses being made by such TCAs, when comparing extra grant awarded to the total cost uplift from 2008 onwards; cut the direct grant by fifty per cent of the value of the surplus. In real terms this meant that all such District Council TCAs had to give back money to the Department for Transport, which if it had used to support concessionary travel on the Community Rail line, would not have been removed.

6.7: Public Service Agreements (PSAs) and National Policy Hierarchies

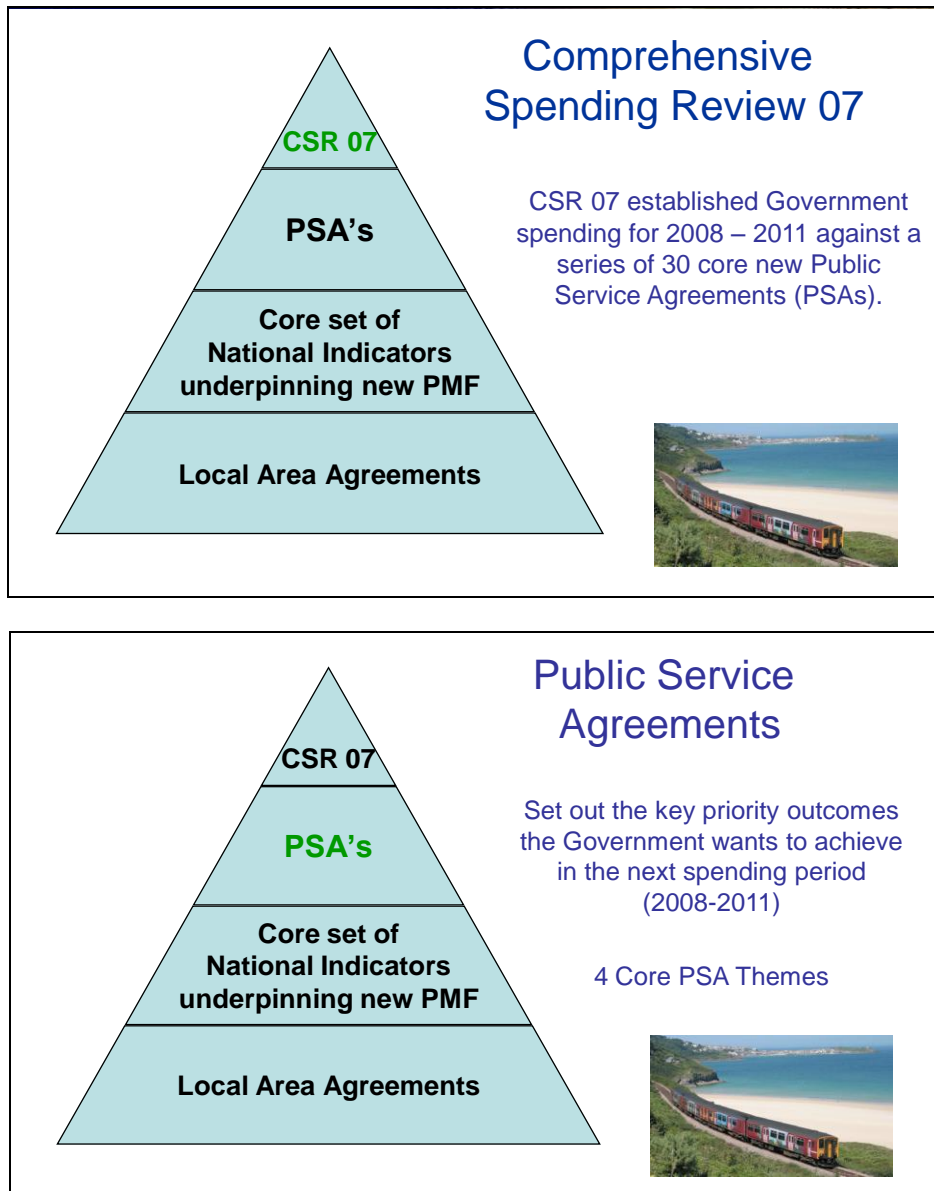
6.7.1 Public Service Agreements

Introduced as part of the 1998 Comprehensive Spending Review (CSR), Public Service Agreements (PSAs) set out the key priority outcomes the Government wants to achieve in a defined spending period. Each PSA is owned by an individual Government Department and underpinned by a single Delivery Agreement shared across all contributing departments and developed in consultation with delivery partners. These Delivery Agreements set out the individual plans for delivery and the role of key delivery partners. The 2007 CSR raised the profile and importance of the PSA process significantly through the announcement of a new set of thirty new PSAs against which Government Departments would align, setting a vision for continuous and accelerated improvement in the Government's priority outcomes over the CSR07 period (2008-2011) within a framework of four key defined Policy themes:

- Sustainable Growth and Prosperity (PSAs 1 - 7)
- Fairness and Opportunity for All (PSAs 8 - 17)
- Stronger Communities and a Better Quality of Life (PSAs 18 - 26)
- A more Secure, Fair and Environmental Sustainable World (PSAs 27 - 30)

These new PSAs sat at the top of the policy hierarchy for Government, underneath the CSR process, as represented in Figure 6.4, as slides I presented to the National Designated Community Rail Seminar on the 14th January 2009 in Derby.

Figure 6.4. National Policy Hierarchy and Place of PSA's



Source: Author.

Under the Comprehensive Spending Review 2007 PSA Framework, the DfT became the lead Department on PSA 5 'Deliver reliable and efficient transport networks that support economic growth.' Other priorities for the Government's transport policy were covered in other PSA outcomes to which transport is a significant contributor. The DfT's wider transport aims for the 2008/11 CSR period are also reflected in four Departmental Strategic Objectives (DSOs). Each of these DSOs is underpinned by key

performance indicators that are used to measure progress and success. DfT's DSOs and the key indicators are set out below which initially covered the 2008/09 period.

DSO1: To sustain economic growth and improved productivity through reliable and efficient transport networks.

- Journey time on main roads in urban areas.
- Journey time reliability on the strategic road network, as measured by the average delay experienced in the worst 10 per cent of journeys for each monitored route.
- Level of capacity and crowding on the rail network.
- Reliability on the rail network as measured by the 'public performance measure'.
- Average benefit-cost ratio of investments approved over the CSR07 period.

DSO2: To improve the environmental performance of transport and tackle climate change.

- Develop a carbon reduction strategy for transport.
- Agree an improved EU Emissions Trading Scheme for the post-2012 period that includes aviation.
- Introduce the Renewable Transport Fuels Obligation - requiring 5 per cent of all UK fuel sold on UK forecourts to come from a renewable source by 2010.
- Introduce successor arrangements to the Voluntary Agreements with car manufacturers on new car CO₂.
- Progress towards meeting the Air Quality Strategy objectives for eight air pollutants as illustrated by trends in measurements of two of the more important pollutants which affect public health: particles and nitrogen dioxide (led by Defra).

DSO3: To strengthen the safety and security of transport.

- Reduce the number of people killed or seriously injured in UK in road accidents by 40% and the number of children killed or seriously injured by 50%, by 2010 compared with the average for 1994/98, tackling the significantly higher incidence in disadvantaged communities.
- Deliver Transport's contribution to the Home Office led PSA: target to 'reduce the risk to the UK and its interests overseas from international terrorism.'

DSO4: To enhance access to jobs, services and social networks, including for the most disadvantaged.

- Increase the number of buses and trains accessible to disabled people.
- Increase the number of stations re/accredited under the Secure Stations Scheme by 15%.
- Access to services and facilities by public transport, walking and cycling.

It is the relationship between the DSOs and the indicator targets of the Department, accepted into the National Indicator Set and Local Area Agreement process, which will continue to play an important part in defining a mechanism through which Community Rail Partnerships can demonstrate their value, as from this top down approach, all revised processes of a regional, sub-regional and local scale will align. This is explained within the next chapter.

6.8 Summary

The changes to transport policy as examined reflect the emphasis of the changing nature of local governance as introduced in the wider academic literature of Chapter 2. The transport planning process has moved from a professional elitist, separatist process, to one of a multi-agency, multi-sectoral, multi-modal process. Therefore in addressing the first of the four research objectives, 'To establish the place of the Community Rail Development Strategy and the Partnerships tasked with its delivery, within the wider Transport Policy Landscape?', it is the alignment and integration of this wider change in governance and responsibility which the research sought to explore.

Whilst governance has been introduced across the regional scale in many policy areas, there is still legitimate concern about the lack of a democratic mandate associated with the regional governance issue. In the same way that Hix (2005) argues about the legitimacy of the EU in relation to 'governance without government' in Chapter 2, the same can be applied to the regional model adopted within England as the Regional Assemblies developed as institutions comprised of unelected individuals making policy recommendations without an elected mandate so to do.

However, this was not meant to be the case. The 2002 White Paper 'Your Region Your Choice' (DTLGR, 2002) outlined New Labour's proposals for the creation of elected Regional Assemblies. However, in November 2004, the first regional referendum was held in the North East, with a significant three to one vote recorded against the proposal, on an overall turnout of 48% of eligible voters (Rallings and

Thrasher, 2005). In his analysis of this result, Mawson (2007) argues that voters held strong views that the problem was considered to be not so much the post 1997 'regional phase' but a wider reaction to the earlier neoliberal policies of the former Conservative governments and those of New Labour as described in this chapter in transferring powers away from local government to other institutions and quangos.

As the chapter outlined, the integration of four tiers of administration with its associated challenge of metagovernance were considered in seeking to address the research objective. At a national scale, the research confirmed how whilst the PSAs and DSOs were setting the framework for national policy and the outcome approach of the LTP process, they did little to reduce the perceived continuation of the proliferation of contradictory policy approaches to governance within the Department. However, the research in to the LTP process was shown to foster a more collective approach to transport across scales and policy areas, with its focus on outcomes which were both inclusive of and complementary to the Community Rail Development Strategy. Demonstrated within this chapter, and further reviewed in Chapter 8, the LTP2 process did raise awareness of the CRPs, local rail and the value of their outcomes, within the policy environment of highway authority practitioners. However, the research also confirmed how this was not necessarily so at the regional scale with its own revised strategy approach to filling in transport and land use planning requirements.

It is, however at the lower tiers of local government, particularly at the District Council level that the research has identified how transport policy landscape is least aligned with the 2004 Strategy. As the tier of local government promoting itself as

the closest to local residents, and with its own clearly defined statutory planning and transport responsibilities, it is this tier, which the research has shown to be most disengaged. In particular, the very poor awareness of the 2004 Strategy and its application within the local planning process and Local Development Frameworks in particular was observed. At times it was considered that the rules governing impact of developments and the application of mitigation measures through either Section 106 Agreements or Community Infrastructure Levy processes to support sustainable transport principles, such as CRPs in the case study areas at least, was non-existent.

In seeking to improve on this legacy position, the research examined how the hollowing out and rescaling of the regional planning function from central government to the non-elected Regional Assemblies, may yet positively impact upon a District Council's consideration of sustainable transport. Within such new metagovernance arrangements, CRP activity has the potential to be defended as an expression of the delivery of the wider sustainable transport policy commitments contained within the area's own Regional Spatial or Regional Transport Strategies. As such it becomes a statutory requirement for the Local Development Framework of a District Council to take it in to consideration, where appropriate, or face the prospect of a legal challenge for non-compliance with the RSS and RTS. Such multi-scalar alignment of policy, is a modern manifestation of the fluid nature of the governance process, as demonstrated in Chapter 2, with the potential to influence the role of the District Council engagement within a CRP.

The research has also detailed how District Council TCAs of the case study lines, are not exercising their discretionary entitlement to provide free local rail travel, in the same way as is mandatory on local bus services, for their elderly and disabled residents. The research examined how, even when presented with both a positive business case and strong evidence of patronage benefits and cost savings, not one of the TCAs within the case study areas visited, took this forward.

Overall therefore in relation to the research objective, the changes applied to the transport policy landscape, from national PSAs, to local LTP actions has created an environment within which the Strategy and CRPs can function and add value to the policy outcomes. The research has clearly demonstrated how at a regional and highway authority tier, the policy landscape is not only theoretically supportive of CRPs and the Strategy, but that it is being actively applied. It has also shown that such support and application is not being applied at the District Council tier, even where the statutory policy environment exists to support it. How and whether this is achieved is the responsibility of the CRP, local authority members and their governance process, which is explored in detail within Chapter 8.

Chapter 7: Spaces of Engagement, CRPs and a Resurgent Approach to Neoliberal Localism

7.1 Introduction

Chapter 6 explored the relationship between CRPs and the Rail Development Strategy within the local transport planning environment. Chapter 7 expands this approach to embrace the role of CRPs within the new wider, emerging approach to localism. It focuses on addressing the second of the core research objectives: 'To investigate the extent to which a resurgent approach to localism, poses an opportunity or threat to the Community Rail Development Strategy, its Partnership and their outcomes.' as well as objective 4, described below. It starts by examining the measures introduced by New Labour in 1998 to engage with, bring new commitments to, and support the third sector through the negotiation and adoption of Compacts at a national and local scale as part of a wider hollowing out of the process of local performance management. The development, place and role of a Local Strategic Partnership (LSP) as the preferred governance response to the neoliberal localisation of the process of local priority setting and performance management is outlined, as are their duties in relation to engagement with the third sector, Local Area Agreement ownership and the development of the (Sustainable) Community Strategies.

In completing the policy hierarchy approach introduced in Chapter 6, the importance and relevance of the National Indicator Set is considered, and its role in influencing the performance management of Community Rail Partnerships. This examination is pivotal in meeting the requirement of research objective 4 'To generate practical

outputs identified through the research as capable of raising awareness within the CRP sector of opportunities and threats from the change in governance processes and applications'. The research undertaken for this chapter forms the basis of the publication of a National Toolkit Report and Interactive Model, designed to assist CRPs in understanding, engaging with and exploiting the opportunities afforded to them by both Local Area Agreements and Local Transport Plan 3 in maximising awareness of their value. Key themes explored in considering research objectives two and four include: awareness of functions and policy; responsibility for engagement; data access and collation; and the relevance of indicators to CRP outcomes and ownership. The chapter concludes by reviewing how the transport policy approach detailed in relation to LTP2 in Chapter 6 is being impacted upon by this new approach to localism, and for its replacement, Local Transport Plan 3.

7.2 The Rise of Localism in Enhancing the Role of the Third Sector

7.2.1 Compacts and the Mainstreaming of Third Sector Actor Engagement

At the same time as the changes to governance at the regional tier as shown in Chapter 6, Fyfe (2005) outlined how New Labour's commitment to the third sector, as introduced in Chapter 2, was also translated from concept into a range of policy initiatives. At a strategic level, in concurrence with the *Report of the Commission of the Future of the Voluntary Sector*, known as the Deakin Commission, the Government introduced voluntary sector 'Compacts', setting out commitments by the governments and the voluntary sector in each of the UK's four jurisdictions.

The purpose of a Compact was to set a framework of relations between government (national and local) and the third sector. It identified complementary functions and shared views “to work for the betterment of society and to nurture and support voluntary and community activity” (Home Office, 1998). These objectives were to be filled (Kelly, 2007) by the Compact’s five major undertakings of independence, funding, policy, development and consultation, and better government. Launched in 1998, these Compacts were at the centrepiece of the repositioning of the third sector. Whilst tempting to dismiss the Compacts as “warm words, platitudes and generalities” (Morison, 2000), many have argued that these documents were central to the fundamental reworking of the relations between the state and the third sector.

The success of Compacts and their aim of enabling third sector partners to engage over public service delivery was considered as part of the interview process with the Senior Performance Managers of the Local Authorities through which the case study lines operated. In general the feedback was not particularly encouraging:

‘The Compact laid down some principles about how, not just local authority but other public bodies will behave towards the third sector, and so on and I mean it has recently, well in a sense its profile has come back up because of the financial circumstances that we find ourselves in now in relation to third sector funding.... So for example locally our PCT has not come out so well in terms of being measured up against what’s in the Compact about how they should set about reducing funding from the third sector into things like notice periods and even just talking to them at all, whereas the County Council in comparison is being given a reasonably good marks in terms of stuck to the Compact and worked you know.’ (Subject 16)

Despite seeking to engage with the lead officers in an Authority with responsibility for performance management, and with the Compacts supposedly the method by which the third sector became integral to that process, awareness of the current state of the

Compacts within just a few years of their signing was not at any of the Managers forefront:

‘We do have a Compact. Now I'm not an expert on it. I know that the County Council is signed up to it and I am pretty sure the NHS is signed up to it and we were in negotiation for the Police to be signed up to it and I think a number of the Districts have signed up to it. I know that there is continuing work on developing that.... Yes I think it is a live document, it is still there. It is a good point actually because we did, as program management, provide the reminder to those on the ground in terms of LA negotiation and delivery planning in particular, around compliance with the Compact so for example the most obvious one from where I'm sitting is that any formal consultation we did on the Local Area Agreement was Compact compliant over 12 weeks.’ (Subject 14)

7.2.2 Embracing Localism, The Enhancement of Local Strategic Partnerships

“Local Strategic Partnerships (LSPs) are a major innovation in the pattern of local governance in England, and in many localities are resulting in a significant process of local institution building” (Aulakh, Woolford, Smith and Skelcher, 2002). The earliest definition of an LSP originated in 2001 from the DETR which defined an LSP as a “body which brings together at a local level the different parts of the public sector as well as the private, business, community and voluntary sectors so that different initiatives and services support each other and work together” (DETR, 2001).

LSPs are non-statutory and largely non-executive organisations, and the intention is that they operate at a level which enables strategic decisions to be taken, yet are close enough to the grassroots to allow direct community engagement. Each local LSP had a corresponding Senior Civil Servant ‘Locality Manager’ allocated to them through the regional Government Office. The purpose of a Locality Manager was to be a single point of contact for the LSP, enabling engagement to be targeted to suit the

'Place' rather than the Departmental based Civil Service engagers each maintaining their own silo based policies, targets, outputs and outcomes. In summary, their job was to ensure the GO departmental staff were working together to maximise efficiency and to concentrate engagement with the locality to maximise efficiencies.

Geddes (2004) outlines how the proliferation of service based partnership organisations such as Road Safety Partnerships within a local area, developed over the last 20 years, had led their own practitioners to call for a rationalisation and simplification of the confusing number of partnerships, plans and initiatives at a local level, to reduce duplication and unnecessary bureaucracy and to make it easier for partners, including those outside the statutory sector to get involved. LSPs were tasked with the 'rationalisation' of local partnerships within their area, and could therefore be seen as an attempt to institute 'local metagovernance' arrangements (Jones and Ward, 2002) in the form of a local 'umbrella' organisation under which to join up the highly fragmented jungle of organisations and institutions which have grown up over the last two decades. Local Area Agreements as defined in Section 7.3 are the response to this rationalisation.

In the early years, progress in creating LSPs was enhanced in areas seeking Neighbourhood Renewal Funding (NRF) as, in a replication of the neoliberal approach adopted for the allocation of funds to the Urban Development Corporations in the 1980s, the Government only made NRF funding available to LSPs, as the responsible agents for bidding. Over time however, LSPs have been adopted for all County, Unitary and Metropolitan District areas of England and now form a central part of localised partnership delivery. A typical LSP is comprised of the following actors: senior Local Authority Departmental Officers, senior Fire, Health, and Police Service

Officers, Local Economic Partnership Groups, Job Centre Plus, plus a representative from the third sector, and their Locality Manager of the regional GO. In most cases the LSP is chaired by the Chief Executive of the Local Authority, and supported by a team, generally hosted by the Local Authority and led by a Performance Manager.

Geddes (2004) identifies the LSPs as having three core functions. Firstly they were responsible for the preparation and ownership of the statutory Community Strategies, intended to improve the economic, environmental and social well-being of each area, as discussed in Section 7.5. Secondly, LSPs were responsible for the development and delivery of Neighbourhood Renewal Strategies for each area with common goals of lower unemployment and crime, better health, education, housing and physical environment. Thirdly, and strategically more important, was the role of an LSP in owning the prioritisation and delivery of the National Indicator Set targets within a locality's Local Area Agreement (LAA) which is explored later in this chapter.

In considering the role of the third sector in this process, I explored how important it was for the third sector to be engaged in an LSP from an early stage. Typical responses included:

'I mean I think it is important. It's just whether or not the reality is cosmetic as opposed to real.' (Driver 4)

'I think it's more to do with the policies that have been driven by the partners, because all the partners are around the table and are contributing in terms of where they're going, where their priorities are lying, how they're going to engage and are beginning to share more of what they need to do and how they need to do it and they are recognising that the third sector are a crucial element in that delivery.' (Recruit 7)

However, early issues and concerns associated with how best to engage with the third sector, and the experience and value of doing so, exposed concerns on both sides about not only the process of how to engage, but also the perception of the value that such engagement brought to the meeting:

‘Well, first of all they were always claiming that they didn’t have sufficient involvement, and then there were two camps really, those who were saying it was all being done by professionals and Councillors, so they felt like the poor relation, and then, in some areas, it was geographical as well, they were saying well we know there’s a nominal rep sitting on the LSP, but we don’t have any contact with that person, so they ... the quasi-democratic links between people were not working as well as they should.’ (Recruit 6)

‘To be honest, from a management point of view, it was quite painful at times because they do... they did see things from a slightly different perspective. I think there was always the tendency there to think, you know, how do we get funding out of this to do what we want to do? Perhaps all the time the partners weren’t getting the sense that the third sector was bringing anything to the table. They were sort of sitting there saying we want you to fund us to do this deal. So there were a few issues to get over there but generally it was a very positive engagement.’ (Recruit 5)

‘The third sector certainly, my experience of the third sector in *[name(s) deleted]* in EU terms was hopelessly disorganised and focused purely on their own existence and maintaining their own existence.’ (Recruit 7)

It was not just the third sector though that often felt direct access to, and engagement with the LSP became more challenging. When interviewing Highway Authority Managers, I explored to what level they were able to engage directly with an LSP and its representatives, to get across their policy agenda and influence LSP policy development for transport. Almost all Highway Authority Managers outlined how such involvement was largely non-existent, with face to face engagement with LSP members left to a new breed of performance management teams:

'In my view we have been watered down in the opportunities I have and the sub group I used to chair to influence those sorts of things. We have a group called *[name(s) deleted]* thematic partnership which covered planning transport and housing and that has now been subsumed within the environment thematic partnership, so there is less opportunity for me personally wearing my transport hat to get in but having had *[name(s) deleted]* for many years then, I still have access and make sure that I communicate through the thematic partnership and what we did previously was to have people on my thematic partnership from economic development and from environment.' (Participant 9)

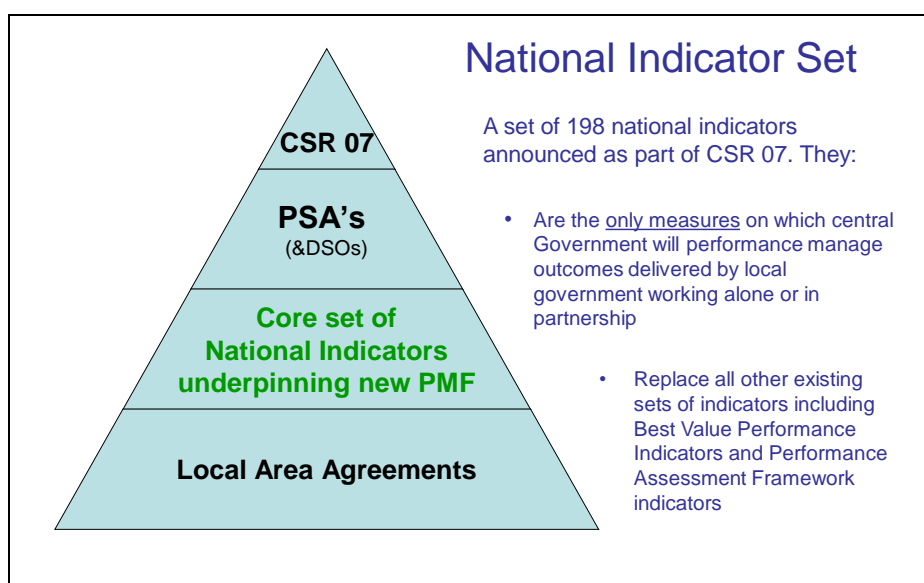
The general response and acceptance was that focus migrated away from direct access to the policymakers, to the role such stakeholders (third sector actors and transport actors) could play in contributing to the new core area of LSP responsibility, the National Indicator Set and Local Area Agreements.

7.2.3 The Creation of a National Indicator Set for Performance Monitoring

As part of LSP governance arrangements, the Local Government White Paper *Strong and Prosperous Communities* published in October 2006 (DCLG, 2006), committed the Government to introducing a set of streamlined indicators that would reflect national priority outcomes for local authorities working alone or in partnership. A single set of one hundred and ninety eight national indicators was therefore announced as part of the Comprehensive Spending Review 2007. These national indicators were to be the only measures through which central Government would performance manage outcomes delivered by local government working alone or in partnership. They would replace all other existing sets of indicators including Best Value Performance Indicators and Performance Assessment Framework indicators (such as those defined in LTP2), and were introduced in all areas from April 2008.

The place of the National Indicator (NI) Set in relation to the Public Service Agreement obligations of Government Departments is outlined in Section 6.7.1 and shown in Figure 7.1.

Figure 7.1. The Place of the National Indicator Set in the Hierarchy of National Policy



Source: Author.

Whilst the headline definitions for the one hundred and ninety eight indicators were announced on 11 October 2007, the Government consulted on the detailed definitions of the Indicator Set to ensure that the methodology for measuring individual national indicators at a local level was sound. The consultation, led by the Government Offices within the English regions, sought views on the methodology, frequency of reporting and data source of each individual indicator. From the responses of Interviewees who had engaged in this process, it was clear that this indicator development process was not as well received as public announcements may have implied:

‘Shambles, I would be as strong as that. It took two years I understand from memory, roughly two years to get this thing right. It was glaringly obvious from my point of view that not enough work had gone into it from the Departments down in Whitehall, they didn’t seem committed to it, that came out in that you could see where the indicator was hoping to get to, but the quality of the indicators were very poor, very poor indeed.’ (Subject 11)

An example of a completed and fully defined NI indicator, from the Department for Transport is outlined in Figure 7.2. NI 175, in reality, is a variation of the indicator which was formerly a statutory LTP2 Indicator, and before that a best value indicator – BVPI102. As such it was a well-known and well established indicator where definitions had already been agreed and established, as had its baselines and trajectories, as shown in Figure 7.2.

Figure 7.2. Example of a National Indicator – NI 175

NI 175: Access to services and facilities by public transport, walking and cycling			
Is data provided by the LA or a local partner?	Y	Is this an existing indicator?	Y
Rationale	This indicator monitors the fostering of social inclusion through access to core services and facilities via non-private modes of transport, which may include, but is not limited to: public transport; demand responsive transport; walking; and cycling. It is a key social inclusion and quality of life outcome. The indicator cuts across a number of service areas and can assist how they are planned and delivered.		
Definition	<p>This indicator measures access to selected core services and facilities by individuals via non-private modes of transport, which may include, but is not limited to: public transport, demand responsive transport, walking and cycling.</p> <ul style="list-style-type: none"> Core services: Healthcare – Hospitals and GP surgeries; Education – primary, secondary and higher education sites; Food shops; and Employment sites. <p>Non private modes of transport would include:</p> <ul style="list-style-type: none"> timetabled bus services; Light rail and tram services (Blackpool Trams; Manchester Metrolink; Midland Metro; Nottingham Express Transit; Sheffield Supertram and Tyne and Wear Metro (Croydon Tramlink and Docklands Light Railway reported by TfL); Demand responsive (dial-a-ride) transport – flexible, demand led service with no registered timetable; Walking; and Cycling. <p>For all areas (except in London and the Isles of Scilly), the indicator should follow the definition used for indicator number LTP1 in the areas final second local transport plan, unless (exceptionally) a revised definition is specifically agreed with the Department for Transport. LTP1 guidance can be found at: http://www.dft.gov.uk/pgr/regional/ltp/guidance/fltp/fullguidanceonlocaltransport3657</p> <p>In metropolitan areas and other authorities which are part of a joint local transport plan, the indicator may be reported at local transport plan or authority level. In either case the indicators should follow the common definition approved in the relevant joint local transport plan.</p>		
Formula	The formula required for reporting this indicator will be different for each authority and is dependent on the definition of their indicator, as described above.		
Spatial level	<p>Single tier (including London borough and metropolitan borough) and county council.</p> <p>Within each PTA area, information may be returned at a PTA wide level, or on request and subject to DfT agreement at other supra-district level provided the whole of the PTA area is covered.</p> <p>Outside PTA areas, information may also be collected following Local Transport Plan geography if partner councils agree to this and subject to agreement with DfT about data and reporting continuity and robustness. The NI definition being developed by Transport for London will be returned for areas within Greater London. Should a London Borough wish to set a target for this NI, it may do so in consultation with both DfT and TfL.</p>		

Further Guidance	<p>Further information is contained in the following Department for Transport guidance:</p> <ul style="list-style-type: none"> • 'Technical Guidance on Accessibility Planning in Local Transport Plans' December 2004 http://www.dft.gov.uk/pgr/regional/ltp/guidance/fltp/fullguidanceonlocaltransport3657 • 'Guidance on Accessibility Planning in Local Transport Plans' December 2004 http://www.dft.gov.uk/pgr/regional/ltp/accessibility/guidance/gap/accessibilityplanningguidanc3633 • 2005 Core Accessibility Indicators Technical Report http://www.dft.gov.uk/pgr/statistics/datatablespublications/ltp/coreaccessindicators2005 • 'Full Guidance on Local Transport Plans' second edition December 2004. http://www.dft.gov.uk/pgr/regional/ltp/guidance/fltp/fullguidanceonlocaltransport3657
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Source: DCLG, New Performance Framework, Oct 2007, London.

7.2.4 Transport Indicators in the National Indicator Dataset

Of the full data set of National Indicators, only ten originated from within the Department for Transport, in comparison, for example with forty four which originated from the Department of Children Schools and Families. The ten 'owned' by the Department for Transport are summarised below in Table 7.1.

Table 7.1. DfT Owned Indicators in the National Indicator Dataset

NI	Ref	Owner
47	People killed or seriously injured in road traffic accidents	DfT DSO
48	Children killed or seriously injured in road traffic accidents	DfT DSO
167	Congestion - average journey time per mile during the morning peak	PSA 5
168	Principal roads where maintenance should be considered	DfT DSO
169	Non-principal roads where maintenance should be considered	DfT DSO
175	Access to services and facilities by public transport, walking and cycling	DfT DSO
176	Working age people with access to employment by public transport (and other specified modes)	DfT DSO
177	Local bus and light rail passenger journeys originating in the authority area	DfT DSO
178	Bus services running on time	DfT DSO
198	Children travelling to school - mode of travel usually used (5-16yrs - car (including vans and taxis))	DfT DSO

Source: Author.

Of direct interest to my research are the core theme of internal engagement within the Department for Transport between Sections/Departments/Divisions responsible for a wide range of cross-cutting Transport responsibilities, which interact with local authority and other CRP actors. In this instance it is the internal engagement resulting in the prioritisation of the 10 indicators, and the definitions within them. As these ten LAA Indicators replaced all transport related indicators that have gone before them, including all in LTP2, they represent the only process by which local authority transport policy outcomes would now be measured. As such their importance to a wide range of policy areas and opportunities for initiatives including Community Rail cannot be underestimated. When exploring with a senior representative of the Rail Division within the Department for Transport, the level of their engagement in the corporate prioritisation of the ten indicators the response was:

‘I would say it’s pretty limited. I am afraid Rail Division has been a little disconnected.’

And when pushed about who had reviewed the proposed transport indicator definitions for inclusion within the National Indicator Set, the response was:

‘National Indicators? I don’t even know who does it.’

With the potential value to Community Rail of inclusion within, or alignment with one of the DfT’s NIs being so high, it was a concern that no reference to the Community Rail Development Strategy could be found in any of the DfT indicator definitions, and that the opportunity was not realised to amend the definitions of some of the

indicators being retained to include reference to Community Rail. An example of this is NI 175 as shown in Figure 7.2. This shows that for this indicator, the definition applied as the core measure of accessibility, is that provided by non-private modes of transport. The term non-private modes of transport is itself further defined as:

Timetabled bus services; Light rail and tram services (Blackpool Trams; Manchester Metrolink; Midland Metro; Nottingham Express Transit; Sheffield Supertram and Tyne and Wear Metro (Croydon Tramlink and Docklands Light Railway reported by TfL); Demand responsive (dial-a-ride) transport, flexible demand led service with no registered timetable; Walking; and Cycling (Figure 7.2).

There is no mention, nor inclusion of either Community Rail, or local rail, or branch line rail in this definition, and I suggest this was an opportunity missed. To have been included would have enabled a CRP to actively contribute directly to a National Indicator and demonstrate real quantified value and contribution to its LSP. This approach of being able to quantify value is explored in detail in the next section. The inability to be able to align outcomes achieved for an area, to specific National Indicators was an issue not just for CRPs but across the wider third sector in general and was a theme outlined during the Interview process as outlined below:

‘I think if you sell individual indicators as being a sort of cellular device to drive up performance , it flies in the face of everything else the Government’s trying to do in the name of efficiency, so it doesn’t fit well with total place and I think most people in the voluntary sector, even those looking at very specific target areas, would recognise that their work would be serving more than one indicator, probably indicators from one group and I think to miss that is to lose most of the benefit of the LAAs.’ (Recruit 6)

A copy of the full list of the one hundred and ninety eight Indicators is published on the DCLG website at the following address: <http://www.communities.gov.uk>, with Section 7.4.3 of this chapter providing a more detailed review of the relationship between the

NI Set and core CRP outcomes. The first one hundred and eighty five national indicators came into force in April 2008, with the remaining thirteen indicators subjected to further consultation in the summer of 2008 before final definitions were released in 2009.

7.3 (Sustainable) Community Strategies, Local Area Agreements and Their Relevance to CRPs

7.3.1 (Sustainable) Community Strategies

A Community Strategy is the long-term vision and plan for a local area, introduced through the Local Government Act 2000. The Act placed a duty to prepare Community Strategies on local authorities, with a defined purpose to promote or improve the economic, social and environmental well-being at a local scale, and to contribute to the achievement of sustainable development in the UK (ODPM, 2000). The Act came into force in October 2000. Each Community Strategy must have four key components:

- A long-term vision for the area focusing on the outcomes that are to be achieved;
- An action plan (LAA) identifying shorter-term priorities and activities that will contribute to the achievement of long-term outcomes;
- A shared commitment to implement the action plan (LAA) and proposals for doing so;
- Arrangements for monitoring the implementation of the action plan, for periodically reviewing the community strategy, and for reporting progress to local communities. (ODPM, 2000)

English local authorities are therefore required to prepare and publish such a strategy for their area, and through a revision in 2007, via Section 114 of the Local Government and Public Involvement in Health Act, 2007 which added a further requirement that such strategies should be termed 'Sustainable Community Strategies.' As outlined in Section 7.2.2 these Strategies now remain the duty of the Local Strategic Partnership, with the Sustainable Community Strategy tasked with outlining the collective vision for an area, to be delivered through its action plan - the Local Area Agreement. The place of sustainable transport, local rail and the associations with CRPs within them has been explored for all case study areas as part of this thesis.

Created by the Office of the Deputy Prime Minister (ODPM), now DCLG, the Sustainable Community Strategy Guidance describes the importance of the Strategies as setting the overall vision for an area. The Strategy Guidance (ODPM, 2000) on p. 20, states that 'no overall strategy to promote well-being is likely to be complete without references to housing, local transport, air quality, culture and leisure. Unless the county and districts work together, the process of preparing Community Strategies is likely to lead to considerable duplication, conflicting priorities and "consultation/partnership fatigue". Transport is further considered on p. 26 where the Guidance states how the Strategy "should affect the delivery of a wide range of services, including housing, education, transport, crime prevention, economic development, environmental health, culture and leisure. It should thus be prepared in the context of other planning processes relevant to the area".

With the Local Area Agreement being the action plan of the Sustainable Community Strategy, and with the process owned by the LSP, then in seeking to demonstrate how

a CRP can contribute to the core LSP priorities through its own work programme outcomes, a review of the Sustainable Community Strategies for all LSPs within each of the case study areas was undertaken. Each Strategy was reviewed against a range of core transport related themes, including local rail, public transport, transport, Community Rail, passengers, and accessibility, as well as identifying whether the CRP itself was mentioned. The results of this review are outlined in Section 7.5.

Further, as explored in Section 7.3.3, it is usually the priority of an LSP's Sustainable Community Strategy, which influences the designated indicators adopted within its LAA. Having completed the work in reviewing each of the one hundred and ninety eight indicators in relation to relevance to Community Rail, each of the LAAs of all of the Local Strategic Partnerships served by each of the case study lines were also reviewed against the CRP rated National Indicators. This is considered in Table 7.3.

7.3.2 Defining a Local Area Agreement

A Local Area Agreement is a negotiated agreement between central and local government based upon the local prioritisation of up to thirty five core 'designated' indicators from the NI Set covering all service delivery areas on health, education, transport, employment, crime and housing. Local Area Agreements are about "what sort of place we want to live in. They are about setting the strategic direction and focusing on the priorities that will make an area's town, city or community a better place to be. They are about place-shaping. A good LAA will ensure systems are in place to be sure that what everyone agrees should happen, does" (DCLG, 2007). The major changes made in 2008 to the new performance framework would mean:

- More emphasis on area based service delivery - a package of measures which mean stronger partnership working, alignment of local government performance management arrangements with that of partner agencies and replacement of authority-based inspection with an area-based assessment of risks to service delivery (The Comprehensive Area Assessment);
- More freedom in spending decisions - the local authority is able to make decisions about spending priorities with partners locally without these being conditioned by centrally imposed targets. The presumption will be against ring-fencing grants unless there are strong reasons for doing so and these will be made public;
- Fewer central targets and reporting systems - the new LAAs replace the multiple national performance frameworks under which local authorities operate with just 198 NIs. These will cover everything local government does on its own or in partnership with others. Each LAA may have no more than thirty five negotiated (designated) indicators alongside sixteen statutory education and early years targets. There will be a single annual performance review to examine the findings of the Comprehensive Area Assessment (CAA) and respond to changing priorities in the area.

Overall, responses from my research interviews confirmed that the principles behind Local Area Agreements were welcomed:

'I am all for this kind of process driven set of indicators in terms of it allows us to measure areas, some of which are of great importance, some of which are of slightly less importance, but may become over time. You know, it allows us to benchmark the authority's local progress and that is great, it also gives, and I quite understand this, some information that the Government need as well, so again I am quite happy with that. I think they could have made it more clear, that is for us, this is for you and that kind of stuff, but that is by the by, but overall yes great, I am all for it.' (Subject 11)

7.3.3 The Third Sector and LAA Indicator Ownership

The theory behind the LAA process was that it was negotiated between the LSP and the local Government Office and a series of targets are agreed for the designated indicators for a fixed three year period. Within the LSP, each of the designated indicators has a single owner, who is responsible for delivering the outcomes associated with the indicator and reporting performance back to the LSP. As discussed, for a CRP or similar third sector organisation, being aligned to a designated indicator enables an organisation to demonstrate corporate value:

‘The third sector were very, very keen to get a number of indicators in the LAA and I was aware of that through third-sector colleagues in here as part of their locality work and in order to, I suppose, satisfy the third sector, they agreed on two or three local indicators....So the third sector didn’t have a particularly strong role.... I remember refereeing quite a tasty discussion between the third sector where there were a lot of accusations being lobbed at the council. You know? You don’t want us on your local area agreement; you don’t want us on your patch, *et cetera et cetera*. So that became quite a difficult conversation. But I think by and large, I’m not convinced that many of the local area agreements, really, had a very strong third-sector approach.’ (Recruit 4)

As a performance centred regime, additional funding could be made available to LSPs for meeting and exceeding LAA targets. As such the experience of prioritising the designated indicators from the full indicator long list, to a maximum of thirty five core priorities, required extensive engagement and local negotiations for all LSP Members, not least the third sector representatives. Within the CRP case study areas, the majority of LSPs not only sought to engage with the third sector, but actively assisted in resourcing and supporting the sector’s inclusion. This was a reciprocal process, and central to a positive working relationship with the third sector, was in the ability of

their representative to manage the communication process with the rest of the sector in supporting an inclusive and representative approach:

‘What they have done amongst the sector in *[name(s) deleted]* is to actually set up a scheme whereby they kind of nominate to partnerships but then the representatives on those partnerships have a duty to report back, so a kind of accountability about who sits where on those partnerships and an expectation that they contract to feed back into the sector what they have gleaned from the meetings and so on, and also to be a conduit for dialogue into the strategic partnership.’ (Subject 12)

In recognising the challenge that this feedback mechanism imposed on the nominated third sector representative, and in recognising that to provide such engagement and effective communication to others in the sector came at a cost, at least two of the LSPs within the CRP case study areas actively sought to assist with this process, in line with the early principles of the Compacts:

‘We set out from the outset to have the voluntary sector working with us from day one which was, you know, quite a bold decision actually at the outset because nobody really knew quite what we were getting ourselves into. But we actually used some of the partnership’s funding which we get from our Second Homes Council Tax, to pay for a Local Area Agreement sort of lead officer in the voluntary sector which obviously went down very well with them and enabled them to use them in that role to sort of galvanise the involvement of the voluntary sector right across the LAA, and what we said right from the outset was we didn’t just want the third sector to sort of appear in the obvious place under stronger communities and you know an indicator around more people volunteering, we wanted them to be involved right across the piece. So they actually looked at all of the indicators themselves as a sector and they too had their own working group with representatives from various parts of the sector, so working with children and older people and so on.’ (Subject 15)

What was not in evidence though, from any interviewee was that any CRP had engaged in this process, either directly or through the third sector nominated representatives.

7.3.4 Refining the Designated Indicator Selection

Having identified a long list of designated indicators for the locality, the negotiations with the Locality Managers of the Government Offices to refine target values began in earnest. In relation to any discussions relating to transport, and most likely as a result of the existing processes completed for LTP2 and the long established indicator definitions, this was a relatively smooth process:

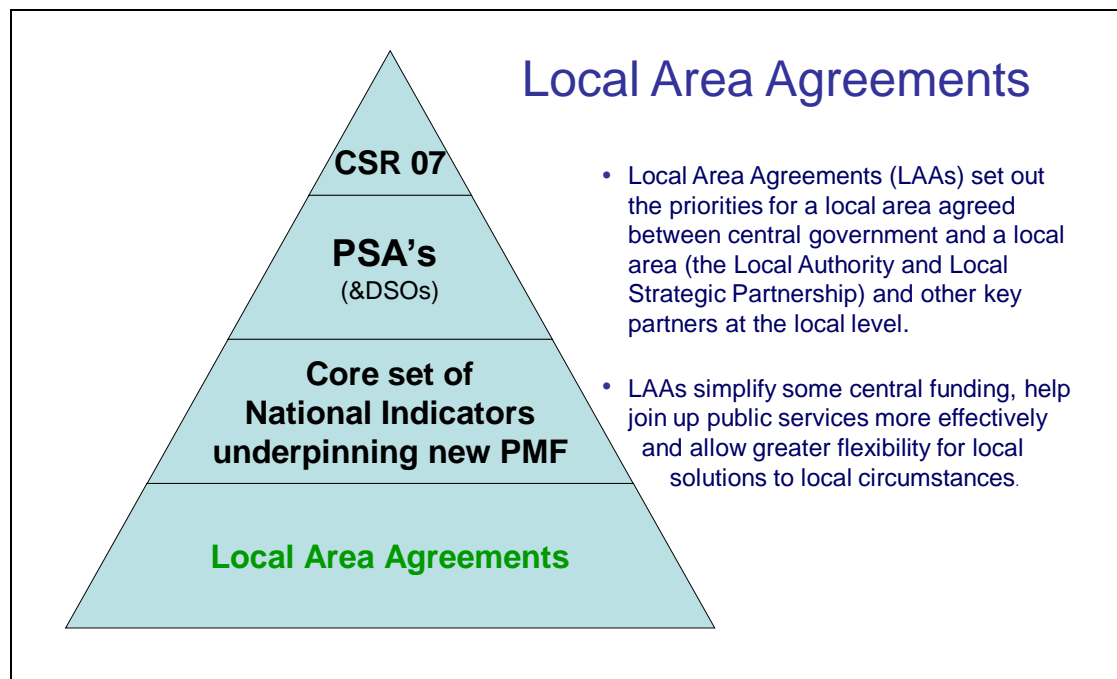
‘You’ve got people in the GOYH in Policy Teams, for example in the third sector or transport who would spend the time on the detail of the LAA with their policy leads on that kind of thing, so it would all be coming together, and I guess my role would be more central in pulling things together and looking at targets and supporting on that.’ (Recruit 2)

What was certainly less smooth was the overall relationship between the central Government Departments and the localities. The research confirmed an alignment with the state spatial strategy process outlined in Chapter 2, namely here was a localism policy approach where the policy document described how it was for local LSPs to choose the local priorities for their place, being over-ruled by the reality of Central Government Departments seeking to impose the adoption of particular indicators as designated indicators. This clearly challenged both the LSPs and the GOs in making this work:

‘Now I know partnership engagement was supposed to be the process by which those targets could be achieved and people at ground level saying well actually these are our priorities, we’ve negotiated them, these are our priorities, we now have to focus our efforts on these. But quite frankly a lot of those targets are imposed, a lot of them were unachievable, a lot of authorities resent them because they see them as having been imposed and not chosen and because authorities are prioritising according to the targets the selection of targets that are on offer, are they actually dealing with the correct issues and are they diverting resources into achieving targets as opposed to doing some other more practical things.’ (Recruit 7)

From April 2008, LAAs became the only mechanism against which local authorities are measured by central Government, with agreed flexibilities, pump-priming and reward funding available if targets were met. Indeed, the introduction of the LAAs, developed by and delivered through the multi-sectoral LSP Partnerships, was in effect a qualitative manifestation of the completion of a new localism hierarchy. At the top remained the core central government PSAs with regional requirements cascaded to the regional scale for representation within the structural delivery plans of individual regional economic, housing, and spatial planning policy. These statutory regional plans then provided a framework for locality based LSPs to associate, align, and comply with, in addition to the prioritisation of local actions against the predetermined list of national LAA indicators as outlined in Figure 7.3.

Figure 7.3. New Localism Hierarchy of Policy



Source: Author

7.3.5 Why Local Area Agreements Are Relevant to Community Rail Partnerships

As the only mechanism from April 2008 by which authorities were assessed by central Government, the opportunity for CRPs to be, and be seen to be engaged with, this governance scale and process was considered important for three core reasons:

1. Community Rail Partnerships, like many partnership and third sector based organisations rely on a mixture of funding sources, including that of a local authority. By contributing to, and being seen to be contributing to the direct outcomes against which the authority will be measured by central Government strengthens the CRP in justifying its financial support from the local authority.
2. CRPs deliver a range of outcomes which are diverse, cross-cutting and multi-sectoral. This reflects the ethos and purpose of an LSP and LAA and strengthens the position of the Department within the local authority which supports the CRP, within the organisation and with the LSP Board, in that by supporting the CRP the Department itself can be seen to be embracing this new approach to service delivery within the revised local metagovernance structure.
3. Where a CRP can clearly demonstrate that it can make a direct contribution to multiple designated LAA indicators, the opportunity to add new value is a significant opportunity. If a CRP can identify to the designated indicator owner and quantify how the CRP contributes to the outcome required, then a new line of engagement can be created across multiple departments. This has the ability to strengthen the position of the CRP by gaining wider recognition of its multiple outcomes, leading to new opportunities for support funding.

It was therefore seen as highly important that a multiple outcome, principally third sector aligned partnership such as a CRP could clearly understand the NI Set, how its own outcomes may support such indicators, and which outcomes had been adopted within the LAAs of the LSPs through which their designated line operated. This was the basis of the fourth research objective.

7.4 A National Community Rail LAA Toolkit and CRP Engagement in the Process

7.4.1 Engaging the Community Rail Sector With This New Governance Hierarchy

In the early stages of this thesis, stakeholders identified a desire for my research to be able to generate or support practical outputs for the Community Rail Division at the DfT and ACoRP for the benefit of the wider CRP community. This was reflected in the inclusion of the fourth research objective 'To generate practical outputs identified through the research as capable of raising awareness within the CRP sector of opportunities and threats from the change in governance processes and applications'. With the publication of the National Indicator Set and negotiation of new LAAs in the summer of 2008, and with the LAA process becoming the core appraisal mechanism of all local government performance, it was identified as outlined in 7.3, that there could be a significant opportunity for CRPs to engage, align with and contribute to this process, and for the value of the contribution to be quantified.

Discussions between the DfT, the Centre for Sustainable Transport at Plymouth University, GOSW, and ACoRP scoped options as to how such an opportunity could be realised. It was recognised that with CRP Officers already heavily engaged with day to day activities that it would be unreasonable to expect an individual CRP Officer to have

either the access or time to research the details associated with the LAA outcomes in their operational area and that it would be beneficial if a mechanism could be developed to assist them in understanding the process, and practicalities associated with the designated indicators for the areas in which they operated.

It was therefore agreed that in meeting this research objective of positioning the work of Community Rail Partnerships within the current operational policy and governance frameworks, a two stage evidence led output approach would be applied.

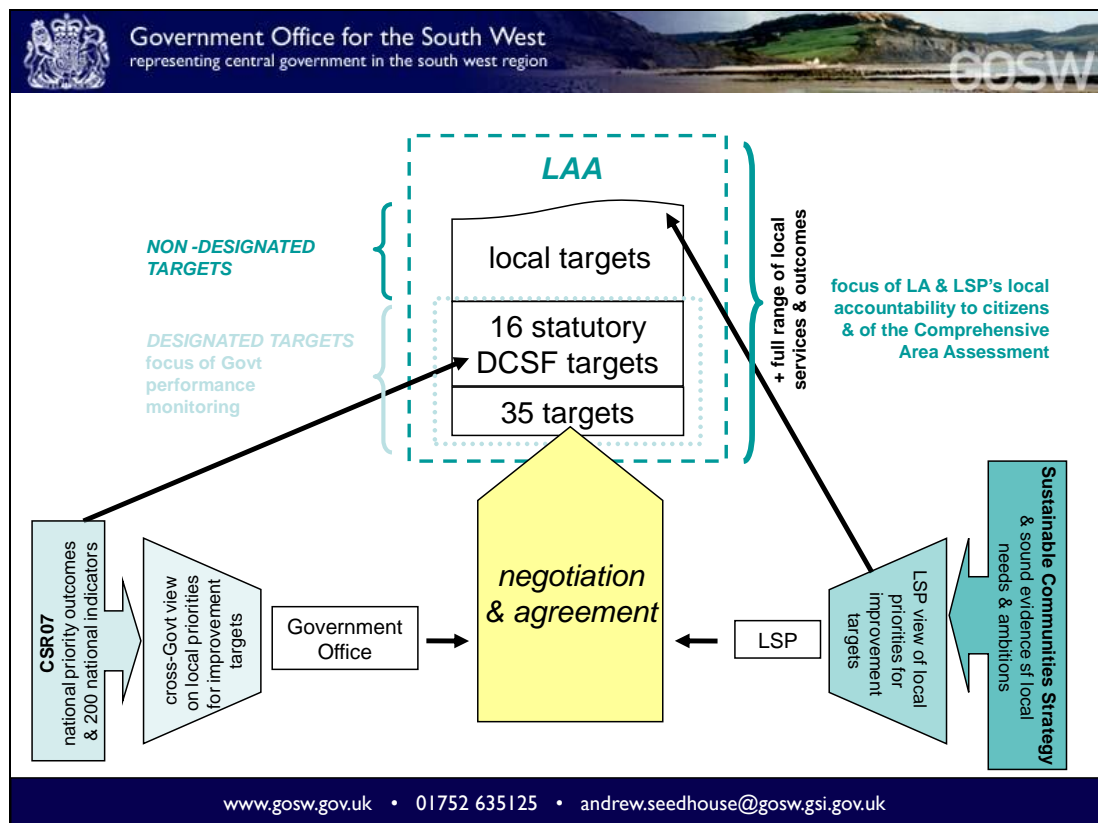
- Stage 1 – To develop a National Report to educate, inform and support CRP Officers in understanding current policy position, LAA Indicators, LTP3, and their opportunity to engage;
- Stage 2 – To create an Interactive Model to enable CRP Officers to quickly identify which were the designated indicators of the LSPs through which their lines operated.

These two stages, supported with appropriate awareness raising and positioning, would therefore form the basis of a support tool kit for CRP Officers, and a key output of this thesis in addressing the fourth research objective, enclosed as Appendix D. The toolkit concept was introduced at the National Designated Community Rail Seminar sponsored by the Department for Transport and held in Derby on January 13th and 14th 2009. With support from Government Office South West and with agreement from ACoRP and the DfT a twenty five slide presentation was prepared to reinforce how CRPs should engage with other actor groups. The presentation, itself an output of the objective is enclosed in full in Appendix B and summarised in Figure 7.4.

Figure 7.4. Overview of the National Toolkit Presentation

Overview of the National Toolkit Presentation

The presentation started by asking the question ‘Why were Local Area Agreements Relevant to Community Rail Partnerships?’ It went on to provide a short overview on the changes in Policy in recent years such as LTPs which impacted upon local rail, which itself was then positioned within a review of the national hierarchy of Policy as described within this chapter. A structured description of the CSR process in 2007, the PSAs and DSOs which supported them and the creation of the National Indicator Set was then provided. The presentation outlined how each of the indicators had been reviewed in relation to relevance to a CRPs outcomes, and how they aligned with the Local Area Agreement process. Central to this part of the presentation was an overview of the important role played by a LSP and also by GO staff in relation to the Local Area Agreement Process.



Having provided the overview as to how all actors related to each other and the hierarchy of policy and governance, the second half of the presentation was structured around the question ‘Why was this an opportunity for Community Rail?’ and ‘How CRPs could engage with LAAs to further demonstrate their value.’ It outlined how CRPs could access the information needed in relation to LAA indicator selection through the forthcoming CRP Toolkit, and how the LAA Indicator delivery and monitoring process worked to provide them with the opportunity to engage with those responsible for its delivery. The Interactive LAA Indicator Toolkit model was introduced to those present, as well as practical techniques to identify individuals within the GOs and Local Authorities engaged in the LAA process.

Source: Author.

The presentation ended by explaining the practical processes associated with using the Toolkit and its expected completion deadlines, and described how the LAA process had impacted upon the consultation underway at that time for Local Transport Plan 3 post April 2011. After a lengthy Q&A session, the conference also agreed to prepare a coordinated response to the LTP3 consultation through ACoRP and I was asked to prepare a response on their behalf for approval by the ACoRP Board, enclosed as Appendix C.

7.4.2 The Development of the National Community Rail Toolkit

The Toolkit itself was developed through my research in meeting the requirements of research objective 4, to support CRPs in understanding how the work and outcomes achieved at an individual line level may assist Local Strategic Partnerships and Highway Authorities in their delivery of Local Area Agreement indicators and Local Transport Plan 3 and built upon the presentation given to the Designated Community Rail Line Seminar. The forty four page main report of the Toolkit is shown over in Figure 7.5.

Figure 7.5. CRP Toolkit Main Report



The Toolkit Report introduced and outlined the role of the National Indicator Set against which local government and its partners were monitored, and identified which of these indicators were most relevant to Community Rail activity. For the indicators identified as most relevant, an appraisal system was developed, with additional material provided outlining how Community Rail supported the local priority delivery. The main report introduced the Toolkit Model for designated indicator selection and how it should be used. It concluded by outlining the changes being consulted upon for LTP3, and what actions could be taken in partnership with ACoRP.

Source: Author.

The Toolkit Report sought to provide an historical context to the current LAA national priorities of Central Government as outlined within the Comprehensive Spending Review period 2008-11 (CSR07), and the thirty National Public Service Agreements, and the opportunity to engage with the LTP3 consultation. This builds upon the tradition of identifying opportunities for local rail engagement in wider policy areas, shown as central to the literature review of Chapter 3. A full copy of the Main Report and its own Annex document is contained with Appendix D.

7.4.3 Appraising National Indicators for Relevance to Community Rail

An appraisal was undertaken of all one hundred and ninety eight National Indicators to determine the level of direct relevance to the work of Community Rail Partnerships. It built upon the historical work and actions already undertaken in identifying the value of Community Rail such as that completed by Mowforth and Charlton (1996), Salveson (1993), Hillman and Whalley (1980), and others as outlined in the Literature Review of Chapter 3. For each Indicator the published definitions were reviewed in relation to their rationale, data sources, collection intervals, reporting organisations and spatial levels. Where the published definitions aligned with outputs and outcomes associated with the composition or activities of Community Rail these were reviewed in relation to relevance. Following the appraisal of each indicator, a 1-5 star based rating was applied which identified that seventeen Indicators were assessed as achieving 3 stars or more, with a further twenty indicators assessed as 1-2 stars. An example of the outcome of this process as to how a National Indicator was shown to have relevance to a CRP as taken from the toolkit is shown as Figure 7.6.

Figure 7.6. National Indicator 110 from the National Community Rail Toolkit

National Indicator 110 – Young people’s participation in positive activities			
CRP Rating	=	4 star	
NI Theme Area	=	Children & Young People	
CRP Contribution	=	Community Days / Art Workshops / Station Adoption Schemes / Community Landscaping / Anti Social Behaviour Programmes (cleaning graffiti etc.)	
Partners	=	Schools / Community Groups / Police / Community Liaison Workers / Social Workers / Artists / Youth Groups / Sports Clubs / Museums / Libraries	
<p>Community Rail Lines are often able to bring young people within neighbourhoods together simply by the shared interest of the railway. The lines, and in particular individual stations can act as community focal points where young people of diverse backgrounds, social groups, race and faith can work together to achieve a single goal and positive experience which support the bonding of neighbourhoods, particularly where the work is recognized as beneficial to the whole community.</p> <p>In seeking to increase a sense of ownership, the activities should be clearly identifiable as being owned by the young people, and utilise existing community stakeholders. Greater results may be achievable where schemes are run in parallel along the line, culminating in a joint event where neighbourhoods interact with each other. Positive activities include a wide range of sporting, cultural and recreational activities and opportunities for volunteering. The key is that activities are structured, good quality, adult led and support development towards the outcomes identified.</p>			
NI 110: Young people’s participation in positive activities			
Is the data provided by the LA or a local partner?	Y	Is this an existing indicator?	N
Rationale	<p>To measure and drive improved performance around the participation of young people in positive activities. What young people do, or don’t do, out-of-school matters. Research demonstrates that the activities young people participate in out-of-school have a significant bearing on their later life outcomes. Positive activities are a good use of young people’s time because they provide opportunities to: acquire, and practice, specific social, physical, emotional and intellectual skills; contribute to the community; belong to a socially recognised group; establish supportive social networks of peers and adults; experience and deal with challenges; enjoy themselves.</p> <p>UK and international evaluations of out-of-school activities find programme participation to be linked to improvements in <i>academic, preventative</i> and <i>development</i> outcomes. This includes outcomes such as: school performance; avoidance of drug and alcohol use; and increased self-confidence and self-esteem. In this way, positive activities can also help support other indicators for young people. Current research suggests participation tends to be higher among those from: higher social groups; living in less deprived areas; and with access to a car. Participation tends to be lower among: Pakistani and Bangladeshi young people; those living in council and housing association rented accommodation; and where household finances are described as ‘getting into difficulties’. The indicator provides a local measure directly related to the national indicator on positive activities in the DCSF led PSA 14 to ‘<i>increase the number of children and young people on the path to success</i>’.</p> <p>The proportion of young people in school year 10 responding ‘yes’ to the question “<i>In the last 4 weeks, have you participated in any group activity led by an adult outside school lessons (such as sports, arts or a youth group)?</i>” based on the analysis of the weighted TellUs survey data. The TellUs survey data are weighted and grossed up to match local area profiles based on school censuses data. Positive activities include a wide range of sporting, cultural and recreational activities and opportunities for volunteering. The key is that activities are structured, good quality, adult led and support development towards the ECM outcomes. Activities can take place in a wide variety of settings including youth clubs, sports clubs, outdoor recreation centres, museums and libraries. The 2006 Education and Inspections Act sets out a local authority’s duties in respect of securing access to activities.</p> <p>This is a new indicator and a programme of development is ongoing to finalise the method of calculation. This includes further consultation with colleagues across government and the youth sector. The indicator will be calculated for all local authorities and at a national level. The indicator will be made available to all Local Authorities as part of the TellUs survey findings annual report. These findings will be set within the context of a more specific question in the TellUs survey asking about participation in particular activities. Responses for individuals can be confirmed using this second question. The DCSF is also developing additional contextual measures, using <i>CCIS</i> and <i>Taking Part</i> survey data, to enable individual Authorities to triangulate their indicator.</p>		
Further Guidance	The TellUs survey is voluntary and the data are grossed up and weighted to match local area profiles based on School Census data.		

Source: Author.

Seventeen Indicators, out of one hundred and ninety eight, were assessed as scoring more than 3 stars as shown in Table 7.2. The full appraisal of each of these seventeen Indicators and the review of the additional twenty indicators achieving 1 or 2 stars is included within the Main Toolkit Report attached as Appendix D.

Table 7.2. National Indicator Set Indicators Awarded 3 or more CRP Stars

NI Ref.	Indicator	Star Rating
175	Access to services and facilities by public transport, walking and cycling	5
198	Children travelling to school - mode of travel usually used (5-16yrs - car (including vans and taxis))	5
6	Participation in regular volunteering	4-5
7	Environment for a thriving third sector	4
8	Adult participation in sport and active recreation	4
11	Engagement in the arts	4
110	Young people's participation in positive activities	4
185	CO ₂ reduction from Local Authority operations	4
186	Per capita reduction in CO ₂ emissions in the LA area	4
2	% of people who feel that they belong to their neighbourhood	3
10	Visits to museums or galleries	3
146	Adults with learning disabilities in employment	3
148	Care leavers in employment, education or training	3
176	Working age people with access to employment by public transport (and other specified modes)	3
177	Local bus and light rail passenger journeys originating in the authority area	3
188	Planning to adapt to climate change	3
194	Air quality - % reduction in NO _x and primary PM ₁₀ emissions	3

Source: Author

7.4.4 Interactive Toolkit Model for Designated Indicator Selection per LSP area

To accompany the Main Toolkit Report, an interactive Local Area Agreement Indicator Model was developed containing the designated, priority LAA Indicators of every English Authority as outlined in Figure 7.7. The toolkit model was hosted on the members area of the ACoRP website <http://www.acorp.uk.com/>.

Figure 7.7. Interactive Toolkit Model Overview

Interactive Toolkit Model Overview

Screenshot of Interactive Model Worksheet 1 for Yorkshire and Humber LSP Area

Indicators for Yorkshire & The Humber localities Sheffield Yorkshire & The Humber

Sheffield
33 indicators, comprising: 9 Target to be reviewed (R)
5 Previously deferred target to be negotiated (D)
4 Agreed target to be recalculated or reinterpreted (T)
15 Confirmed target (C) 03/12/08

NI no.	localities	select
20	Assault with injury crime rate R 14	<input type="radio"/>
69	Children who have experienced bullying R 8	<input type="radio"/>
76	Reduction in number of schools where fewer than 65% of pupils achieve level 4 or above in both R 1	<input type="radio"/>
111	First time entrants to the Youth Justice System aged 10 - 17 R 6	<input type="radio"/>
112	Under 18 conception rate R 13	<input type="radio"/>
120	All-age all cause mortality rate R 10	<input type="radio"/>
123	Stopping smoking R 7	<input type="radio"/>
167	Congestion - average journey time per mile during the morning peak R 10	<input type="radio"/>
186	Per capita reduction in CO2 emissions in the LA area R 10	<input checked="" type="radio"/>
4	% of people who feel they can influence decisions in their locality D 12	<input type="radio"/>
17	Perceptions of anti-social behaviour D 7	<input type="radio"/>
146	Adults with learning disabilities in employment D 4	<input type="radio"/>
150	Adults in contact with secondary mental health services in employment D 3	<input type="radio"/>
171	New business registration rate D 13	<input type="radio"/>
1	% of people who believe people from different backgrounds get on well together in their local are: T 13	<input type="radio"/>
30	Re-offending rate of prolific and other priority offenders T 11	<input type="radio"/>
40	Number of drug users recorded as being in effective treatment T 9	<input type="radio"/>
47	People killed or seriously injured in road traffic accidents T 10	<input type="radio"/>
16	Serious acquisitive crime rate C 11	<input type="radio"/>
33	Arson incidents C 3	<input type="radio"/>
53	Prevalence of breastfeeding at 6 - 8 weeks from birth C 5	<input type="radio"/>
56	Obesity among primary school age children in Year 6 C 9	<input type="radio"/>
63	Stability of placements of looked after children: length of placement C 3	<input type="radio"/>
68	Percentage of referrals to children's social care going on to initial assessment C 2	<input type="radio"/>
79	Achievement of a Level 2 qualification by the age of 19 C 4	<input type="radio"/>
143	16 to 19 year olds who are not in education, employment or training (NEET) C 15	<input type="radio"/>

Yorkshire & The Humber
10 localities with indicator NI 186

Calderdale	U
Bamsley	R
Bradford	R
Doncaster	R
Kirklees	R
North Lincolnshire	R
North Yorkshire	R
Sheffield	R
York	R
Wakefield	T

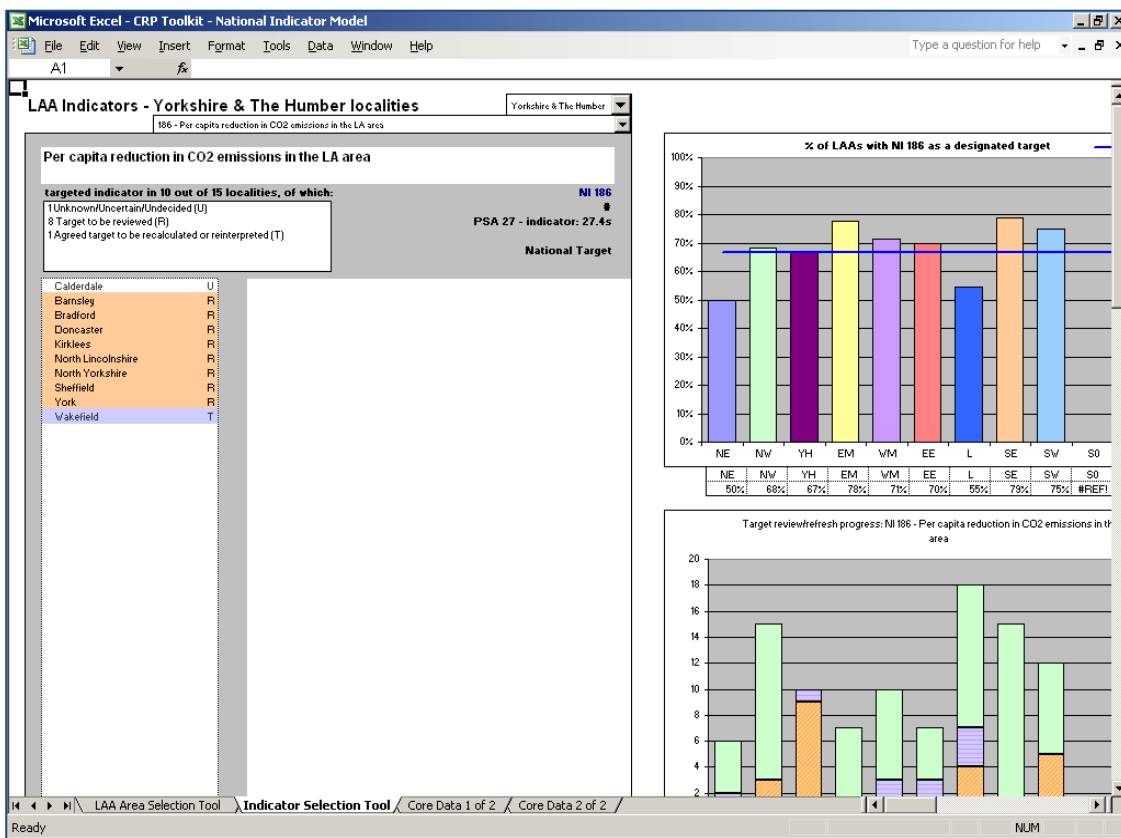
The Toolkit Model contained two main worksheets – Worksheet One, the LAA Area Indicator Selection Tool enabled the CRP to identify the full list of designated LAA indicators of every Authority and Local Strategic Partnership in England. A first stage drop down menu was provided for the user to select which region's data they wish to review – based upon the Government Office areas of England, with a further drop down menu was then provided for the user to select which LSP/Authority locality they wished to review to identify the designated

LAA indicators selected. The Model had an additional facility enabling the user to select any of the individual indicators shown as being a designated indicator for the chosen locality. This would then show which other localities in that region had also selected the highlighted indicator as one of their own designated indicators. This was included to support CRP Officers whose lines operated across multiple LSP areas. A visual of Worksheet One is shown above.

The second worksheet of the LAA Indicator Selection Tool enabled the user to identify which Authorities within a given regional area had selected which individual National Indicator. This was developed to support the CRP Officers ability to review the seventeen most relevant National Indicators quickly see if any of their own Members had selected one of them as one of their own designated indicators. A drop down menu was provided for the user to select which region's data they wish to review – based upon the Government Office areas of England. This led to an additional drop down menu for the user to select which national indicator they wished to identify had been designated by which Locality within the region.

As with Worksheet one, this second worksheet had an additional facility which automatically created a graph of the % of LAAs within every English region which had also selected that indicator as a designated indicator within an LAA. A visual of Worksheet Two is shown below.

Screenshot of Interactive Model Worksheet Two for Yorkshire and Humber LSP Area



Source: Author.

7.4.5 Awareness of CRP Role in Contributing to LAA Outcomes

The Toolkit was in response to a concern expressed at the time by the CRP elites that it was likely that the level of awareness of CRPs, the work they do and the outcomes they generate would not be known or recognised by those officers responsible for the LAA process. This view was confirmed by the local authority transport sector when this subject was discussed as part of the interview process. When asked directly whether it was likely that the owners of the LAA indicators to which CRPs could contribute would be aware of what the CRP was doing, the responses ranged from:

‘I suspect not.’ (Subject 4) ... to ... ‘They wouldn’t know the CRP exists.’ (Subject 5)

When further asked about whether the CRPs had been approached by a LAA Indicator owner to support input to the performance management process, the overall response could be summarised as:

‘No.’ (laughs) (Subject 7)

This raised three core areas for consideration. Firstly, what the real level of CRP, CRP Policy and wider transport outcome awareness within the LAA practitioner community was; secondly, having understood the role and activity of a CRP, to what extent the LAA practitioners believed there to be a role for CRPs to contribute to the LAA indicator outcomes; and thirdly who should own the process of aligning the two. With the process being managed by a combination of the Government Office Locality Managers and the Local Area Agreement Performance Management Officers within

the local authorities, the initial interviews with the GO and LAA practitioners for all case study areas, tended to support the initial thoughts as expressed by the local authority transport sector. In summary, when the GO Locality Managers were questioned about whether they knew what a CRP was and if they knew they had one in their area, the mixed set of responses included:

‘Oh yes I know, there’s one in Leamington as well.’ (Recruit 3)

‘I would be lying if I said yes.’ (Recruit 4)

‘No.’ (Recruit 5)

‘Yes, but I couldn’t tell you what on earth it was.’ (Recruit 7)

Whereas awareness of a CRP in their own local area by the locality specific LAA Officers can be summarised as:

‘No.’ (Subject 11)

‘I think I was vaguely aware of that yes, because I think I have talked in the past about communities, community partnerships taking over the running of branch lines that sort of does ring a bell with me. But it’s not just about promoting them and having them run by larger companies, but actually perhaps in some cases their idea of taking on the running of them which again is a Big Society concept isn’t it. I think I did know that that.’ (Subject 12)

‘Yes. But not because I’m the LAA officer.’ (Subject 13)

‘I am aware of it because I don’t drive so I travel by train quite a lot but I wasn’t aware it had a group behind it.’ (Subject 14)

‘I have to say I am not necessarily aware of the partnership.’ (Subject 15)

‘No. I know the *[name(s) deleted]* Line, I have travelled on it but wasn’t aware that it was a community partnership no, not crossed my radar.’ (Subject 16)

Whilst certainly a mixed bag of awareness of CRPs locally, there was at least a consistent approach to the level of awareness of the existence of a National Community Rail Development Strategy from both sides:

'No.' (Subject 11)

'No, I didn't know that, I am sorry.' (Subject 12)

'No. Not really.' (Subject 13)

'I wasn't no.' (Subject 14)

'I have to say no I wasn't.' (Subject 15)

'I hadn't overtly heard, but it wouldn't surprise me that they do, in fact, it's encouraging to know that they do, but I hadn't, because I had not been at all involved with DFT kind of policy in any detail, no there's no reason I would know that.' (Recruit 2)

7.4.6 Awareness of Wider Transport Policy by LAA Practitioners

It could be reasonably argued that it should not be expectant of these officers to have an awareness of such a specific national transport Strategy, as their 'place based' brief covered such a range of policy areas. The interviews therefore further explored the LAA practitioners awareness of the more general, transport policies which made up around ten per cent of the NI Set directly and a further eight per cent indirectly. When enquiring about the awareness of Local Transport Plans by the Locality Managers and LAA Managers, all were aware of the LTPs, if not any information regarding targets and priorities within them:

'I would say that there was a reasonable level of understanding of LTPs, they were there as sort of, you know, they'd be there amongst the range of documents which Locality Managers would be aware of.' (Recruit 6)

'I am aware that there is a Local Transport Plan, I couldn't really tell you what it was in it.' (Recruit 7)

'Probably not a great deal, if I'm honest. I suppose going back to the neighbourhood renewal work, transport was... it was kind of on the periphery.' (Recruit 4)

'Personally, I'm not that aware.' (Subject 13)

7.4.7 Awareness and Levels of Data Availability

Whilst identifying for CRPs which Indicators aligned best with core CRP activities and outcomes, the level to which a CRP captured its own data to be able to demonstrate performance to their partners, and/or their contribution to any/all indicators was a key part of the research interviews, and confirmed that the majority of the case study areas were not regularly collating meaningful data which could be used in this way:

'The answer to that is probably no we haven't..... we've not had any particular need to.... I mean, if I needed to then we would obviously skew what we're doing to monitor these things but at the moment, because we have a basic funding stream in place and our partners are happy with what they see happening. The Community Rail budget that you see is mainly for what I would call touchy feely kinds of things.... Yeah, in some respects we are probably not measuring as much as we could what we do on the other hand we work very closely with a lot of the local strategic partnerships, partnership officers and so on so *[name(s) deleted]* and myself have quite regular dialogue with a lot of them.' (Subject 10)

'I have a feeling that we are not reporting at a strategic level what the effects of Community Rail Partnerships is but you reveal a gap ... I'm just wondering whether the thing that is, where it's captured kind of in the cross cutting activities is in terms of volunteering and people's engagement in influencing services because there are some national indicators about volunteering and about do you feel able to influence, and I'm wondering whether that's where Community Rail should really get picked up.' (Participant 6)

In general the approach taken was one of 'we collect the basic rail data and if our funding partners are happy with that, then that is fine.' However, within a broader discussion topic area of performance management, there was certainly an awareness of the potential for a change in performance monitoring. When asked whether they believed it was likely that there would come a time where more data than patronage statistics would be required, the overall responses were:

'Yes I think there might be. Actually I can see it actually not being very far off either.' (Subject 7)

'Rail is now playing, you know, a key part to deliver some of the wider transport objectives that *[name(s) deleted]* determined and the wider green agenda.' (Observer 2)

'We can use them against the National Indicators, for example. We can use them for business cases for improvements on the line. They're the main kind of aspects, I think, of using those figures. Yes.' (Participant 5)

And indeed, for some CRPs this was clearly already happening:

'I mean *[name(s) deleted]* noticed a few things that he hadn't thought of before and he said 'Oh, *[name(s) deleted]* I've just realised, you know, you fit well into that category, can you remind me to put it into the Action Plan.' (Subject 9)

The research confirmed that no case study area CRPs were actively engaging with the LAA practitioners or reporting against National Indicators to the appropriate indicator owners. I suggest that the general position relating to outcome monitoring and data can be summarised by one particular interviewee response:

'There's always this difficulty because, again I think I said it at the meeting, there's a lack of clarity between, if you like, what the partnership has achieved and what the TOC has achieved and what Council has achieved and what

possibly some of the other partners have achieved. And when things are fine and money is plentiful, that's not an issue. But when things start getting tight, and I'm not saying it will happen but just you know. If the Council in two years' time is really struggling for money, which seems a real possibility, and says, 'Well we're giving £40,000 a year to *[name(s) deleted]* Rail Partnership, what do we get for it?' I think it would be beneficial to the partnership to be able to say, 'Here's what you get for it and we back it up with some figures.' (Participant 7)

7.4.8 Engaging CRPs with the LAA Process

Whilst the initial level of awareness of CRPs, and CRP Strategy by core LAA practitioners may have been low, of more significance and importance was their reaction, having understood what a CRP was and did, to what extent it should be able to contribute to the LAA process. The research process introduced each LAA Manager and GO Locality Manager to the work completed in preparing and publishing the Toolkit, and the opportunity for the CRPs to contribute in a meaningful way to the core NIs outlined in Table 7.2. The feedback from both sides was encouraging, and so the interviews explored who should be responsible for improving this engagement. It was clear in line with Section 7.4.7 that to date no such engagement had taken place in any case study area before, as summarised by one interviewee:

'I can't ever remember the County Council person coming back and saying, ooh, Community Rail Partnership could do x, y and z. In fact, I can't remember that Partnership ever being mentioned at all. This (CRP) pilot itself is news to me.'
(Recruit 5)

In seeking to take the agenda forward, and whilst reflecting on the legacy position, the question was posed as to whether it should be the Rail Partnerships themselves seeking to contact the local 'owner' of the relevant LAA indicator within the LSP, or

whether the owner should be contacting the CRP. This was clearly a debate that had been considered for the wider third sector engagement process:

‘I think that varied between places and I'm trying to think examples both ways. Some LSPs were, just by their nature, more passive waiting for people to sort of pass the data on to them and some of that data would come from voluntary organisations, others would come from Statutory Bodies and other places were just much more proactive going out and looking, and that was partly to do with the type of indicator they selected which would require them to do that to a greater extent. I also think that the degree of political capital associated with the things was important as well, so that if there was something that was close to a manifesto commitment or something that was likely to be popular electorally, it would have a much greater, much greater attention from the Authority, so a more active approach to gathering data and probably more sort of manufactured press interest around sort of progress being reported.’
(Recruit 6)

Overall, my research supported a consensus that it should be the CRP either directly or through their partnering local authority transport departments which should seek to engage the indicator owner directly as they would have more to gain from inclusion in the process, and it would be easier for a CRP Officer to identify the indicator owner, than to expect the indicator owner to know a CRP. The opportunity for the case study lines to be able to do this is explored in the next section.

7.5 Case Study Areas (Sustainable) Community Strategy Reviews

As introduced in Section 7.3.1, a review of the Sustainable Community Strategies of all LSPs operational within the case study areas was undertaken. This review examined two core areas; firstly, how the Strategies aligned with both the 2004 Strategy and core CRP themes, and secondly the extent to which the LAA Indicators adopted as designated indicators were relevant to a CRP and its activities.

7.5.1 The Esk Valley Line Community Strategies and LAA Indicator Review

In considering the Sustainable Community Strategies of the core stakeholders, three core documents were reviewed: the Middlesborough, Redcar and Cleveland, and North Yorkshire Sustainable Community Strategies.

The Sustainable Community Strategy for North Yorkshire was originally launched in 2008 as a ten-year vision for the North Yorkshire Strategic Partnership. Following the changes resulting from the revised approach to localism of the new Government elected in 2010, the Community Strategy was re-named as the North Yorkshire Community Plan (NYCP, 2011) and refreshed following a public consultation during 2011 and restructured as a new six page three year plan from 2011 to 2014. There are no direct references to the core thematic areas considered in the review of local rail, public transport, transport, Community Rail, passengers, accessibility or Esk Valley within the North Yorkshire Community Plan.

By contrast, the Middleborough Sustainable Community Strategy remains a long-term (2008 – 2023), eighty four page Strategy for the local area based on consultation about the sort of place respondents want the area to be. The Vision of the LSP is: “Middleborough will be a thriving, vibrant community where people and businesses succeed” (MCS, p. 1). The Vision is represented as six core themes within the Strategy: Creating Stronger Communities / Creating Safer Communities / Supporting Children and Young People / Promoting Adult Health and Well-being / Tackling Exclusion and Promoting Equality / Enhancing the Local Economy / and Securing Environmental Sustainability. Within the Strategy, whilst no direct reference to the Esk Valley or

Community Rail is made, there are three direct references to rail, seventeen references to public transport and sixty five references to transport.

Lastly, the Redcar and Cleveland Sustainable Community Strategy (R&C SCS) remains a thirteen year (2008 – 2021), thirty eight page Strategy for the local area based on consultation about the sort of place respondents want the area to be. The Strategy seeks to be cross cutting and links with other place based strategies and plans. The detail of the Strategy deliverables is to be found in its supporting annexures, but public transport is referred to as fundamental to the overall Strategy delivery. Within the main document, whilst there is no direct reference to Community Rail or the Esk Valley Line, improving access through enhanced public transport is defined as a core challenge (R&C SCS, p. 14); as is the requirement of the Strategy to take into account the core policy of the Integrated Regional Framework for the North East of England and its Regional Objective No. 9, namely “Developing Sustainable Transport and Communication” (p. 24). In total the LSP committed to fifteen overarching outcomes and seventy nine Objectives, including Objective No. 73, within Outcome No. 14 “A high quality and sustainable living environment” requires the following delivery “To improve access to and quality of public transport” (p. 29).

The designated Indicators of all of the LAA’s hosted by LSP areas served by the Esk Valley Line are summarised in Table 7.3. In total, of the three LAA areas through which the Esk Valley Line operates, there were nine indicators selected as designated indicators by partners, where the indicator had an ACoRP rating >3.

7.5.2 The Lakes Line Community Strategy and LAA Indicator Review

In considering the Sustainable Community Strategies of the core stakeholders, the core document reviewed was the South Lakeland Community Strategy (2008), as Cumbria's own Community Strategy was a composite of all five district level based strategies. Whilst recognising that easy public transport use within the area was a challenge, one of the core priorities of the Strategy was to improve this, and that the Lakes Line would be part of the solution. Page 14 of the Strategy expressly committed the County Council, South Lakeland District Council, the Cumbria Primary Care Trust and others to supporting the Lakes Line CRP. This approach was further reflected within the designated LAA Indicators chosen by Cumbria as outlined in Table 7.3.

7.5.3 The South Fylde Line Community Strategies and LAA Indicator Review

In considering the Sustainable Community Strategies of the core stakeholders, two core documents were reviewed: the West Lancashire Sustainable Community Strategy and the Blackpool Community Strategy.

The West Lancashire Sustainable Community Strategy (WLSCS) was launched in 2007 as a twenty four page ten-year vision for the West Lancashire Strategic Partnership. There are nine core objectives of the Strategy and eight cross-cutting themes: Sustainability / Information and Communication Technology / Reducing Deprivation in the Local Community / Social Inclusion, Equality and Diversity / Prevention and Intervention / Funding and Value for Money / Partnership / and Access for all. (WLSCS, p. 4). However, as with the North Yorkshire Sustainable Community Strategy, there are

no direct references to core thematic areas considered, including local rail, Community Rail, passengers, accessibility or the South Fylde Line within the Strategy.

By contrast, the twenty year Blackpool Sustainable Community Strategy 2008 – 2028, remains a longer-term, forty eight page strategy for the local area based around four key goals: Improve Blackpool’s Economic Prosperity / Develop a Safe, Clean and Pleasant Place to Live, Work and Visit / Improve Skill Levels and Educational Achievement / and Improve the Health and Well-Being of the Population (Blackpool SCS, p. 2). Each goal has a series of localised objectives. Despite its localised area and the size of the document, there are no direct references to the South Fylde Line, or Community Rail, and very little reference to rail in general. The only section to reference rail is within the Blackpool profile section on p. 7, which states that access to Blackpool by the national rail network is through Blackpool North Station with local rail services using stations at Blackpool Pleasure Beach, South Shore, and Layton. (Blackpool SCS, p. 7). However, whilst specific reference to rail is very limited and Community Rail non-existent, it does acknowledge the need to promote and develop public transport. These approaches to their respective Sustainable Community Strategies were further reflected within the designated Local Area Agreement indicators chosen by both Blackpool and Lancashire as outlined in Table 7.3.

7.5.4 The Tamar Valley Line Community Strategies and LAA Indicator Review

In considering the Sustainable Community Strategies of the core stakeholders, three core documents were reviewed: the Plymouth, Devon, and Cornwall Sustainable Community Strategies.

Plymouth's Sustainable Community Strategy was originally launched in 2007 as a thirteen year vision for the local area. It was developed around four visionary goals and 8 strategic objectives – one of which is a commitment to “Developing an effective Transport System” (PCC Community Strategy, p. 16). Whilst no details are provided as to how this would be achieved, a short reference to improving the use of public transport is made within the Report (p. 21) but no reference is made to rail.

The Devon Sustainable Community Strategy (2009) is for a reduced ten year period 2008-18, and is based around seven core priorities: A Growing Economy; A World Class Environment; Health and Wellbeing; Homes and Housing; A Safer Devon; Strong and Inclusive Communities; and Inspiring Young People. It additionally had three cross-cutting themes of diversity and equality; Accessibility and Demographic Change; Climate Change, and Impact on the Environment. As with Plymouth through, when each priority and cross-cutting theme was explored in detail, the Strategy made no reference to the role of local rail, the Tamar Valley Line or the Devon and Cornwall Rail Partnership.

The same can also be said for the review of the Cornwall Sustainable Community Strategy except for a reference which outlined how “rail connections to Cornwall are vital” (Cornwall SCS, p. 8). The Cornwall Strategy, however, was considerably more detailed than those of Devon or Plymouth in its description as to how it would meet its core fifteen long term outcomes to 2028 and provided a better platform as to how a Community Rail Partnership could be shown to be contributing to the core priorities.

The approaches to the Sustainable Community Strategies were further reflected within the designated Local Area Agreement indicators chosen by the LSPs of the three highway authority areas as outlined in Table 7.3.

7.5.5 The Wherry Line Community Strategies and LAA Indicator Review

As with the LTP2s, in considering the Sustainable Community Strategies, two core documents were reviewed: the Norfolk and Suffolk Community Strategies. Norfolk's Community Strategy was originally launched in 2003 as a twenty year vision for the local area, with targets which have since been refreshed both in 2008 and 2010. Owned and managed by the Norfolk County Strategic Partnership, the Strategy represents a long term vision for Norfolk, and is branded as Norfolk Ambition. The Strategic Partnership's Vision for Norfolk is that by 2023, it will be a place that "inspires individuals and businesses to create, thrive and achieve"; "Communities that prosper, welcome and support"; and "On England's frontline in tackling climate change and environmental sustainability". (Norfolk Ambition, 2008, p. 4)

However, within the forty three page Strategy, which is structured around a set of nine key themes, there is no mention of the Wherry Line, Community Rail or local rail. The only references to rail at all, is within the resident's feedback section seeking "improved rail links" (p. 5), and two generic references within the Economic section to a desire for improved road and rail links (Norfolk Ambition, pp. 28-29). This approach is also replicated within the fifty one page Suffolk Community Strategy (2008) which, Like Norfolk, adopts a thematic approach to its aspirations. However, also like Norfolk, there are no references to Community Rail or local rail within the Strategy at all.

Whilst the Wherry Line does get a mention (p. 45) it is only in the context of Lowestoft Station being the terminus point for the Wherry Line. Whilst no explicit role for Community Rail identified in either of the two Community Strategies, a review of their adopted NIs, does align with some of the more highly rated Indicators of relevance to CRPs, as shown in Table 7.3.

7.5.6 The Island Line Community Strategy and LAA Indicator Review

As with LTP2, in considering the Island Line, only one document 'Eco-Island' the Isle of Wight's Community Strategy was reviewed. This twenty page, twelve year Strategy, 2008 to 2020 is structured around outlining the Vision of the Islands Strategic Partnership, their values and priorities. The Strategy makes a total of thirty five local promises to Islanders, but as with Devon and Plymouth's Community Strategies, and despite the significant references to rail within the LTP2, there is no reference made to either the Community Rail Partnership, Island Line or rail in general within the Eco-Island publication. Whilst no explicit role for Community Rail is identified in the Community Strategy, a review of their adopted NIs does align with some of the more highly rated Indicators of relevance to CRPs, as shown in Table 7.3.

7.6 LAA Designated Indicator Review of All CRP Case Study Areas

7.6.1 Case Study Areas Designated Indicator Table

The six CRP case study areas of this thesis operated services in a total of twelve separate LSP areas. Each of these corresponding LAAs was reviewed, to determine which of the designated indicators selected by the LSP aligned with the ACoRP star

rating determined through the Community Rail Toolkit. The results of this work are summarised in Table 7.3.

Table 7.3. Designated Indicators of LSPs served by the CRP Case Study Lines

NI Ref.	Indicator	LAA Owner	ACoRP Star Rating	Esk Valley Line	Lakes Line	South Fyde Line	Tamar Valley Line	Wherry Line	Island Line
175	Access to services and facilities by public transport, walking and cycling	North Yorkshire Cumbria Plymouth Devon Cornwall Norfolk	5	Y	Y		Y	Y	
198	Children travelling to school - mode of travel usually used (5-16yrs - car (including vans and taxis))	Redcar and Cleveland	5	Y					
6	Participation in regular volunteering	Lancashire Norfolk	4			Y			
7	Environment for a thriving Third Sector	Middlesbrough Cumbria Lancashire Blackpool Plymouth Devon Norfolk Isle of Wight	4	Y	Y	Y	Y	Y	Y
8	Adult participation in sport and active recreation	North Yorkshire Cumbria Redcar and Cleveland Middlesbrough Blackpool Devon Norfolk Cornwall Suffolk Isle of Wight	4	Y	Y	Y	Y	Y	Y
110	Young people's participation in positive activities	Redcar and Cleveland Cumbria Lancashire Blackpool Plymouth Norfolk Suffolk	4	Y	Y	Y	Y	Y	
186	Per capita reduction in CO2 emissions in the LA area	North Yorkshire Redcar and Cleveland Cumbria Lancashire Plymouth Devon Cornwall Norfolk Suffolk Isle of Wight Middlesborough Lancashire	4	Y	Y	Y	Y	Y	Y
2	% of people who feel that they belong to their neighbourhood	Suffolk	3					Y	
146	Adults with learning disabilities in employment	Middlesbrough Cumbria Devon Cornwall	3	Y	Y		Y		
177	Local bus and light rail passenger journeys originating in the authority area	Middlesbrough Isle of Wight	3	Y					Y
188	Planning to adapt to climate change	Middlesbrough Lancashire	3	Y		Y			
1	% of people who believe people from different backgrounds get on well together in their local area	Lancashire Plymouth Norfolk	2			Y	Y		
21	Dealing with local concerns about anti-social behaviour and crime issues by the local council and police	Plymouth Norfolk	2				Y	Y	
45	Young offenders engagement in suitable education, employment or training	Plymouth	1				Y		
47	People killed or seriously injured in road traffic accidents	Lancashire Norfolk	1			Y		Y	
54	Services for disabled children	Devon Norfolk	1				Y	Y	
72	Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal Social and Emotional Development and Communication, Language and Literacy	Plymouth	1						
152	Working age people on out of work benefits	Norfolk Suffolk Isle of Wight	1					Y	Y
154	Net additional homes provided	Blackpool Plymouth Devon Cornwall Norfolk Suffolk	1			Y	Y	Y	
172	Percentage of small businesses in the area showing growth	Plymouth Suffolk	1				Y	Y	

Source: Author.

The research identified an average number of designated indicator categories per CRP where the ACoRP rating >3 of six, with additional indicators with reduced relevance. With the maximum no of designated indicators per LAA restricted to a maximum of thirty five, the CRPs would appear to be in a strong position to make a positive contribution to the LAA process. The table also shows that there are five indicators with an ACoRP Star Rating of either 4 or 5. These Indicators are:

NI 175	Access to services and facilities by public transport, walking and cycling
NI 7	Environment for a thriving third sector
NI 8	Adult participation in sport and active recreation
NI 110	Young people's participation in positive activities
NI 186	Per capita reduction in CO ₂ emissions in the LA area

The adoption of these indicators in so many CRP areas, indicates an opportunity for the CRPs or ACoRP to develop and support a collective approach to quantifying how the individual performance of a line in supporting these indicators could be determined.

7.7 Local Transport Plan (LTP) 3

7.7.1 The Local Transport Act 2008 and Preparing the LTP 3 Guidance

The impact of the new approach to localism, LAAs and their importance to LSP monitoring was also due to have a direct impact upon the future of local transport planning and the LTP process detailed in Chapter 6, as the emphasis on shared outcome delivery becomes more widely embraced. In recognising the need for policy

alignment with the localism agenda, a new Local Transport Act was introduced in 2008 which, whilst retaining the statutory requirement to produce and review Local Transport Plans and policies from 2011 onwards, made significant changes to the statutory framework which will impact on the way Community Rail engages with the local transport planning sector. The 2008 Act required that LTPs contain separate Policy (referred to as the Strategy) and Implementation Plans (the Plan for delivery of the policies contained in the Strategy), linked to differing timelines. Most if not all local authorities had already included both of these elements in their existing LTP2 Plans, but the Act formalised this requirement. The new legislation and consultation suggested that a longer (10-20 year) timeline for the Strategy along similar timelines as the Sustainable Community Strategies, be considered with a three year Implementation Plan to align with Local Area Agreements, which themselves mirrored the Comprehensive Spending Review time periods.

Rather than aligning the plans with the four shared priorities which the DfT expected authorities to use as over-arching priorities for LTP2, LTP3 was to be shaped around the five goals of the Delivering a Sustainable Transport System (DASTS) process, a process also outlined within the 2008 Transport Act (DfT, 2008). These DASTS goals were to tackle climate change, support economic growth, promote equality of opportunity, contribute to better safety, security and health and to improve quality of life, a close alignment with the core thematic activities of an LSP. As explored in Section 7.7.2, the new guidance for LTP3 provided an opportunity for Community Rail Partnerships to add value to the process.

7.7.2 CRP Toolkit and responding to the LTP3 Consultation Guidance

Deriving from senior stakeholder engagement, these opportunities were explored as part of the CRP Toolkit Report (Appendix D) in contributing to the outputs of research objective 4. Of particular note, when considering the changes proposed for LTP3 over the established LTP2, as explored by the report were references in Chapter 4, paragraphs 6 - 10 of the LTP3 Guidance which looked at both the scope of and the need to comply with the Local Transport Act 2008. The main Toolkit Report outlined how LTPs had developed since they were first introduced in 2000, and how the refresh from 2011 onwards, as being consulted upon, provided an opportunity for Community Rail. In particular:

- Table E of the main report replicated a summary table of the five DASTS goals and challenges for LTP3 as contained in the LTP3 consultation paper, and sections of this Table were highlighted to indicate areas where CRPs were likely to be able to make a positive contribution.
- The requirement of the new strategy to reflect regional objectives, such as outlined within transport policies of a Regional Spatial Strategy (RSS) were very likely to be CRP friendly. The report outlined that CRP Officers should consider reviewing the RSS policy for their area and identifying how their own activity supported regional policy delivery.
- The requirement for the LTP3 to consider transport ‘to, from and within their area’ which was identified as being ideally suited to CRP activity where designated lines cross multiple local authority boundaries.

- The requirement through the Implementation Plans to quantify the impact on the 10 LAA indicators as well as non-transport specific indicators, thereby effectively embracing the process outlined in the Main Toolkit report, namely how CRPs support the delivery of cross-cutting LAA indicators.
- The requirement for a Local Transport Plan 3 to show both proposed capital and revenue spend, and how Plans which demonstrated partnership funding had always been well received. A CRP therefore had the opportunity to consider the expenditure plans of its partners such as TOCs, Network Rail, and others, to include existing or proposed funding streams within the overall timelines of the LTP3 implementation plan.

In considering value for money in Plan submissions, CRPs were further encouraged to consider promoting to their highway authority partners the findings of the ACoRP Study on *The Value of Rail Partnerships* (ACoRP, 2008) with particular reference to the Benefit Cost Ratio (BCR) figure of 4.6:1 which was validated by the Department for Transport's own economists.

7.7.3 Influencing and Implementing the New LTP3 Guidance

As with all previous Local Transport Plan Guidance, consultation both on the guidance itself and on the development of an individual Plan by a highway authority, has been a significant activity. With the completion of the NI Set, the reduction of core DfT indicators from seventeen to ten, and the publication of the consultation guidance on LTP3, I prepared for ACoRP, as a direct output of the work of this thesis in delivering research objective 4, a consultation response which sought to influence

the level and suitability of data definitions which could be considered in meeting public transport related targets of an LAA Indicator. Specifically, it was argued that patronage on Community Rail lines should be eligible within the definition of 'public transport' as outlined for Indicators 175 and 176. ACoRP, supported by the GO Network, sought to have the National Indicator guidance amended to reflect this. A copy of the text of this response, prepared through this study is enclosed as Appendix C. With the LTP3 Guidance finally published in July 2009, the subject of LTP3 consultation and the level of both CRP engagement and that of the wider third sector was explored with stakeholders through the fieldwork interviews. When considering this thematic area, the responses were diverse:

'We as a county council have no power or authority over the rail industry whatsoever.' (subject 4)

'Right, they were invited and came along to all the events that we held, and we held the events you know, it was a road show, and we did have a third sector consortium at the time but I don't know how much you know about the *[name(s) deleted]* third sector consortium, but it is a mess.' (Subject 11)

'I think the LTP will make reference to it. I've also seen the final concentration draft of the LTP and my personal view is that apparently the rules have changed, but to me it's like a LTP2 introduction with no substance.' (Subject 4)

This was not necessarily supportive, nor representative of the more positive approach generally adopted in relation to CRPs in LTP2. A more positive reaction was outlined when discussing the engagement issues with those directly involved in delivering CRPs:

'I've had them send LTP consultations personally to me which we've gone through together, two heads are better than one *[name(s) deleted]* will respond to the LTP3 on his own behalf but he will often ask me, like for instance when he had to give a breakdown of the whole area, he sent the document to me just to check over a few things, and I just amended, you know, where there were certain assumptions that weren't right, not his problem, but from a previous document. He will say to me they're having a strategic

framework document we've got this and we're going to consultation, we'll send it to you and we'll look over it. *[name(s) deleted]* will do the same because he's fairly unlimited and this is great because now we're actually in strategic documents.' (Subject 9)

The difference between the two can be partially explained in the wider reaction of highway authority local transport plan officer to the other significant changes being introduced in LTP3, such as the reduction in the number of indicators from seventeen to ten, and the removal of the performance monitoring requirements:

'I mean the connection with performance reward has gone and I'm not at all clear what our approach to performance management is going to be. Our Director is clearly anti-targets and at the same time I think it's reasonably obvious that it's helpful to have something that you can measure. So whether it's passenger footfall at railway stations or traffic growth on key routes or whatever it seems important to me to know what's occurring, you need to know how casualties are declining or increasing. So I think it is really important to have these things but what we do about setting targets for LTP3 I'm afraid I'm far from clear and I thought perhaps I might pick your brain about that.' (Participant 6)

With such a significant shift in policy terms for the LTP practitioners, and with Government also proposing that the LTP funding would no longer be ringfenced for transport, it was not too surprising that the minutiae of how CRPs could contribute to a reducing performance monitoring regime was not at the forefront of the LTP Officers thoughts when considering how the revised LTP3 would be prepared, at the time of the fieldwork. Like all other local authority departments, with only the designated indicators of a Local Area Agreement being part of a formal monitoring process, aligning and demonstrating contributions to these was becoming more important. Such concern expressed the lack of monitoring performance did not only affect transport, but all other departments, both within a local authority, other public sector

bodies party to an LSP, and also including those Government Departments represented within the Government Offices, as summarised in the following response:

'I don't think there's a Government in the land who will not want to know what's going on in their policy area. It just takes the, you know, the next fatality in a safeguarding issue in a serious case review and the, you know, [name(s) removed] is going to want to know why. When we're monitoring and measuring all of the safeguarding issues. Well, the simple factor is they've told us they don't want to measure it. So I, personally, I think it's a big mistake.... I think any government worth its salt is going to need to have a finger on the pulse, and if a government is really true to the localism agenda, you can't have it both ways. You've got to have a dialogue with the area. The worry is how our 400 odd local authorities are going to have a dialogue, a conversation, with Whitehall? And will Whitehall necessarily want to have a conversation with the localities?' (Recruit 4)

7.8 Summary

This Chapter, in addressing research objective 2, also generated the data required to support the fulfilment of research objective 4 in creating practical outputs for the Community Rail community. The purpose behind research objective 2 was to consider the spaces of engagement as to how CRPs could, or do fit within the neoliberal localisation process introduced by New Labour. Traditionally, the core spaces of engagement of a CRP would see an alignment with the public transport or similar departments of a highway authority, and the review of the case study lines income provision from the public sector would tend to support this assertion.

However, such traditional alignments and hierarchy of governance and policy no longer exist, and so to be able to understand both the opportunity for CRPs and any threats to them in going forward, the wider policy environment and the new geographies of governance needed to be considered. This new approach to localism

and the role of the third sector organisations, including Community Rail, has been part of a progressive movement starting very early on under the New Labour administration through the introduction of Compacts and the hollowing out of state activities which were filled in through a neoliberal approach to regional governance mechanisms in alignment with the Literature Review of Chapter 2.

The research detailed within this chapter has shown how it has been the rescaling of state functions to the regional tier as a state spatial strategy, with its new constituent agencies and participants, which has shaped the new spaces of engagement for CRPs within the new territories. The chapter has outlined how the new metagovernance body to manage this process, the Local Strategic Partnership (LSP), with its core duties, including the preparation and publication of the Sustainable Community Strategy, its role in providing medium term strategic direction for an area, and in negotiating its area's Local Area Agreement influences how a CRP can and does engage.

The chapter examined how core actors involved in CRP Leadership, policy and governance have reacted to this change, and how at the national scale, CRP related policy makers within the Department for Transport were not engaged in the process to influence the Department's National Indicator Set selections or definitions, raising wider concerns about internal communication across core policy areas. Likewise the understanding and engagement across the highway authority scale with this process, also demonstrated a lack of engagement and influence towards the selection of designated indicators aligned with core transport policies and values.

With the LAA as the only measure by which the performance of a local authority is now to be judged, replacing all former requirements such as LTPs, the chapter examined the detail of this new process and how the new National Indicator Set aligned with CRP values and outcomes. This led to the creation of the CRP Toolkit in contributing to meeting the output based requirements of research objective 4. Core themes examined included the quality of the indicators; the awareness and knowledge of indicator selection; the relevance of an indicator to a CRP; the CRP's approach to outcome data; and access to key Performance Managers for CRPs to create their own spaces of engagement in this process. The purpose and place of the National Toolkit Report and Integrated Model being an aid to the DfT, ACoRP and CRPs in contributing to research objective 4 was also examined, with the resultant thematic appraisal and interpretation considered in detail within Chapter 8.

Having reviewed and considered the structural process to the new localism hierarchy as a state spatial project and its impact on CRP stakeholders, the chapter examined how the core localism practitioners and the governance mechanisms established to deliver and own this process, understood how such change would impact both positively and negatively on third sector bodies such as CRPs. The research considered the level of awareness of the CRPs of their role in contributing to the outcomes of the National Indicator Set, and their awareness of the wider localism policy environment, and concluded that whilst such awareness was very low, there was a wider recognition of the need for this to improve. It further determined how, having understood the place and purpose of a CRP, the actors engaged in the process of localism governance and delivery agreed that CRPs should have an opportunity to engage, and contribute to this new process. This led to an examination of core

themes associated with filling in this void, including defining the value added, and identification as to who should lead and be responsible for how the geographies of governance impact upon the engagement with such a process by a CRP, which is at the heart of the research objective.

The chapter concluded by demonstrating how the research had identified that the radical shift towards localism and neoliberal localisation through the LSP/LAA process had directly affected core policy processes detailed in Chapter 6, such as the LTP2, and how its original purpose, and funding processes had now either changed or were proposed to change in relation to LTP3, as well as the removal of the reporting requirements. The chapter examined the likely impact on CRPs of this process, and identified how CRPs could best position themselves to add value to this new hierarchy in their delivery of the Community Rail Development Strategy objectives. This research led to the publication of the CRP Toolkit and Guidance Report for core policy stakeholders and CRP practitioners, central to meeting the requirement of research objective 4.

With such a high level of alignment opportunities between the National Indicators and CRP outcomes identified, and the confirmation from actors within the LAA performance management process of the opportunity for CRPs to engage with and contribute to these indicators, whilst requiring a definite shift in terms of performance management for CRP Officers, the research of this chapter has concluded that CRPs should be well placed to engage in this new localism led regime.

Chapter 8: Community Rail Governance and Engagement as a Catalyst for Success

8.1 Introduction

Chapter 3 has outlined how modern day Community Rail Partnerships have developed over the last twenty or so years. With no guidebook as to how a CRP should develop, be constituted, or operate, emerging CRPs have pioneered their own approach to governance. Over time, and with support resource in the form of both the DfT Community Rail Division and ACoRP, lessons learnt from early adopters, and changes to third sector status opportunities, now provide CRPs with a range of governance options. The chapter centres upon addressing the third of the core research objectives: ‘To evaluate the importance of governance and engagement processes to a Community Rail Partnership in supporting successful Strategy outputs and outcomes.’ Seven main types of governance functional groups were identified in Sections 4.3 and Table 4.1 as being utilised by CRPs. Governance types are separate to hosting organisations, which may be host to more than one governance structure as explored in Section 8.2.2.

This chapter considers the impact of the governance model adopted by a CRP on its ability to provide a stable and successful platform for operational success. It considers the pros and cons associated with being hosted by a local authority, in contrast with the values associated with a more independent approach. The scale of the CRP is discussed as are the financial and structural merits of an ‘umbrella’ partnership approach covering multiple lines, over a single line, single organisation structure.

Within this localised governance environment, the chapter then considers the importance of resource stability and how, or not, this influences the Partnerships approach to governance. The existing resource mechanisms, structures and policy levers applied are all reviewed, in addition to the role the CRP has to play in maximising income and value for money. Also considered is the important area of the role of the Individual in promoting stable governance. Key positions and roles of both direct and indirect actors engaged with a CRP and its governance are considered including those of the Chairman and Partnership Officer.

The chapter then demonstrates how the central aims of the 2004 Strategy cannot be delivered in isolation by a CRP. Success is reliant on positive engagement with those actors responsible for service operations, infrastructure and maintenance, as well as those engaged in the wider policy environment. The chapter explores the levels of engagement and relationships between a Partnership and the three core actors of the Transport Operating Companies (TOCS) and their trade body ATOC, Network Rail as infrastructure owners, and the Department for Transport Community Rail Division.

In exploring the engagement between a CRP and the TOC, functional output areas associated with data, marketing, branding, service operations, connections and ticketing are reviewed, as is the core governance theme of how differing departments and individuals engage with the Partnership, and the importance of both key TOC individuals and the role played by the CRPs inclusion as a franchise commitment. The engagement with Network Rail considers both the legacy position in relation to its predecessor Railtrack, and current observations and experiences. The process by which Network Rail engages, its own governance process, and its embracing of the

Strategy as national policy is reviewed, as is the way Network Rail collates its data, costs, and procurement practices in managing its infrastructure on branch lines. The chapter considers whether the current approach is compatible with delivering the 2004 Strategy and outlines how through working collectively, CRPs are achieving success in changing established Network Rail practices.

The chapter then considers the role of the Department for Transport and its approach to engaging with the CRPs in meeting its own policy responsibilities, and its role in supporting the framework for CRPs to succeed.

8.2 Governance Models As a Platform for Stability

8.2.1 An Independent Entity or Public Sector Function

As the importance of the role of CRPs has increased, so has their ability to play a more significant part in contributing to local area priorities and indicators. In trying to secure a stable environment within which a CRP can grow, minimise risk and provide the best platform to deliver strong outcomes, a Partnership's decision on its governance process is likely to be one of its most significant decisions, with the risk of an inappropriate choice or application of the governance process having significant negative implications:

'Regardless of where it is actually operating, the Partnership should have an equal amount of commitment regardless of what it's set up as... whether you're a Company Limited by Guarantee or whether you're working out of the local authority... the structure of the organisation should make no difference.'
(Driver 1)

In considering the importance of governance, two approaches widely used by CRPs were reviewed in detail; un-incorporated bodies within a local authority environment, and more formalised structures operating in a more independent environment. Within these two approaches most of the governance types identified in Chapter 4 can be aligned. In exploring the rationale behind a local authority's preference to becoming a CRP host, the fieldwork identified two core drivers.

The first of these relates to the personal commitment of individual senior officers within the highway authority towards CRPs, and the contribution the CRP could make to the wider sustainable transport policy approach of the authority. Managed well, it is widely considered that this can have a very positive impact on both a fledgling and mature partnership, but when such support is no longer there, the impact can be devastating. This is considered in detail in Section 8.3.1.

The second driver identified is the perception of advantages relating to corporate administrative support which the local authority could offer to a new Partnership finding its feet, particularly in accessing employment processes, administration support and office space. This was identified as a real benefit for a new CRP, enabling it to become operational very quickly with a professional administrative structure behind it. However, whilst such benefits are clearly identifiable in the early stages of a CRP, the fieldwork showed that those same early advantages became tarnished over time through a perceived loss of CRP Officer time in fulfilling on-going corporate administrative requirements. One interviewee outlined how they felt 'non-productive' administration was costing the CRP up to twenty per cent of staff time each week. All CRP practitioners employed via a local authority who were interviewed as part of the

fieldwork recognised the negative impact on available direct CRP work time as a result of corporate administrative requirements, as illustrated below:

‘Well I mean the big one recently is they’ve all had to go through a system of job revaluation and that was extremely time consuming and still continues to be so, a lot of people in my office, a lot of employees are having to continue to do the system on appeals and whether is right and point scoring and all that lot. And then there’s all the other things like you’ve got to go through the process of an hour long e-course on not wasting paper.’ (Subject 8)

This cost to officer time from such additional administrative duties was also tested on the independently hosted CRPs, and clearly did not represent a significant concern:

‘At the moment it's very little time on corporate administration, the processes are in place and work pretty well.’ (Subject 7)

One interesting approach outlined was in essence a hybrid, where the Partnership Officer was hosted by a local authority as part of a secondment. The officer in this model remained an employee of a third party but gained access to the benefits of being hosted by an authority without being required to undertake extensive personnel related admin of an employee. It is an approach that would warrant further more detailed research. A further disadvantage raised from being a local authority employee, hosted within a local authority, with a local authority managed budget via an un-incorporated body is a higher risk to long term financial stability due to the ease of a partners ability to walk away from an internal commitment, rather than from an external legally constituted body:

‘The down side of having, let’s continue to call it an un-incorporated body, let’s say, is that technically you can just walk away from it. If you get bored with it,

you can just take your ball home. And I don't think that gives any longevity to the project. It doesn't encourage people to stick with something. When you're a company limited by guarantee, you have to fulfil functions through the year, so you can't just shut it up; you have to apply to Companies' House to shut it down, you have to go through various things. So you can't just throw a tantrum and decide you're not going to do it anymore. You have to resign as a Director. So it gives it some sort of security.... You legally have to have a bank account, and you legally have to have an annual report, so I think that's a very good discipline for some of the organisations to direct them' (Driver 1)

8.2.2 The Value of Independence

A further influencing factor on governance model choice, relates to a perception of a positive value to a CRP of independence itself. Several interviewees were keen to align local authority hosting of a CRP with enhanced control, and a concern that this limited the independence of the Partnership Officer in their ability to criticise local authority proposals and policy, whilst others reflected a more distrustful approach to local authority engagement in general:

'We did see a benefit because it did stress the independence from the local authority or, indeed, the rail industry and I think that played better with some of the local stakeholders and I'm meaning the very local stakeholders, the individuals on each of the lines, the people who make up the line forums and so on... it's played well with everybody and it plays well with the press, for instance.' (Driver 7)

'I am sure in many ways [*the CRP Officer*] gets frustrated and probably does want to do more but maybe has to toe the line for the planning and transportation department.' (Recruit 1)

'To be honest, sometimes you feel that we might as well be administered from the moon as from [*name(s) deleted*] and I've got to be careful what I say here, sometimes the Council just do not get it.' (Participant 3)

However, even where the CRP is independent in terms of governance, there is still wide recognition of the importance of ensuring, as a proper partnership should, that it

represents the views of its local authority as a core partner, and that at times to be more associated with the local authority is considered to add strength to the role:

‘Yes you might have a great idea, but you also need to show that the council, the county involved or the unitary, thinks it's a good idea and wants to see it happen as well. Because if they don't, it might be the best idea in the world, if they think the council isn't bothered about it, it can just end up in that big mass of good ideas that nobody does anything about..... I've seen it a number of times really that you've always got to have the council visibly behind you, and I think particularly in meetings. If you're there as the Partnership Officer you don't have quite that same weight as if you're there as the council representative, that's one of those things.’ (Subject 7)

Ultimately of course, there is recognition that any Partnership Officer is never truly independent:

‘He is still not completely independent because he has to be a political animal... He has to acknowledge where the money is coming from at least?.. And he probably does that very successfully’ (Observer 7)

8.2.3 Single Branch Line or ‘Umbrella’ Partnership – How Local is Local?

The desktop research outlined in Section 4.3.4 highlighted a growing trend within CRPs to adopt an ‘umbrella’ style approach to their operations, built around a centralised administrative structure, and a core pool of staff covering multiple lines. The origins of this can be traced back to 1991 and the Devon and Cornwall Rail Partnership which from its inception sought to support multiple lines, each with their own individual locally governed working groups, supported by a central team based in a ‘neutral venue’ Polytechnic South West (now Plymouth University). I explored this trend with core actors in all case study areas to identify what they considered to be the main

benefits and drawbacks of such an approach. From the practitioner's experience, the benefits identified related to scale and transferability of skills:

'I think the advantages are if you've just got say one line then you would only have one person to do that, so having multiple lines means that we have a bigger team, and it means that we can devote more resources to key priorities at certain times. So say for example last year with the launch of the *[name(s) deleted]* Line, we just had a bit more resource to put in than we would have if you just had one officer on one line.' (Subject 7)

The 'umbrella' approach was also identified as having benefits to other core partners whose own responsibilities cover a wider area:

'No, I think that is very, very helpful. It does save a huge amount of time, and again talking about individuals, *[name(s) deleted]* as an individual is a superb partnership manager to deal with.' (Participant 14)

However, the drawbacks highlighted a risk of perceived isolation from the local communities, due to the remote office location, a risk acknowledged by those attracted to the efficiency gains which could be achieved:

'I think it is going to be helpful to have this idea of 'Community Rail *[name(s) deleted]*' to try and bring all of the lines together. This worked well in *[name(s) deleted]* to have a family of CRPs together, they share best practice, they brand stuff in common.... I think you're right there is a slight niggle that somebody might say well hang on you know this is imposed by *[name(s) deleted]* as opposed to being seen as a natural approach to local support and delivery, and will need to be managed with all parties and be sensitive to such an approach.' (Subject 6)

8.3 Resource Stability as a Governance Issue

8.3.1 The Importance of Resource Stability

A key theme throughout the interview process when considering governance was that of stability, and in particular, the stability of financial resource. Having already introduced within Chapter 7 the need to align demonstrable outcomes of CRPs with key performance indicators to quantify value, this sub-section builds upon the interviews completed with core financial and policy stakeholders in considering the practical measures, structures and processes which support the ability to achieve CRP financial stability, its impact on governance choice and where this may develop over time.

When preparing for the interviews, in acknowledging that a significant proportion of CRP funding is from the local authority sector, I had expected that one key area to be explored would be the relationship between capital and revenue funding access and associated limitations on activities. However, this was not the case. In almost all of the case study areas, good awareness and knowledge existed as to how to utilise revenue and capital funds optimally with the opportunity for cross-fertilisation clearly evident. As such this was not considered further. What became the focus for consideration were activities associated with delivering financial stability in the current economic environment; maximising value for money; opportunities for enhancement; and the influence of national policy on this process, as well as outlining some thoughts of interviewees as to where they think in the longer term CRP resource may be heading.

8.3.2 Grant Funding Access and Governance

A clear area of influence in relation to governance model adoption, related to grant funding eligibility. A key point stressed by several local authority based respondents was that as a local authority governed CRP, there were funding streams where they could not apply, but to which peers in other CRPs could as the grants were restricted to third sector organisations only. This was regarded as a one way process as when local authority only funding opportunities arose, there was no added advantage to being local authority hosted, as the nature of good CRP working meant that those independent CRPs with strong local authority partners were still able to apply, with their LA partner as the core applicant and the CRP as the delivery partner. This ability to access a wider range of funding streams was regarded by many CRP practitioners as one of the core drivers for a more independent governance structure:

‘I think historically of course one of the advantages of being not within what was then [*Council Name Deleted*] was the ability to seek funding bids from external sources.’ (Observer 5)

‘I think it was originally done so that we could access external funding more easily as part of the partnership and it wasn’t based in a local authority, or wasn’t part of the rail industry, I think therefore, certainly in, particularly in early stages, it obviously gave considerable advantages that it was seen as almost a standalone body that was part of a partnership and it ticked the boxes.’ (Participant 7)

The research confirmed an expectation from core funders that their own contribution should be optimised and used as the basis for further matched and grant funding wherever possible. This was seen as a duty of the CRP to add value, and in reality I expect would be the same for any multi-stakeholder partnership utilising public funding in the current economic environment. This builds upon the history of the

development of CRPs over the last twenty plus years and their ability to align CRP outcomes with those of grant awarding bodies. Such an approach is regarded by practitioners as almost essential in keeping all partners on board, particularly the TOCs:

‘I think the train operators look on the CRPs as good value for money from their perspective, because as an example, they commit £7000 in total.... We spend £40k on production of line guides and publicity. So that’s £33k worth of publicity the TOC have got for free. So it’s good value for them, so it’s a small investment for quite a substantial return, as far as they’re concerned.’ (Subject 5)

To what extent this is sustainable over the long term, cost effective in relation to management time in administering all such grant processes, and successful in supporting a long term stable approach to CRP funding is considered within this chapter.

8.3.3 Aligning Governance with Resource based Processes

As considered in Section 8.2.3, the ability to separate the funding of core staff from funding individual branch line activities is regarded as a significant contributor to CRP stability. Responses indicated that local financial support was more likely to be forthcoming where it could be shown that all of the local resource contributed would be used for specific actions and not diluted between staffing costs and activities. Whilst recognised in many cases as an unavoidable process, and the scourge of third sector organisations everywhere, Interviewees were keen to try to avoid such demand-based governance and financial model acknowledging the inherent disadvantages, as

typified in the response by Observer 8 where a core part of funding raised was used to pay for the Officer and not the activity, creating a perpetual administrative activity:

'I know *[name(s) deleted]* spent time making sure they were going to be there next year as it were, which we understood was going to be part of it but did detract from deliverables.' (Observer 8)

It was widely acknowledged that a governance model which focused on aligning local contributions to local activities became a more attractive proposition to potential funders:

'I think it helps particularly because we have multiple lines where funding that comes in from outside ... or from each council/partner is directly spent in publicising and doing work on their line in their area, I think that's a big help. As opposed to going into a big pot, where basically I split it up with the officer group between the lines.' (Subject 7)

Whilst not easy to achieve for all CRPs, it was clear that where an 'umbrella' approach could be applied, it had real value:

'Yes I think the council would see the fact that the £10,000 we've put in is actually spent on the *[name(s) deleted]* line because it's the only line that comes into our area. I would imagine you know they would be none too enthusiastic if they thought it was being spent on another line as part of a bigger pot.' (Participant 8)

What was also clear, however, was how such an open approach could also expose the inequality of contributions and support, to the level of work expected. In one case study area one local authority which had around twenty five per cent of the stations in its bailiwick, only contributed around five per cent of the funding of its neighbouring authority towards the line's activities and no contribution to the CRP Officers own

hosting costs. Yet, at the meeting I attended as a participant observer, the same authority was by far the most critical stakeholder demanding more action in its own area. This put the CRP Officer in a very difficult position, because part of the value of a CRP is in being able to demonstrate a multi-stakeholder partnership, where the whole is greater than the sum of the parts. This collective approach is regarded as one of the core CRP strengths as summarised by Observer 5:

‘It would be a massive, massive, massive problem if one of the core funders were to say, actually, no, we’re not going to fund you anymore, and replacing that. Replacing that funding would, A. be extremely difficult, but B. it would also be the message that’s being sent. If one of the core funders said, actually, we don’t really want to carry on with the Partnership, actually it would be more than the money; it would be we think this has run its course, and that would be very difficult.’ (Observer 5)

8.3.4 Financial Stability Through TOC Franchising

Most significantly, however, is the role of the franchise process in delivering stability for CRP resource and was a core theme in all case study areas. It has been Government policy since 2007 that all new rail franchises consider how they will support and approach Community Rail when bidding to Government. This is seen as highly significant by all parties to the long term stability of Community Rail funding and status. In managing this process the Department for Transport does not tell bidders what they have to do in relation to CRPs, but confirms within the franchise specification that localism matters to them, that the CRP policy exists, and that they want the local TOCs to work with stakeholders to factor such localism within their bid response. Overwhelmingly, and I would suggest unanimously, the responses of all

stakeholders when asked about the importance of CRP inclusion in the franchise process can be summarised in the responses from Subject 7:

‘Oh yes, yes it’s vital. We had a strategy meeting at the DFT back in the early spring, *[name(s) deleted]* came to that, and the point he made, almost to the extent of banging a table, was that Community Rail has got to be in the franchise agreement because if it wasn’t, and particularly if there was no money attached to it, then it was feared the TOC would spend no time on it, because they’d say, well they were delivering the contract to the government, and if the contract didn’t include CRP’s then.’ (Subject 7)

8.4 The Role of Individuals in Promoting Stable Governance

8.4.1 The Role of the Senior Individual

The role of the individual has always been essential in the history of Community Rail development as outlined in Chapter 3. In the lead up to the creation of the Community Rail Development Strategy it was the individual senior level commitment of Richard Bowker which provided the environment and culture to enable influential SRA Officers to take the lead on the Strategy development. Such senior commitment is consistently shown to be crucial in endorsing and authorising a change in corporate approach in making the formerly impossible, possible:

‘I can’t remember when actually, it must have been late 2004 early 2005 I suppose, and immediately changed things because he was a guy whose responsibility was as account director for this whole area and suddenly lots of barriers were broken down and there was somebody sensible to talk to and discuss things, see what was possible.’ (Driver 2)

The same principles clearly cascade to individual CRPs and the relationships between core stakeholders, particularly those who contribute financially:

'I think within the funding bodies you need senior commitment, so although you don't necessarily need their senior people to be actively involved, you do need them to support the cause.' (Driver 7)

With the recognition of senior support and commitment, comes the confidence to embrace the principles of the 2004 Strategy and empower those directly engaged to contribute in perhaps a more positive way than they may have done otherwise. Likewise having a good mix of stakeholders, volunteers and skillsets within the CRP process, with good leadership from core individuals in the TOC and the Partnership Officer is also considered highly important:

'Having two or three people, probably volunteers, and having one or two strong allies in the TOC are crucial. If you don't get that, if you don't get that mix, and equally with the relevant local authority, county council or unitary, whatever it is, you won't get very far. And I think there's, you could say that a fairly formal bureaucratic management system could be as effective as one that's totally laid back and anarchic but that's not because of the structure itself, it's just because of the people.' (Driver 6)

Where such senior level support is in evidence, the impact and security and confidence is clearly enhanced, but with this comes a significant risk, particularly for CRP's as unincorporated associations within a local authority that where a senior individual moves on or is replaced, the impact can be devastating. Figures 8.1 and 8.2 represent two sections of actual transcripts which clearly demonstrate the impact of this scenario.

Figure 8.1. Transcript Snapshot from CRP A

Transcript from CRP A

Your CRP at the moment and since its creation has had all of the administration taken on through [council name deleted]. Were there any conscious decisions as to why you wanted to go down that way?

Well the initial start was when we came in and helped the initial meetings down here to find out what level of interest there was, so we sort of did the field-work. I suppose in a way because we already had the model existing elsewhere, the model just rolled itself out and in a sense almost a decision was made subliminally rather than consciously I think, it was just a case of yes we do it elsewhere, this is how it has worked elsewhere, and that model just rolled itself forward. I mean if somebody here wanted to take it on, they are more than welcome

We certainly don't see any core problems, we have an excellent relationship with the two unitaries of [names deleted] and cooperate with them, there has certainly never been any animosity between us or even a feeling that [name(s) deleted] is muscling in and ruling the roost. There has certainly been none of that, and our relationships with our joining authorities again, [names deleted] all contribute into the general pot and again are quite happy that the hosting of the CRP office is done in [name(s) deleted], we do the admin for the partnerships.

I suppose in terms of where it might go, from my point of view it works quite well because [name(s) deleted] is at this point in time, quite a good funder of Community Rail Partnerships, with good senior support, so in a sense it makes sense that it retains a lead in doing that. If anything was to change, I have looked at the alternative models; we could go down the Community Interest Company role or set up a Company limited by guarantee.

It seems to be working, people tend to be fairly satisfied and if they are not, they are not saying they are not, so at this point there doesn't seem to be any incentive on any of us to be looking at an alternative way of constituting the partnership, but that's not to say in a couple of years' time things might be different and we do need to look at some alternative arrangement.

Source: Author.

Figure 8.2. Transcript Snapshot from CRP B

Transcript from CRP B

The Authority keeps me on a very short leash. I'm not as free as a lot of CRP Officers might be. They prefer that I stayed in the office and be entirely office-based, which when you want to see the work that you paid for at stations, is difficult. They can't justify my time going out to a station to check on work that we've paid for. So that's a monetary value, 'when I'm not performing'.

But if your job is to promote the railway lines and you're there bringing all the partners together to discuss the line and its improvements in the business plan, surely that's fundamental to the success of your role?

It is, but they would prefer it that the other partners came to county hall or to the bus station to deal with it. We don't get issued with anything now, we have to pay for all our own mobile phone calls and everything.

Really? You don't...

Yes. You can't even claim calls back or anything. It's a big issue with me, because they've reduced the salary twice since I've been here.

Where's that led from? Is that member-led or officer-led?

Officer-led. Senior Officer.

That must be very frustrating.

It is, which is why I would like the CRP to become a Community Interest Company. I've mentioned this to the bosses, but they didn't want to know. I asked them why and it is because they would lose control of you. As a Local Authority employee, you will do as we tell you.

Do you have a manifesto for the current potential franchise bidders of what the Partnership would like to see on the line?

It's difficult. We would like to have done this, but it was against *[Council name deleted]* policy. The individual funding partners want to negotiate their own advantages with bidders. As for *[Council name deleted]* who've already met three of them, I wasn't involved in those talks, so I was not party to what was going on.

So the individual members of the working group don't see the CRP as the core delivery vehicle for all issues relating to the line?

No - they see it as a promotional group made up of local authorities

If you had your way and a clean sheet of paper, and if the funding levels were the same as in the Council, how would you set it up?

A CIC - It would offer better value in the fact that the CIC would be independent of any major stakeholder. The way it's set up at the moment, it's not entirely independent. It's governed and monitored by the local authority as their major vested interest. The *[name deleted]* fund is brilliant. I could get £10k if I weren't a local authority, I don't even have to share a profit or a return on the investment, provided there is a community benefit. Community benefit is station gardens, it ticks all the boxes, and lowers the carbon in the villages. It ticks all the boxes but we can't apply it because of local authority.

It's seems so depressing?

Oh, you wouldn't believe it.

Source: Author.

8.4.2 Harnessing Enthusiasm

An interesting but clear observation of those individuals engaged in CRP activities I observed, was the very high level of personal commitment and enthusiasm that it stimulates, over and above what may be considered reasonable to expect. This applies to both those engaged as part of their day job; with a third party such as a local authority or TOC; as well as to those participating on a purely voluntary level such as Rail User Group Volunteers or an Independent Chairman:

'I think at the moment we've benefited from really supportive individuals, as far as I'm concerned... *[name(s) deleted]* has been key to that and I suppose he's having to operate with a very clear understanding of what his employees require, but at the same time I think he's you know, a pretty strong, real committed person. Just as a quick aside, I'm actually really very interested that really indefinable commitment, the sort of emotional commitment in organisations and in systems, and even notions like the volunteers is one I find interesting, because I see the voluntarism as something that applies in professional organisations as much as outside them.... They seem to be doing something worthwhile, effective, that's still pretty lean, and is not embedded in big bureaucracies.' (Subject 1)

'I think it's almost a bit like, most of the people involved in CRPs want to do it because they want to make the society a better place and they attract people who are volunteers who want to do something similar, and are faced with a group of people who are enthusiastic and positive and doing something for nothing or for not very much.' (Driver 3)

'I think it's a mixture of all of them, you know it does seem to be like a little family, it is the essence of what I say Community Rail, everybody knows each other, they all seem to be working to what looks like common goals.' (Participant 8)

In trying to understand this commitment, one of my questions for all the Community Rail Partnership Officers from my limited participant observations, was 'why were Community Rail Partnerships so white, male, middle-aged, and middle-class?'

‘Yes, yes, yes, yes. Of course they are, aren’t they? Pretty much.’ (Subject 1)

‘Yes it is really, it is really interesting, and I still go to meetings where I’m the youngest person at forty seven.’ (Subject 7)

‘Because a lot of us were railway enthusiasts when we were kids and we’ve kept that enthusiasm and interest in adult life.’ (Participant 8)

To be able to harness this enthusiasm and commitment, package it in to a coordinated action plan without it being seen as a burden, and to maintain and support a stable operational environment within an increasingly changing environment of stakeholder representation, clearly requires a high level of leadership and skill from key actors.

8.4.3 The Importance of the Role of Chairman

Having experienced and observed governance mechanisms of the case study lines visited, I was keen to explore the importance of the role of the CRP Chairman and whether they had a direct influence of the success of the Partnership. It was clear that different approaches were being applied from a fully engaged but seemingly laid back approach, allowing members and officers to set and follow their own agendas; via a more direct hands on approach to engagement; to the apparent use of the Partnership to further individual political aspirations. Whilst there is no single correct way or style or manner that a Chairman should behave, other than acting in the best interest of the Partnership, it was clear that completely different approaches were entirely appropriate depending on the needs, legacy, context and confidence of the individual lines concerned.

One clear aspect was the high level of thought that some Chairmen had given to providing the best operating environment for their line and engagement in its governance and their commitment to ensuring the CRP Officers were supported and encouraged:

'I don't think I'm much more than hopefully a reasonably accommodating facilitator of the session, and the value is again rather indefinable but it brings people together who wouldn't normally come together..... there's a strength and a weakness of widening the group out as on one hand you could make it even more effective as a community-oriented group. On the other hand, you could, if you open it up too much, you could poison it..... I think they just get on with it, really, we've got a Partnership and I don't know whether you need much more of a structure, necessarily.' (Subject 1)

'My role – it's a figurehead. To give advice if *[name(s) deleted]* asks for it. There has been the odd internal dispute and I always seek to provide an impartial view – listen to both sides of the story, or all the sides of all the stories. And take any sting out of the tail, basically.' (Subject 4)

'Yes, I think *[name(s) deleted]* had some problems..... what I needed to do then was to start ringing *[name(s) deleted]* up and arranging meetings and there's when the officer's meetings became more regular to give *[name(s) deleted]* support. Away from the big meetings, and to make sure that *[name(s) deleted]* was okay personally... I feel that if there's any restrictions caused by me personally then it would certainly be time for somebody else to have a go.' (Subject 3)

It was also clear how important the individual as Chairman was and the way they fulfilled their role, to the CRP Officers themselves, as typified by:

'*[name(s) deleted]* has given me support. He said, you know, he loves my action plan, he thinks it's really good and that, to be honest, meant more to me, a personal, verbal thank you, than ever an ACoRP award would have done.' (Subject 9)

Where such a supportive and commitment focused approach is not evident, the role of Chairman also has the potential to cast negative shadows over the work of the

Partnership, its Officer and partners, and to create local challenges and issues detracting away from the core purpose. With the inherent nature of CRPs being a coalition of different actors, this structural diversity comes hand in hand with individual opinions, personalities, politics, styles and manners:

‘I must admit I’m a bit of a loose cannon at times and you forget to pop it on the computer and tell them what you have in mind and all the rest of it..... I mean I started all this basically on my own. I mean, obviously, the Rail Users Group had been going for a while doing little things but, you know, I decided I’d stir it up on my own and yes, I have used it, if you like, politically as well, I mean it is always a good thing to have your picture in the paper’ *And when questioned about the aims of the CRP Strategy* ‘Well, I think we take all that into account but, yeah, I don’t see it as being that vitally important to us.’ (Subject 2)

‘And in early days we suffered from, I hate to say this but the chairing of the group has been weak and the chairman’s role has been relatively weak.’ (Subject 10)

8.4.4 Who Makes the Best CRP Officer

Whilst finance has tended to dictate whether the CRP Officer is full time or part time, and other sections in this chapter have highlighted issues around the Officer and the importance of their employer and employment base, one area also considered within the research was the type of person deemed to be most suitable as a CRP Officer. I sought to explore whether there was any sort of consensus that a CRP was more likely to succeed if the CRP Officer had originated from a railway background, or a more community related background. This was widely recognised as a pub-based heated debating topic within the CRP community. Whilst there was at least one voice in favour of CRP Officers having an established rail background:

'I think it certainly helps, I know there are a good number of Partnerships where they have no railway experience.... An awful lot of them are very good at marketing, or finance, or with people; I think they come to areas where they might trip themselves up as they don't understand railway safety and they don't understand how the railway operates..... I think it makes it easier when you go to talk to the community as a whole, if you've got somebody there that has worked in the business and can explain how it works.' (Subject 8)

Overall, of the individuals interviewed, there was a wider consensus that it was more important to have a community related background, as it was considered easier to learn the rail environment, with the support of the CRP TOC colleagues, than to learn how to engage well with local communities:

'I'd always go for the latter [*community experience*]. You can always teach someone about the railways but you can't necessarily teach them about community.' (Driver 1)

'Oh [*community background*] is absolutely vital. Yeah. Because [*name(s) deleted*] might not have the sort of rail background, but that has developed that over the years, but [*name(s) deleted*] has got the community background. Yes I think it's a better model.' (Participant 10)

Ultimately of course, the core recognition was that it was about getting the right individual for the role:

'And I think it's one of perennial debates, do you get somebody who's got railway experience, or do you get somebody who's got community experience, and I think there's loads of examples that could bolster either case, and I think it is about getting the right individual whose got an enthusiasm for the role of the railway, but has a wider community or business perspective. it's the enthusiasm and drive, coupled with either an existing interest or willing to develop an understanding of how railways work, but it doesn't mean you've got to become railway enthusiasts, but I think you do need to understand how the whole thing works in terms it affects your own job, and that the right degree of support as well within the CRP.' (Driver 6)

8.4.5 The Role of the CRP Officer in Supporting the Partnership

Having outlined the positive contribution that the role of the Chairman can make to this process, and the relative merits of the selection of the Rail Partnership Officer, I sought to explore further the perceived application of these attributes by the Partnership Officers in finding the balance between their own approach to support and leadership in relation to other stakeholders ideas and priorities, and how CRP stakeholders perceived this balance to have been met, or not. This can be summarised by one of the core interviews undertaken on this subject:

'I think it all depends what the other agencies want to do. I mean where *[name(s) deleted]* have over time devoted quite a lot of time and money on station improvements etc., well I'm just in there to support them with any figures or back up as required. Or if they're saying to *[name(s) deleted]* this is a good idea, and they want me to say it's a good idea for *[name(s) deleted]* then I will. And if I think it's not a good idea we'll have a chat with them and say, well actually, what about this..... And of course in keeping with the rail partnership is that the officer has got to drive things forward, the officers have got to be extremely proactive, and I try to do that..... I know I would say this, but you need somebody whose collating the data, making sure the lines continue to be used well, growing it, doing exciting new things on it as best you can, giving a good buzz about what's going on, on the line, so that you can demonstrate to people up country if you need to, this is a good line.' (Subject 7)

Such a response illustrates the overall approach I saw replicated throughout the process, and in general confirmed how the officers themselves put considerably more in to the process than was required by their job descriptions, a point made to me on several occasions and summarised in the response from two interviewees:

'*[name(s) deleted]* are exceedingly willing people, both of them will work weekends if needs be and do things in the evenings way beyond the call of duty and often not costing anything, they are not even claiming the time back they are entitled to.' (Subject 10)

'*[name(s) deleted]* does a brilliant job, a brilliant job, so whether without *[name(s) deleted]* it would have made such good progress, I don't know.'
(Driver 7)

What was also commented upon, on several occasions in relation to leadership and support was the role of the TOC and Network Rail and their engagement as core stakeholders in the process. This is explored in more detail later in this chapter at both a policy and local level, and the relationship between franchise responsibilities and actions. In terms of the role of the CRP Officer when exploring their engagement with the TOC, where it works it is really noticed and appreciated. However, where the mix is not right and the roles, activities, commitment and aspirations of members not aligned or managed in a positive manner, clearly this does impact on a CRP and its ability to deliver the 2004 Strategy:

'I guess the difficulty with the CRP here, people turn up for meetings and from, you know, District/Parish Councils, Borough, Unitary, and the County, but it is the County who are probably the biggest driver of all the CRPs in this part of the world.... I'm not sure we'd be sat round that table if it wasn't for *[name(s) deleted]* if I'm being truly honest, but again it comes down to, to the structures within the businesses round the table and how, you know, this piddling thing called Community Rail Partnership, some of them are there because they've been told they have to be and it doesn't, it doesn't actually link to anything within their structure.'(Participant 16)

'Unfortunately for the Partnership this is one of the weak points we stumbled into, and it doesn't happen in *[name(s) deleted]* in anything like the same way, but the universal involvement of groups is hugely better and in some respects it revolves around the willingness of the user group because in a way it is these troops that you need..... in some respects you know some of the action that goes around the willingness of volunteers and the user group and whilst they're a nice set of people don't tend to do a great deal and that is very unlike any other user groups.' (Subject 10)

When attending one of the case study functional groups as a participant observer, it was clear that one local authority attendee at the meeting was fully determined to be

as difficult and negative as possible, and clearly relished the opportunity to be so. When I raised this with the CRP Officer after the meeting and questioned whether this was normal behaviour, as he seemed to enjoy the process, the response received was that 'He does, that's his role in life.' This put the CRP Officer in a very difficult position and reaffirmed the importance of the governance model adopted and the senior level commitment to make a positive contribution to a line.

8.5 The Importance of Train Operator and ATOC Engagement

In considering and appraising the level of support to and engagement with CRPs from within the Train Operating Companies and ATOC, it has to be recognised that in some areas, this is a process dating back now almost twenty years. As Section 6.2.2 recognised, early engagement with TOCs, particularly after the initial wave of privatisation often had mixed results:

'I recollected, the Partnership became much more of a local authority versus the railway industry for a short while because people in *[name(s) deleted]* really didn't want to know. There wasn't a commitment in their franchise to support the Community Rail Partnerships then and relations really didn't improve, to a great extent, until *[name(s) deleted]* arrived on the scene and then again that was due to an individual.' (Driver 7)

By the time of the interviews, the Community Rail Development Strategy had been in existence for over four years, over twenty CRPs had received designated status, with over sixty CRPs in existence. ACoRP had been operational for over a decade, and support for CRPs had been a franchise commitment in all franchise replacements for over two years. With this legacy position, the research sought to focus on those areas identified by the CRPs where the TOC could actively contribute, even if restricted by

the terms of its franchise and contract with the DfT. The areas most raised by the CRPs included access to data, branding, service operations and the level, nature and value of the TOC's engagement.

8.5.1 Lennon, Give Me Some Truth

The Latest Earnings Networked Nationally Over Night (Lennon) data is the rail industry's ticketing and revenue payment data system. Despite some CRPs being in existence for almost twenty years, I was genuinely surprised to receive the scale of concern around access to rail passenger data, particularly from the ATOC operated Lennon system, both at a local and national level:

'[name(s) deleted] are working at the moment on trying to extend the availability of information they get through ATOC so we can monitor how the Partnerships are performing. But a lot of it is held back by the train operators who obviously run ATOC, being concerned about the commercial secrecy involved..... It's just the old school at the railway again. 'We've never let other people see our figures before so why should we do it now?' And even as late as, well, a year and a half ago, I was still struggling with certain members of ATOC who were very, very reluctant to allow [name(s) deleted] to have access to figures, let alone [name(s) deleted]. And these were just ridership figures without any revenue attached to them.' (Driver 1)

'I think you need to treat Lennon with a degree of caution.' (Driver 6)

'I was really upset as they said that we've stagnated and it was put on their website..... When we finally got the Lennon data through there was a way of interpreting it that gave us this advantage and it showed that growth.....you could see it, year on year, it was growing... in the end, I almost lost the will to live with Lennon, because I feel like many people are acknowledging, it's not getting out there and I don't know what to do.' (Subject 9)

It was reported to me that there were areas where individual stakeholder members were receiving Lennon data from a TOC, but the CRP to which they were both

members, was not. Further, it was often outlined how the railway claimed that Lennon data was complex and needed high level interpretation by a railway person before it could be released:

‘They have advised us, and I’ve now seen a reason why that shouldn’t be, that unless you really understand how Lennon works, a raw data feed would be useless. You have to understand how to manipulate the figures.’ (Driver 1)

I explored this further to see if an organisation which did have such a skilled data interpreter available, would be able to access a raw data feed:

‘But then of course that opens up the door of the nervous train operators of us having access to all the information, so if we’re getting a raw data feed then we’re getting information’ (Driver 1)

8.5.2 Local Image vs. Corporate Brand

The engagement between CRPs and the marketing departments of TOCs was an area outlined by CRPs of concern. It was clear that differing approaches were being applied by companies, and even between different companies within the same parent group. At the heart of the concern was the issue of branding and Partnership working. For an established CRP, many years may have been invested in developing local material, a local style/brand, and a local approach to marketing, and it was clear that each time a new TOC arrived, which ultimately may only be around for a limited period of time, the new incumbent required the rehearsing and rejustification of the Partnership process which had led to the local identity. At one end of the scale, one of the CRPs involved in the case study, for just one branch line, had worked with five railway companies during the life of the CRP:

'[name(s) deleted] take a very corporate approach, we are not doing any train wraps, we are not doing any advertising on tables, it is the corporate approach and that's it full stop... I raised it with individual managers, and that was the answer every time, no its corporate that's it.' (Subject 6)

Where this was at its worst, was where opportunities were lost, compromising the passenger. At several of the stations visited as part of the station audit process, it was clear that a 'local' station information poster from the TOC adhered to a very rigid, generic form, and had the feel of an outsourced piece of work. At the same stations the CRP in responding to the lack of genuine local information, had also provided their own material in the form of a poster or notice board. For what would have been a minimal loss of corporate styling regarding standardised content design and inclusion, I considered that the actual passenger could have had much better arrival information through a simple process of working with the CRP to generate a mix of some standard and some very local material within an overall corporate branded poster. The same approach often applied to local marketing material, and the lack of CRP engagement with the marketing departments:

'We found we have to be totally independent in many respects. For instance if we waited for [name(s) deleted] we would not have even got a line guide out.... The approach of the new TOC was that as not all lines in their area had line guides, they were going to prepare and send out a single generic line guide, and I said I don't want a generic line guide, that's just what I don't want, as we exist to promote the uniqueness of the line.... so I said 'Can I pay to re-do the previous years' one as it was spot on. It was great, no argument.' So, the person concerned said 'Well, we would have concerns about that, serious concerns, because it wouldn't fit in with our brand.' (Subject 9)

Whilst, there may be a more educative process in relation to legacy work which could be undertaken between a CRP and new TOC, I would suggest that a TOC could be tested further on its own understanding of the principles and approach to working

with the CRPs as part of the franchise review process and in the interim period between franchise award notification and the start of the new franchise. It is one thing employing a third party consultant with experience of Community Rail to write a quality response to a competitive tender specification, and quite another to assume that the knowledge and understanding of the commitment to permeate down to staff, or engaged agencies, whose engagement with the CRP may be limited to date, when required to prepare work such as branding and identity guidelines for the new incumbent.

It is therefore perhaps an irony of national rail policy that whilst the emphasis and franchise commitment to Community Rail is focused on the local, the community, the specific, the status and position of the TOC as 'not owning anything' actually propels the brand to one of the few tangible TOC assets, and so to raise awareness of the brand for association for future franchise bids, means that it becomes more simplified, more generic, more remote:

'What have you got as a railway company? You don't own anything. We have got the staff who work for us, and the passengers, and that is all you have got and you have got to have both to make it work.' (Participant 16)

8.5.3 Service Operations, Connections and Ticketing

One advantage of the current approach to rail franchising and the Governments support for longer, larger franchises, is the protection offered to Community Rail lines via the franchise specification. This is because the branch line losses and high levels of

subsidy are not individually identified and become hidden within an overall profitable franchise. In 2006 the DfT made a commitment that where additional rail services were sponsored locally and proved to be a success, then they would be included as a core part of the following draft franchise specification, in essence a pump-priming approach to new services. Whilst the existence of this commitment never seemed to automatically find its way to the authors of the initial drafts of these franchise specifications, the role of TOC engagement in working with and supporting CRPs in developing local services, over and above the minimum franchise specification is often pivotal to their relationship with the CRP. In considering whether such engagement was directly linked to the existence of the CRP Strategy, the following comment summarised the overall perception:

‘I’m not sure that it would have happened without the Strategy. No, I think the Strategy, to me, largely facilitated it happening and yeah, I think it’s very definitely a good thing that it’s happened.’ (Participant 7)

‘I have got a clear view that any line that hasn't got a partnership or line group does not do as well as one that has because I don't have the time to go and engage locally and get a working group going. If there is one there already, particularly steered by somebody as sensible as *[name(s) deleted]* then it is great to work with them, it minimizes our time and it makes things possible.’ (Participant 14)

It is clear that the 2004 Strategy is influencing Operator engagement with CRPs in relation to service operations, connections and ticketing, and it is turning out to be a largely positive two way process. In relation to services, the overwhelming response from interviewees about TOC engagement was positive as outlined in Figure 8.3.

Figure 8.3. Relationship between TOC and CRP On Service Opportunities

Relationship between TOC and CRP On Service Opportunities

'it is [name(s) deleted] time analysing the art of the possible because a lot of these timetable enhancements, were opportunist... it revolved around actually putting a few services in to [name(s) deleted] which released half a day's unit time which enabled a whole cascade of things to happen, so it was very much a package involving all of the lines and the Partnership was very helpful in helping to focus on that.

That is interesting because that is outlining how from an operational point of view from the commercial Railway Company, the resource of a rail partnership officer became part of your thinking about the structural operation of rolling stock.

Yes absolutely it was [name(s) deleted] who did a lot of the work in the background, in the usual sort of timetable superno type way because the whole thing stacked up and because overall we actually saved a bit of unit mileage which is what counted at the timetable group with getting everything through the processes.' (Participant 14).

Source: Author.

It was further shown that through the CRPs the freedoms and flexibilities of the 2004 Strategy as defined through the designation status were being recognised as having value to the line in seeking to improve flexibility over bespoke ticketing:

'The next timetable development on the [name(s) deleted] is a Friday evening late train and we are looking at a novel way of funding that by bunging 30 of 40 pence on every day cheap day return fare to create the funding pot because you can say well actually this is a Community Rail line you can step outside the fare structure and the DFT will be more inclined to look favourably on that.' (Participant 14)

'We do some deals with local restaurants where they get the train to the restaurants and get a special ticket. It is definitely possible... We do have a few partnerships like there is a restaurant in the [name(s) deleted], where they take people on the train on a Friday night. They call it a 'Passage to India' and they ring us up, they order the tickets for the people that are coming from [name(s) deleted] it is a special inclusive ticket that they travel out for a curry and come back.' (Participant 12)

8.5.4 Importance of CRP as a Franchise Commitment

As introduced in Section 8.3.4 the extent to which the requirement since 2007/08 for TOCs to engage with CRPs under the guidance of the 2004 Strategy as a franchise condition was considered. This was one subject where there was a high level of consensus across CRP stakeholders in extolling the virtue of the inclusion within the franchise specification in improving the position of CRPs, especially from the TOCs:

‘It is yes, I agree, yes. Yes, I think that’s really important. I mean the value of having the strategy accepted by Government is that it then becomes embedded in the franchising process and in the management process for the railway as a whole. It becomes mainstream instead of something you look at especially. Because if it is a special one off initiative it gets forgotten, as staff change over, you know.’ (Driver 2)

In one case study area, it was even acknowledged that the virtues of early engagement with CRPs prior to the merging of two franchise areas had actively influenced how the TOC merger was structured, so that the positive attributes associated with local engagement in CRPs could be protected within the new larger operational business.

There is little doubt that this new approach and requirement is leading to innovation and new ways of thinking, such as the secondment of a rail officer to a local authority to become its lead on CRPs. Not surprisingly there was also consensus for its inclusion within the franchise requirements of TOCs which did not have a Community Rail line within its franchise area. When discussed with stakeholders, they appreciated the synergy of CRP inclusion in all franchises as it not only raised its profile as a core national rail priority, but also required any franchise bidder to think not only of how it

could engage, directly and indirectly, but also not to automatically close the door when approached by CRPs directly:

‘Some, it would make logical sense for them not to be that interested and, you know, I’m sure operators like cross country, for example, if you look at their network, you think well there’s no real reason why they shouldn’t be involved in Community Rail anyway. But there are other new peripheral TOCs who have a slightly liberal interpretation of their required input to Community Rail and it has caused us some difficulty, to the extent where we have actually had to bring DfT in to police the franchise agreement.’ (Driver 1)

8.5.5 Reasons for TOC Engagement

In considering what a TOC engages with a CRP it was certainly recognised as empowering officers to make local changes for wider benefit, and to provide a genuine area for differentiation within franchise bid submissions. However, it must also be considered whether this represents a genuine sustainable commitment and buy-in to the 2004 Strategy, or a pragmatic tactical approach to score a cheap quick win with the DfT in terms of franchise appraisal, to help realise the larger profitable goal of the wider franchise award:

‘I think it would be very tempting to think that and you could argue... that probably is the case to some extent, but I think a lot of the TOCs do generally realise that without the branch lines support their market on the main lines will reduce as well.’ (Driver 1)

As part of this interview subject area I also sought to test out motivations behind such support and to what extent TOCs were regularly delivering more to the CRPs than was outlined in their franchise bid submission:

'We took a decision to double, to match the local authority contributions to the partnerships because we were getting good value out of them. In terms of work in kind I don't think anybody has ever calculated what that is similarly in terms of the benefit we get out of it, it just isn't worth the time to be calculated frankly but there is a high value there. So you would probably add another fifty grand I suppose in total.... It [*senior managers time*] is probably as much as a day a week. So far more than they possibly justify in business terms but the value goes way beyond the pure business.' (Participant 14)

And whether such commitment would continue even if such a franchise requirement was reduced or eliminated, as examples had been outlined to me about the lack of wider community engagement outwith the CRP:

'Probably less so. I think again it's down to personalities. A lot of the TOCs willingly engage with CRPs without the franchise requirement, but I think without its inclusion it's an easy target to drop out of.... There are some that are just so totally committed I think you could now withdraw the requirements and they might drop off a bit of money, but otherwise they would carry on supporting the rail partnerships.' (Driver 1)

Overall, there was a general acceptance of the value to a TOC of CRP engagement whilst recognising that actually concerns and issues are not always one way, and that engagement with a CRP itself may not always be a pleasant experience for a TOC. Ultimately as franchises progress and work develops, it is the on-going relationships and the roles of committed individuals as explored in Section 8.4 which is the real barometer of the success of the TOC engagement and which, in essence, is a summary of the all key elements within this section.

8.6 The Importance of Network Rail Engagement

A key part of the Community Rail Development Strategy is the reduction in the operational cost base of a Community Rail line. As outlined in Section 3.6.4 both the

SRA and the DfT recognised that no proper allocation of costs and revenues was being made for individual lines, and to achieve this required the participation of the infrastructure owners Network Rail, who took over such responsibilities from Railtrack in October 2002. The engagement of Network Rail with Community Rail and its core actors is therefore an important part in delivering the 2004 Strategy outcomes, and was considered extensively throughout the fieldwork.

8.6.1 The Role of the 2004 Strategy in Encouraging Engagement

There appears to be little doubt from all stakeholders of the importance that the 2004 Strategy itself had on encouraging Network Rail engagement, and the creation of its Community Rail Team. Central to this change was the statutory nature of the Strategy as a national policy:

‘There was recognition of a need to actually address this properly with somebody working at the centre with the DfT and with some of the Partnerships.... The key thing about the Strategy is that it is Government policy, so you know instantly people have permission to talk about it.... There’s a bit of reluctance in my view towards innovative approaches within the business unless somebody higher said that’s okay, look at that. So the fact that we’ve got a Strategy from the DfT gave people permission to look at it. The fact that the company was then actively supporting that Strategy further gave people permission to look at it and that’s maybe where we’ve got some innovative ideas out of it. I think if the Strategy had not been there, I am not quite sure where we’d go.’ (Driver 5)

The Network Rail Community Rail Team was comprised of three core officers at the time of the fieldwork, and it was clear from the stakeholder interviews that there had been a noticeable change in approach towards branch lines as a result of the 2004 Strategy, moving from the long held approach of both British Rail and Railtrack of

managing decline, to one aligned with the aspiration and requirements of the Community Rail Development Strategy, and an expectation to engage:

‘Yes I mean I think the attitude within Network Rail is fundamentally different than with Railtrack.... I think the Strategy actually can claim a huge amount to do with that because it set down Government’s view about the branch line network, about the rural network and it made it clear in black and white we are not willing to close things, we are looking to develop them.... I think so many people had grown up with British Rail and subsequently Rail Track approach of this is managed decline, even when two years into privatisation, what, 96/98 it was clear that we’d actually got a serious problem with growth on our hands.... I think so many people had been conditioned to think that if there was a way of getting rid of the Penistone Line, the Esk Valley Line, the Tamar Valley Line, then we’d get shot of them. And I think that attitude persisted right into the early part of the 21st Century.’ (Driver 5)

‘What we’re finding now is that there are people in Network Rail having a look, seeing what would be needed to be done to the infrastructure and the line speed to actually achieve it.. Previously from what I remember is we virtually had no contact with Railtrack at all. Network Rail, particularly with *[name(s) deleted]* and the 2004 Strategy, have been brought onto the scene in such a way where it expects them to get involved.’ (Driver 7)

The complementarity of the Community Rail team and the 2004 Strategy as core drivers for change, was recognised as providing a new focus for liaison with Network Rail and welcomed by a large majority of Community Rail stakeholders:

‘I think the big value for me is I think it did bring Network Rail to the party. I mean prior to that, I can’t honestly imagine that we would have got Network Rail or its predecessors to ever talk to any of the line groups.’ (Participant 7)

However, the level of resource allocation and the institutional ability to deliver the change required was also recognised as a potential barrier:

‘Well it’s two and a half now to three because, but it depends what you want them to do. If you want them to go in and attack the costs, it isn’t enough. If you want them to manage relationships with CRPs and get relatively lightweight bits done, it is.’ (Driver 3)

8.6.2 The Process of Network Rail Engagement and its Value

With the 2004 Strategy providing the authority to engage, and the Community Rail Team established to lead such engagement, the actual process by which this happens was considered. The initial approach adopted by Network Rail was to try to attend some of the core CRP working groups on a semi-regular basis, and to act as a participant observer. There was no doubt that having the team in place was welcomed by the CRPs, but at the time of the fieldwork Network Rail had not formally become members of any of the CRPs to which they attended, a fact which disappointed many stakeholders.

When discussed with Network Rail, it was apparent that this was an on-going internal debate within the company as to whether they should become formal members of Partnerships. Whilst it was acknowledged that this would require sign off from the centre, this was an area where there appeared likely to be a positive outcome, as it was recognised that the other core stakeholders involved in branch line operations, namely the local authority and the TOC were already formally engaged, and were equally governed by central corporate structures guided by DfT Policies. By the time of the final drafting of this thesis, Network Rail had begun this process of becoming formal members of some CRPs.

With CRPs spread out across the country and with a centralised approach towards any form of approvals, even having the CRP Team did not necessarily bridge the gap between local engagement and an ability to deliver the 2004 Strategy outcomes:

'It [*engagement*] wasn't just a Railtrack issue, it was the same when Network Rail took over, for understandable reasons they did focus all their decision making at the centre. They took the view that it was a pretty disparate body which it was with a lot of different technical standards and different processes which it was, most of which were inherited from the regions and many of which you can trace back to the pre-nationalisation and so on. And they were determined they were going to get a grip of this, firstly to control costs and secondly to have a common national standard. And they are really now only just now coming out of that mindset and that was, I mean everything had to go across [*name(s) deleted*] desk and that became a real problem and a blockage to decision making.' (Driver 2)

There was also the issue of how local Network Rail staff members with geographical responsibility for a branch line, but who may not have had an understanding of the CRP Strategy, engaged with the Partnership, and how that differed from the CRP Team Members from Network Rail who knew the 2004 Strategy but had little influence on local decision making. Feedback from several respondents related a lack of Strategy awareness from local Network Rail Officers who had been nominated to attend CRP meetings, indicating a likely need for improvement in the cascading of awareness of the 2004 Strategy and commitment to delivering its outcomes:

'I think the concept is completely new to him if I'm being completely honest.... And I went to the [*name(s) deleted*] meeting with him yesterday and he genuinely didn't know, Community Rail was a really brand new concept whereas the lady that did it before, you know, she's worked alongside me for a long time and, you know, we've actually worked together to demonstrate that we've done things and again.' (Participant 16)

However, most feedback in relation to such engagement with the processes of CRP governance, recognised that it would take time for the change in approach to work its way through such a large centrally governed institution and that members were willing to invest the time with the local Network Rail staff, with an expectation that over time,

as relationships with individuals grew and with such local individuals gaining confidence in the 2004 Strategy as Network Rail Policy.

8.6.3 Costing the Infrastructure of a Community Rail Line

To deliver operational savings along a branch line and deliver the 2004 Strategy outcome, a logical starting point is to understand how much it already costs. This appears to provide Network Rail with a conundrum. On one hand such is the need for national rail efficiencies, that not unreasonably any large quick wins are prioritised to meet economic targets, thus leaving the ability to identify local savings along a branch line well down the priority list:

‘Network Rail in the last control period and the new one, set stringent cost reduction targets, national ones, so saving a few bob here and there on a branch line isn't of itself going to contribute all that much to meeting those targets.’ (Subject 7)

Whilst any outcomes of such efficiency savings would, by default also apply on a pro-rata basis to the branch line network, this does little to reduce the local cost base of core infrastructure related activities. On the other hand, they are fully committed to delivering the Community Rail Development Strategy which has at its core a desire to bring these costs down, thereby requiring such information to be identified. This led to two separate efficiency questions. Firstly, are Network Rail actually able to cost a branch line, and secondly would they actually want to? In a repetition of the approach applied by the BTC in 1950, it is clear that in the early days of the CRP Strategy, a genuine effort was made by Network Rail to try to identify and segregate individual elements associated with costing a branch line:

'We did make a big attempt to try and get at more local cost analysis with Network Rail and for their part, you've got to give them a bit of due, they did, in terms of people based at York, do some work on the *[name(s) deleted]* Line. But the uncertainties on what they costed up were so great.... We pursued that for about a year and I pushed and pushed on this basis of how do we identify what the real cost of the lines are.... But we never got there, we never got to that.' (Driver 7)

During my discussions with Network Rail, they continued to insist that the way they manage their data means they can identify the cost of an individual project, and the cost of an individual item of work to a penny because of the way they record it. However, they also acknowledged that actually summing the work over a set period for a given line of route was rather more tricky because they do not collate the information in that way. They do fully recognise that everybody is keen to understand the cost on a branch line basis in line with the 2004 Strategy Aims, but also identify challenges in their own ability to cost staff time and allocate to individual areas, to the frustration of many stakeholders:

'If I ruled the world I would get Network Rail to cost a job to geographic locations. It is not as though they don't do the costing, they know that they have bought X sleepers and X mixes of track and they know that they have employed so many personal years of time, and you don't need to do it just for the minute, it's not like charging out at quarter hour slots for particular jobs, but if you know that you have got a gang of six guys doing vegetation and control or whatever down the line you do a timesheet that just says geographical location.' (Driver 3)

This then led on to the second question, if the costing could be done accurately to a geographical area, would Network Rail actually want this information to be known? A question I raised with CRP stakeholders and Network Rail alike:

'One of the things that happened when the Community Rail initiative started is that there were a number of people involved with a number of the groups who felt that we really ought to be identifying the costs of the line associated with

Network Rail. There were others on the groups who felt very strongly that, whilst in theory that was an excellent way to go, that there were certain inherent dangers linked with it, in as much as once you've opened Pandora's box and you know exactly what it cost you, so does everybody else, and that there's a danger almost that everybody knows that it cost £1.5 million or whatever per year to run *[name(s) deleted]* line. Because of that, I think it was not pursued, so we never got to the stage of actually knowing genuinely what it costs in terms of infrastructure per year.' (Participant 7)

'I think it could cut both ways. It could be and my suspicion is that if you do get to it we'll find actually these things cost far less than we thought they did, and certainly in infrastructure terms, they are not nearly as much of an economic basket case as we have conveniently believed. This in itself has two consequences. First of all it means that the sort of core infrastructure, the mainline is actually costing more than they thought it was because the money is going somewhere.... Secondly I think what you will find is that they actually go along at a much lower cost than we thought until the point comes where they need some major renewal. And then the cost just goes way over the top.' (Driver 5)

If the first respondent is correct, then this is a debate which should be at the heart of the National Strategy, comparing the total cost of the line, and the ability to deliver cost savings, versus the total benefits of the line to the community. If the second respondent is correct, then this strengthens the value of the line and the Community Rail Development Strategy.

8.6.4 Scale Economies or Local Efficiencies in Procurement and Maintenance

In interviews with local authority engineers as part of the fieldwork it was quite interesting to hear how they considered the costs associated with any engineering on the railway to be disproportionately high to the standard of engineering being delivered. As managed service providers themselves for on-street works and highway maintenance, I sought to explore the role of engineering and maintenance procurement with Network Rail and how they engaged with the CRPs in this important

area. Central to this value for money issue is the trade-off between centralised buying power leading to lower unit prices, versus operational efficiencies from localised providers:

‘We should be able to get, particularly if we are going for a standard design the benefit of scale procurement.... Where the gap opens up at the moment is around our ability to manage a locally procured contract and to be satisfied that the contractor delivering that service is competent within a railway environment.... Now there are processes that we can put in place that will manage that risk out but we don’t have the resources to endlessly send people out to make sure those processes are being adhered to. So we tend to rely on experienced contractors with well-established safety cases who understand those risks and understand how to manage them.... I am not saying that this is a closed book because I am absolutely convinced it isn’t and it can’t be, we have to be able to move down this route. I mean certainly I think there are odd jobs, maintaining line side fencing, station management, where we really ought to be able to look at using local contractors and giving them sufficient knowledge that they can work safely alongside the railway to do this sort of work.’ (Driver 5)

It is clear that there ought to be scope for greater engagement between Network Rail and CRPs in relation to localised contractors, and also the opportunity to review parts of the procurement and maintenance standards such as the requirement for £155m liability insurance, in order to be able to deliver localised efficiency gains.

8.6.5 Stakeholder Engagement Expectations versus Observed Reality

In talking with Network Rail it was outlined to me how they saw their Community Rail Team partly to undertake expectation management with stakeholders, whilst at the same time equally looking at what opportunities were presented to them both as a business and for the railway in general. They were keen to understand what input they could have to move the railway agenda forward. In the intervening six years since

the 2004 Strategy was launched I was informed how Community Rail had become embedded within Network Rail, and so was keen to understand whether such a positive outlook from the Company was reflected by their engagement with CRP stakeholders.

Whilst there is no doubt that a more proactive approach to engagement had been adopted over that provided by Railtrack, and was widely welcomed by CRP stakeholders, I sought to explore to what extent the Company was actually engaging on a practical basis in applying the principles and aims of the 2004 Strategy in delivering local solutions, particularly in relation to flexibility over standards, bureaucracy and applying locally based solutions:

‘I think one of the biggest barriers has been that when designation was first put forward we thought that we would be able to do certain things in a different way, a simpler way in a more risk assessed way and a lot of those issues reach surrounded approvals that we needed to get from Network Rail, and I don’t think that Network Rail have really taken this on board corporately in the way that a lot of people expected.... And that’s not to undervalue the work that people like *[name(s) deleted]* and so on have put in, because it’s their mission really to try and change the sort of corporate style of a huge organisation.’ (Observer 6)

‘I think the only slight frustration that applies now, that applies to every other local authority trying to do anything with rail, is the issue perhaps with Network Rail, in terms of both their cost issues, which I think are an issue, and sometimes the feeling that they don’t seem to share the same sort of visions as ourselves and the rail operators.’ (Participant 7)

In particular, one area of concern expressed regularly through the process, related to the issue of paperwork, bureaucracy and administrative barriers to applying the flexible approach at the heart of the Community Rail Development Strategy commitment, as summarised by:

'We had the problem with a level crossing that the crossing orders were put in in the early '70s and they haven't been amended since, and yet we've got much more powerful trains now which can travel faster..... There's no theoretical reason why the speed couldn't be increased. The only problem is the Network Rail change, the paperwork, consulting the County Council, the Parish Council and everybody that they're going to change the speed on the level crossing.' (Observer 3)

'Ah sorry, no, no, we've got to have this, we've got to have that, you've got to have the other and this is where Network Rail has never, have not come good, despite what *[name(s) deleted]* might say. They have not come good on the more flexible approach.' (Driver 7)

At one of the stations visited for the station audit, I observed how the station paintwork had been renewed, except for the station canopy which was still very tatty. I enquired as to the reason for this omission with the CRP and was informed that the reason that the canopy had been left was that it was defined as a Network Rail asset, and therefore responsibility for painting it remained with them. The CRP commented how they felt that this reflected badly on their own work, but that they had received no support from Network Rail when they had approached them to coordinate the painting of the canopy with the rest of the station. Such negative feedback, was also received from stakeholders commenting on Network Rail's approach to costs and standards, attitude towards risk and communications as summarised below:

'They're completely risk averse on anything, which puts their costs up tremendously, but they're very bureaucratic as well and that actually has put a lot of third party investment off. There would have been more third party investment in the rail industry if Network Rail's costs had been more realistic.... It's a no-brainer isn't it, that?' (Driver 7)

'So I wrote and got a reply from his PA saying *[name(s) deleted]* reads all the letters people send him but he doesn't want to respond to this one, and I have passed it onto my Community Relations Department to reply to you. That was over a month ago so I wrote back to him the other day and said well I don't think this is good enough. If it takes a month for your Community Relations people to reply to a letter that you have referred to them how long is it going to take if I write to them direct?' (Observer 9)

8.6.6 Partnership Working to Influence Network Rail Practices

Where there was agreement was in the value that the CRP stakeholders had observed in being able to work collectively to influence change within Network Rail. This strength in numbers approach where all stakeholders united behind a single approach from the TOC to the local authorities to the volunteers, supported by liaising with the Community Rail Team in Network Rail is credited as achieving changes in approach from local Network Rail managers in relation to operational practices along a Community Rail line as outlined below:

‘I think from my perspective, we inherited the engineering ethos agreed between Network Rail and the previous franchisee, which enabled them to shut lines for periods of weeks every year just to get on and do the work.... it clearly wasn’t designed to be customer friendly, and from our perspective, if they were actually doing serious line relaying, which they were for a number of years, that was fine. When it got to the point they were then starting to close lines as of right to do a bit of vegetation clearance and change a few sleepers, clearly that’s wrong.... All of the line groups had exactly the same concerns about it and it did hit the passenger numbers – there’s absolutely no question about that.... As a company the support of the groups in saying to Network Rail as independent customers and representatives of local authorities, councils, whatever, that was a very loud and consistent message: We’re fed up with this. Please change your methods of working. I think that had quite a fundamental effect on what they were doing... Our voice alone would not have had the same effect as having a whole host of stakeholders behind us saying exactly the same thing.... And having Network Rail representatives from their Government and community relations department, via the CRP roundtable discussions with the DfT also being lobbied about these closures, that really, really helped.’ (Observer 5)

8.7 Department for Transport Engagement

The Department for Transport (DfT), its eighteen thousand plus employees and ten agencies has multiple layers of engagement and influence with CRPs on both a direct and indirect basis. Chapter 6 has demonstrated the importance of these relationships in the areas of transport planning, National Indicators, Local Area Agreements, and rail franchising. On a practical basis, the core engagement with CRPs is through the Department's own Community Rail Division, and it is this relationship that was considered in detail within the fieldwork. Unlike Network Rail or the TOC, the Department for Transport Community Rail Division does not have direct hands on responsibility for day-to-day branch line operations and so the need for direct CRP engagement is less. However, in assuming ownership of the Community Rail Development Strategy from the Strategic Rail Authority in 2006, it does exert influence over CRPs and their stakeholders through the designation process, support funding mechanisms and policy initiatives, and so on-going engagement is seen as important to both sides.

8.7.1 Impact of Resource Limitations of the Community Rail Division

As with Network Rail, the Department for Transport Community Rail Division has a core team of just a few officers covering the whole of the country, based within a single location – London. Their role is not only to deliver the Community Rail Development Strategy and manage the designation process through working with CRPs and wider stakeholders, but also to influence other Departments within Whitehall, securing on-going ministerial support and running *ad-hoc* grant funding programmes.

With such a small team, these office-based activities, whilst regarded as essential to the delivery of the 2004 Strategy do reduce the amount of time the Department is able to attend individual CRP's meetings, often reducing this to an average of around one visit per CRP per year. At times it was felt by stakeholders that the overall resource of the Team was not commensurate with the wide range of tasks, both internal to, and outwith Whitehall:

'I think the problem is that when *[name(s) deleted]* first put forward the scheme to what it is today with the main cluster as DfT and there's only two people in the Department dealing with it, the goal posts are moving quite considerably and has been watered down and if you were to say to me what difference do you think it has made, I would say not much to be honest.'
(Observer 6)

Whilst I never experienced any criticism of officials within the Division, who were widely praised by all stakeholders, the limited staff resource and uncertainty were seen as the biggest issues. I raised this directly with the officers within the Team who outlined how the level of engagement had to be kept in line with the Department's revised approach to localism and hands off government. It was stressed to me how you couldn't have both localism and control, and so the approach sought was to have localism and 'tempered influence.' However the officers may have felt towards a CRP's own Development Plan that there was a commitment to assist and support as critical friends to achieve the best possible local outcomes through local empowerment in line with the Strategies approach to freedoms and flexibilities:

'It does not place the onus necessarily on the TOC to go to the DfT to say can we do this or can we do that. If the CRP agrees to do something they can go to the DfT and say CRP have agreed to do this and nine times out of ten the DfT will understand it.'
(Observer 6)

The wider issue of uncertainty related primarily to the preferences of new Government Ministers and the desire for a more hands-off approach, both in terms of liaising with CRPs and the wider Departmental requirement to simplify the approach to franchising:

‘We don't know what the DfT's ideas are for the future and I don't know whether they know any at the moment because they've changed several times and we hear all sorts of things.’ (Observer 3)

Central to stakeholders' concern was the ability of Community Rail as a Policy to transfer across the political divide and wide credit was given to the Team for their own success in making this happen as observed by a key stakeholder:

‘I don't think that's a big risk from the Government's perspective, certainly the contact we have had and we have met the Minister who was not only very complimentary about what Community Rail has achieved but actually clearly wanted to see it continue. And that is one of the reasons why at *[name(s) deleted]* we put in a response both to the franchisee consultation and to the McNulty Enquiry because we wanted to stress that there are big net revenue benefits from pursuing the Strategy, revenue and cost, and I think that's pretty well accepted, even in the context of simplification of Franchise requirements, that there's no reason why that should affect Community Rail. Supporting the partnership is not terribly onerous.’ (Driver 2)

8.7.2 Designation as an Access Mechanism for Wider Engagement

To many CRPs, the fact of having achieved designated status did appear to open up additional areas for support and engagement from the DfT. This manifested itself during the interview process when talking with Rail Partnerships and inviting them to identify their greatest successes. The areas identified almost always related to an ability to enhance the timetable on a permanent basis, through working with the Community Rail Division. As detailed in Section 8.5.3 the Community Rail Division in partnership with Departmental colleagues in the franchising teams introduced a

process whereby additional services could be sponsored by a third party and, if successful, become a permanent feature of a revised minimum service specification in the next franchise. This required close liaison and engagement between the CRP and the DfT in delivering a permanent enhancement for local residents as outlined below:

‘I went to our finance people back in 2003 and asked for funding for two late-night trains... because the last train from *[name(s) deleted]* to *[name(s) deleted]* was 9 o’clock at night... the train company said, well if you do that you would have to pay all of it. So I was, yes, okay, but the county agreed to pay all of it. The reason for doing that was within 6 months of doing that, the franchise was up again and the DfT included it in the spec.’ (Subject 5)

‘The all year round Sunday service is probably the thing in the Partnership I’m most proud of, getting that funded and then managed to get it into the franchise as well’ (Subject 7)

A further benefit identified by stakeholders was in the ability to call upon the Department to assist where a TOC was not meeting its franchise obligations to Community Rail:

‘But there are other new peripheral TOCs who have a slightly liberal interpretation of their required input to Community Rail and it has caused us some difficulty, to the extent where we have actually had to bring DfT in to police the franchise agreement.’ (Driver 1)

But the most recognised benefit of all was in the ability to engage with the Department and for them to take forward with core stakeholders and colleagues suggestions as to how to make the CRPs more financially stable, with the inclusion of support for CRPs within franchises regarded as fundamental to this process:

‘Do I think it’s valuable to incorporate them in franchise agreements and my answer is absolutely because we are not in a position to support Partnerships. Somebody has got to fund them, funding from local, from national government clearly is going to be a thing of the past so it has to come from the train

operator and that means that government really has to accept that there's a cost that they are putting into those franchise agreements at the outset that they are building into those. I think it has to because I simply don't see, if we are serious that partnerships are worthwhile, then I believe they have to be recognised as a cost of operating the railway.' (Driver 5)

8.8 Summary

In considering the research objective, this chapter has explored the process undertaken by Partnerships when considering the most suitable governance model for their members. Whilst an un-incorporated body approach, hosted by a local authority, has clear immediate operational advantages in terms of simplicity of form and an ability to utilise well established administrative and employment processes, it is not without its drawbacks. These have been shown to include an on-going loss of core Officer time attributed to the need to fulfil corporate administrative activities; a reduction in the ability of the Partnership to apply for some types of grant funding; and in the inherent risk of the stability of the governance model itself and the ability of partners to walk away quickly and easily. Where support from senior local authority staff is provided, the research has shown that this is a governance model that can work and indeed provide the Officer with additional authority. However, it has also shown that when such internal support is lost, the effects on the Partnership and its stability can be highly disruptive.

Overall a more independent third sector governance model met with strong support from all partners, built upon a funding framework enshrined in franchise policy and an unrestricted ability to seek grant funding, and which ideally is based on an 'umbrella'

model of separating centralised staffing costs from branch line activities is shown to offer the best framework for long term stability.

When considering the role of individuals and their influence, it was established that to make any CRP a success requires key individuals to fulfil core tasks and activities. It is clear that to succeed, high level support from all core members is essential, and any ambivalence from any partner or individual has the potential to compromise the Partnership. It is also clear that CRPs generate very high levels of enthusiasm from their members towards the task in hand, from both professionals and volunteers alike. Individuals want to do this, do so by choice and not compulsion, and by harnessing such enthusiasm the Partnership as a whole is able to deliver far more than the sum of its parts.

Central to this success is the role of the Chairman and the skills they apply. Whether directly hands on or deliberately hands off, their knowledge, skill and ability to support the Officer in whatever form is a key component in providing a stable, confident environment within which the Partnership can flourish, has been shown to be essential. Whilst a good Chairman adds real value to the process, the reverse is equally true. The research has equally shown how poor Chairmanship skills can actively undermine the work of the CRP and damage its ability to deliver, even if this is unintentional. Whilst accepting that this can be difficult to resolve, it is an area where action should be taken.

Further, whilst the debate as to whether an individual with a railway or community background makes the better rail partnership officer will continue for years to come,

what has been clearly demonstrated is the high level of personal commitment of the CRP Officers themselves as individuals to the role. Consistently commented upon throughout the research, was the dedication and application well in excess of any formal nine to five job description of these Officers. Such high levels of individual commitment, supported by a fit for purpose governance model delivering operational flexibility, minimal administration and maximum opportunities to access grant funding, with on-going resource stability delivered through the statutory franchise process, all contribute as core elements in providing a stable platform for CRP success.

When considering the impact of core stakeholder engagement on the research objective, it is inevitable that the considerable change experienced within the railway sector over the last fifteen years will have led to issues of trust and commercial confidentiality across the board. CRPs have been shown to be a positive contributor to revenue and patronage growth and local stakeholder engagement, and with a proven track record and history longer than any TOC in the country, not only do CRPs work, but can be a genuine embodiment of the term partnership.

With one of the core aims of the Community Rail Development Strategy being patronage growth, for the research to determine that even after 20 years, CRPs were still not getting regular access to accurate branch line patronage data automatically was highly concerning. There were no reasons given, or barriers to access erected which in my opinion could not have been easily addressed given the will to do so. This led me to question the genuine level of commitment to CRPs by the TOCs and ATOC in particular as owner of the Lennon process.

The research also demonstrated that clear conflicts exist between some CRPs and the marketing departments of some TOCs in relation to promotional material and branding, particularly during the franchise renewal process. However, as the feedback has suggested, mechanisms such as the Community Rail Awards which showcase the best examples of where good practise does take place, to the wider industry, and the inclusion of CRP engagement as a franchise condition, will ultimately support and encourage more positive engagement in this area over time.

What was clearly evident, however, from the research were the positive relationships which had developed between the Partnership and the TOC in relation to exploiting opportunities for service and ticketing enhancements, arising from both changes in national policy and local efficiency opportunities. There is clear evidence that the knowledge of the CRP officer regarding local scheduling practices was being utilised by the TOC in delivering operational enhancements. This, and the demonstration of individual TOC Officers commitment to the CRPs encourages me to accept that TOC engagement is, in most cases, genuinely intended to add value and support the 2004 Strategy rather than simply a requirement to fulfil a quick win franchise obligation. However, there is no doubt that the TOC engagement is completely underpinned by the inclusion of CRP engagement within the franchise specification, which is regarded by all parties as essential and fundamental to the on-going success of CRPs.

The research does not tend to support the ability of a CRP to meet another of its core Strategy outcomes, that of reducing operational costs. Whilst the creation of the Community Rail Team within Network Rail and its adoption of the Community Rail Development Strategy as a National Policy is widely welcomed, and both

communication and engagement with stakeholders has clearly been improved as a direct result, the overall observation of practitioners is that the resource applied by Network Rail is not enough to affect the actual company-wide changes in practices required.

Despite several genuine attempts, the centralised commissioning approach to rail infrastructure renewal and maintenance applied by Network Rail does not enable the isolation of costs to be attributable to a branch line on a geographical basis. Until this is resolved it is unlikely that sustainable progress can be made in this core element of the 2004 Strategy, and opportunities for local investment due to the high cost of the current Network Rail cost model will continue to be lost. The same conclusion also has to be drawn in relation to the 2004 Strategy's aim of delivering flexible standards for local solutions. There was no evidence outlined that Network Rail was being able to apply such an approach to reduce costs in the same way as had been applied by Welsby and Edmonds in the days of sectorisation and also in line with the original vision for the 2004 Strategy. However, evidence was provided that where core partners work together to collectively promote a change in Network Rail practices, local 'wins' could be achieved.

Finally, in relation to the engagement between a Partnership and the DfT as Policy Owner, there was a widely held acceptance that the level of direct engagement necessary with this core actor was considerably less than that needed with the TOC and Network Rail in meeting the 2004 Strategy outcomes. Concern was expressed about the resource capability of the Team to meet such a wide range of obligations in providing the correct environment for the 2004 Strategy to succeed, but so long as the

core tenets of on-going Ministerial buy-in to the Policy; freedom and flexibilities associated with the Designation status; provision of funding opportunities wherever practicable; and the continuation of CRP engagement as part of the franchise specification process were continued then this, in the opinion of the large majority of CRPs, gave them the stable platform necessary to drive the agenda forward.

Chapter 9: Conclusions and Recommendations

This study was a critical evaluation of community rail policy and practice during the New Labour years 2003 - 2010. The study sought to explore this concept through considering how the changing governance environment introduced under New Labour compromised or assisted the successful delivery of the Community Rail Development Strategy. Whilst a wide body of literature existed relating to the history of generic rail policy and its relationship with the state as cited in Chapter 3, this thesis sought to contribute to, and update this body of work by examining how national railway policy and wider changes in governance had impacted upon branch lines throughout the study period up to 2010.

The literature review identified how branch line rail policy had a tradition of reflecting a dynamic relationship between the nature of state and society, which continued regardless of the political colour of the national government, or the governance models associated with stakeholders engaged in the rail sector. In aligning this historical overview, with the governance focused conceptual framework of this thesis, it was important to understand how modern day Community Rail could succeed in meeting its Strategy led outcomes and deliver value to society through engaging in the spaces created by the governance change introduced by New Labour, and the opportunities and challenges it posed.

The second part of the literature review focused upon the key governance concepts of state and society, including the nature of heterarchy, and the scalar based neoliberal ordering of the levels of modern government and state restructuring. Established

concepts such as hollowing out and filling in have been shown not only to have had a place when considering the historical context of the internal UK rail sector, but also when applied to the changes in the state of the national rail industry under the current and previous administrations. It was against this background that key rail policy areas so important to Community Rail, such as subsidy levels, investment in efficiencies, operational costs, closure costs, sectorisation, privatisation, and the quantification of societal value were considered.

However, it was the central timeframe of 2003 to 2010 that was the focus of the thesis. Within this timeframe, the study examined a localism led devolution of sections of government and governance process to the regional, sub-regional and local scales; the institutions created to manage this process, and how New Labour's approach to state restructuring introduced new opportunities for the third sector. Against this multi-scalar background, the research sought to identify and publish, in accordance with the aspirations of research objective 4, the spaces of engagement for both the CRP case study lines and the 2004 Strategy within the new governance arrangements introduced for both transport planning, as well as for the wider corporate performance management process.

To examine this, the multi-methods approach applied, focussed upon six CRP case study areas and their stakeholders, as well as policy elites and actors engaged in corporate performance management within the same localities, in addressing the four core research objectives. This concluding chapter considers the evidence aligning the outcomes of the research objectives to the primary research aim which is central to the title of the thesis. The chapter concludes by considering the policy implications in

relation to the study area; recognising some of the limitations considered by the approach adopted; making recommending actions for consideration by core stakeholders and policy makers; and identifying suitable areas for additional research.

9.1 Research Objective 1

The first of the research objectives examined 'To establish the place of the Community Rail Development Strategy and the Partnerships tasked with its delivery, within the wider transport policy landscape.' It was established to study the evolution of transport policy resulting from New Labour's more integrated approach to Land Use, Transport and Economic Planning, which embraced a multi-scalar approach to governance introduced within the literature review of Chapter 2. Whilst centred upon the outcomes of Chapter 6, it also sought to draw heavily on the empirical work undertaken in reviewing all relevant policy documents for the six case study areas, detailed within Chapter 5.

In examining this research objective, the thesis sought to contribute to the wider literature on the geographies of governance cited within Chapter 2. The research identified how under the first few years of New Labour, transport planning moved away from a professional elitist, separatist process, defined through the TPP process, with its annual bidding and settlement process tightly controlled by the state. Replaced with a five year performance based Local Transport Plan (LTP1) 2001 to 2006, it required multi-agency, multi-sectoral, multi-modal considerations. The highway authority had to set targets against a national set of defined transport indicators, whilst for the first time allowing local authorities to set additional local and sub-

regional priority indicators, opening the door for the inclusion of Community Rail and other third sector organisations to be engaged in this new environment. As part of this new direction, LTP1 also saw the Government introduce a new governance process, through the introduction of a state spatial project, by transferring the annual monitoring of LTP1 performance out from Whitehall, to the DfT staff within the regional Government Offices.

This new approach to governance was extended through the hollowing out, to the regional scale, of core state functions associated with regional growth, economic development and housing. Filled in through the creation of the RDAs and RAs across eight English regions, the research examined the opportunity afforded to third sector organisations such as CRPs from this change and the provision of a new statutory responsibility for creating, amongst others, a Regional Spatial Strategy (RSS), and Regional Transport Strategy (RTS). As an adopted strategy, the RSS/RTS policies would set the priorities for a region, statutorily requiring subsequent alignment from the related policies of the second and third tier councils. Whilst the empirical review of all RTS strategies through which the case study lines engaged identified no direct reference to Community Rail, this was not unexpected, as their focus was to provide wider, more generic sustainable transport policy commitments, creating the environment within which CRPs could engage.

Within the central timeframe of the research, the SRA launched the 2004 Strategy, with the GO Network, DfT and the CRP sector all recognising how the 2004 Strategy outcomes naturally aligned with the PSA transport priority outcomes shared between central and local government and as an expression of the third way. This, together

with complementary CRP objectives of supporting local economic growth, social inclusion and environmental improvements, all made the 2004 Strategy relevant to the cross-cutting, inclusive and partnership based themes being developed for the replacement of LTP1, by a new outcome focused LTP2 process, for the period 2006-2011. With support from the LTP2 consultation process, the inclusion of references to Community Rail and the 2004 Strategy, made their way in to the final LTP2 guidance, exposing, often for the first time, the work of CRPs to the wider transport planning policy landscape and its practitioners.

In examining the place of the 2004 Strategy within this wider landscape, the research evidence observed that neither the highway authority officer representatives in a CRP, nor the CRP Officers, both of whom had good awareness of the 2004 Strategy, were necessarily engaging regularly with transport planning policy officers responsible for LTP2 development. This raised, and continues to raise, issues around internal communications and engagement within a local authority, as well as wider issues relating to the need for multi-level engagement from a CRP Officer within a single stakeholder institution.

However, in the tradition of the literature on rail localism outlined in Chapter 3, where such communication was established, the research confirmed it was perceived as generating real value. The evidence supported a wide recognition that Community Rail, the partners it brought to the table, the engagement with the community, and the outcomes that it delivered, contributed to a highway authority meeting its own aims, policies, objectives, strategies and targets:

'I think the railway has a lot to do with helping us achieve our objectives at LTP, including climate change, helping enhance the environment, access to countryside, and tourism as well, so I think it's very important to *[name(s) deleted]* as an asset.' (Participant 5)

Secondly, the process of quantifying such value strengthened a CRP's own ability to validate its role through its own alignment with such statutory processes, which in turn, may afford it more protection in relation to on-going funding, and access to new resource. The need to justify resource was clearly evident through the interview process from those engaged in LTP2 delivery, and the benefits of aligning CRP outcomes to a statutory process is a key recommendation of this research.

This aligned fully with the earlier research cited in Chapter 3 of academic studies such as Salveson (1993) and Mowforth and Charlton (1996) in confirming the value of communication and engagement in ensuring the value of a CRP can be quantified and applied when delivering wider policy outcomes.

It was however, at the District Council scale that the transport policy landscape was clearly shown to be least aligned with the 2004 Strategy. The evidence detailed almost no awareness of the 2004 Strategy and opportunities for local CRP engagement within the land-use planning focussed LDF, Section 106, and CiL processes of a District Council, in either the written policies, or through the case study interviews with practitioners. Where rail had been mentioned, such LDF policies were shown to be bland, and non-specific. The research identified a high level of silo mentality working, with limitations of vision aligned only with the immediate territory of the institution.

However, the research also identified how the new RA led metagovernance arrangements, and regional RTS policies, as a modern expression of Brenner's State Spatial Strategy approach (2004), would require through statute, a more considered

link between local development and sustainable transport. This new neoliberal approach to governance was expected to open the door, over time, for non-engaging District Councils to be challenged by a CRP or other body for non-compliance with the RSS and RTS.

The research also showed clear evidence of a lack of support from the District Council tier of their role as a Travel Concession Authority (TCA) in supporting the transport outcomes of a CRP through using their discretionary powers regarding the application of concessionary travel responsibilities. When presented with a business case and strong evidence of both the patronage benefits and cost savings which could be generated, not one of the TCAs within the case study areas visited, had taken this forward, even though they were all long-standing CRP members, and where the process was strongly aligned with CRP Strategy outcomes. This raised key questions of engagement and commitment which were considered as part of research objective 3.

Lastly, the research did reemphasise and contribute to the realignment of the cited literature on the notion of social equity, and how even as new governance arrangements rebalance the layers of engagement and responsibility, there remains a willingness, stronger than ever of individuals and organisations to work collectively to improve a social facility for the benefit of others, even where the facility is regarded by the state as a private function.

To conclude therefore in relation to research objective 1, the neoliberal governance mechanisms cited in Chapter 2 as applied to the wider transport policy landscape

during the study period: including national PSAs, regional RTS policies, core and local LTP indicators, and changes to concessionary travel, did contribute to creating spaces of engagement within which an individual CRP could engage, in delivering the outcomes of the 2004 Strategy. How, why and whether this was achieved remains the responsibility of the CRP, its stakeholder members and their selected governance process, as explored within research objective 3.

9.2 Research Objectives 2 and 4

The second research objective was 'To investigate the extent to which a resurgent approach to localism poses an opportunity or threat to the Community Rail Development Strategy, its Partnerships and their outcomes.' It was established to consider the theory and application of governance change as detailed in Chapter 2, through neoliberal localisation process introduced by New Labour as part of a wider change to performance monitoring of the public sector at a local scale. This change as a demonstration of the governance theories as cited, examined both the empirical policy reviews detailed in Chapter 5 and the interview process of Chapter 7. The research identified how the process impacted on all areas of local authority governance across all tiers, and was shown to cut across the new governance approaches introduced to the transport planning landscape considered in research objective 1.

The rescaling of state functions as a State Spatial Strategy through the creation of LSPs as new multi-sectoral metagovernance bodies to manage all forms of local authority performance monitoring through an LAA, represented a significant

application in neoliberal localisation and a direct application of core governance theory. The evidence supported an assertion that whilst most stakeholders supported the principles behind the change, the process of LAA delivery was regarded as rushed, ill-prepared and in parts ill-defined. In line with more traditional evaluation of state and governance literature, the research confirmed the willingness of the state to accept unfettered localism was shown to be tempered.

The LSP process was presented as a Hollowing Out activity in line with the principles espoused by Jessop (2000), through the application of a State Spatial Strategy approach as defined by Brenner (2004). However, the research identified that whilst an LSP was, on paper, entirely free to select the designated LAA indicators of choice, the state was again shown to 'strongly encourage' the selection of particular indicators, albeit by an LSPs 'own free will'. In practice, this process mirrored the approach applied by the Conservative administration of John Major and the introduction of the Neighbourhood Renewal Fund as detailed in Chapter 2, where the desire for on-going state influence and control was maintained, but within a governance model presented as neoliberal, a State Spatial Project in all but name.

The research further demonstrated how the LAA change management process had exposed poor communication between the Department responsible for the 2004 Strategy, and the Department responsible for the selection and definition of the DfT indicators to be adopted by the DfT. The study detailed evidence as to how a clear opportunity was missed to improve the process for CRPs through a lack of internal engagement and communication processes. This was an important outcome of this study and is reflected in the policy recommendations later in this chapter.

Also evidenced, was how the core values of the CRP process, and their cross-cutting approach important to the LTP2 and RTS process as considered in research objective 1, actively worked against them under the new metagovernance process. The study identified how the state had restructured the geographies of governance, away from the freedoms and flexibilities associated with LTP2 and its mix of 17 core indicators and new local and sub-regional indicators, to a process where the only form of performance monitoring was against a fixed set of up to 35 designated indicators covering all aspects of local authority functions within a wider basket of the 198 derived from the National Indicator Set. Whilst in line with the wider neoliberal principles of reducing burdens on local government, the process introduced a new threat to both a CRPs engagement and that of the 2004 Strategy.

This parallel process saw the Department for Transport's own 17 core indicators under LTP2 until 2011, reduced to 10 core indicators, where a local authority was released from any obligation to prioritise any of them, from 2008 onwards. With the freedom of an LSP to vire funds between departments, this new localism was shown to be regarded by many engaged in the transport process as a threat to the wider transport delivery function at the local scale,, not just the CRP and the 2004 Strategy's place within it.

However, the study, also identified this governance change as a potential opportunity for CRPs and other third sector organisations. The completion of an extensive empirical review of all 198 LAA indicators assessing their relevance to CRPs and the 2004 Strategy was a core output from this research. In line with the output requirements of research objective 4, in identifying that the desired outcomes of 17

of the 198 indicators were highly correlated with those of CRPs and the 2004 Strategy, the CRP guidance report (Appendix D) produced, could be reflected as a modern localised contribution to the wider literature on the value of community rail to society, in the tradition of Salveson (1993), Mowforth and Charlton (1996), and Hillman and Whalley (1980).

Whilst the opportunity for CRPs to make genuine contributions towards the LAA Indicator Set was proven, the research clearly identified a uniform lack of understanding, awareness and engagement between both the actors responsible for LAA performance management, and the CRPs and their stakeholders. Whilst some of the LAA and GO Locality Managers were aware of CRPs, it was shown that this was largely in a private capacity, and that none had any awareness of the existence of the 2004 Strategy. However, upon understanding the outcomes supported by CRPs, the research confirmed how all were supportive of CRPs engaging in the process through the individual indicator owners. This in itself raised a challenge in relation to the transparency of the new governance arrangements, in that whilst the Indicator Toolkit Model created in response to meeting the requirements of research objective 4, aligned each LSP area with their designated indicators (Table 7.3 and Figure 7.7) there was no published list available from either the LSPs or GOs identifying the indicator owners, with whom CRPs should engage.

In conclusion, the research has shown how a significant change in governance, in line with Brenner and Theodore's (2002) theory on neoliberal localisation, as introduced by New Labour, has completely changed the performance management relationship between central and local government. The research identified that core elements of

this change did represent a clear threat to CRPs and the 2004 Strategy, including the lack of direct reflection of the 2004 Strategy or its objectives within the NI Set definitions. This implied a lack of priority on the part of the DfT, undermining the focus and emphasis employed through its inclusion within the LTP2 guidance. Further, the removal of the statutory value of all local and some former core DfT LTP2 indicators, identified as important by the local authority partners, had the potential to undermine CRPs as policy and funding priorities change under the revised approach to freedoms and flexibilities were applied.

However, as part of the outputs generated in meeting the requirements of objective 4, the research has clearly identified that the outcomes of a CRP and the 2004 Strategy clearly align with a high percentage of the new LAA National Indicators, central to the change in governance process. Reinforced by evidence of a willingness of indicator owners to engage, and an encouraging indication of selection of these indicators as designated indicators by LSPs with CRPs in their area, this has the potential to support the creation of new spaces of engagement for a CRP to deliver the Strategy and its outcomes.

9.3 Research Objective 3

The third of the research objectives was 'To evaluate the importance of governance and engagement processes to a Community Rail Partnership in supporting successful Strategy outputs and outcomes.' It was devised to test the impact of the concepts at an individual CRP level and brought together the empirical case study appraisals in Chapter 5, with the subsequent analysis of Chapter 8 within the historical literature of

Chapter 3, in making its own contribution to the literature on local rail, partnerships and value.

Having identified seven types of governance models applied by CRPs in England, and a range of hosting arrangements, the research concluded that no single approach to CRP governance was clearly demonstrated as being optimal. It suggested that a more formalised independent structure and host offered more opportunity and stability than an informal, local authority hosted process, but that such a judgement was dependent on an evaluation of the impact of such a decision on funding, and commitment levels from members.

The research outlined a perception of value relating to a CRPs independence, both in terms of access to funding, as well as in representing the interest of the rail user, albeit recognising that due to the nature of the Partnership, true independence was not achievable. Funding access and funding continuity was shown to be central to the stability of the governance model, and without doubt, the requirement for a TOC to support CRPs via the franchise process was seen to be essential to their on-going success. Wherever practicable, an 'umbrella' approach, segregating core officer costs from individual line budgets was shown to be preferable to stakeholders involved in those lines. This close alignment between local contributions and local spend was seen to enhance perceived value of the Partnership. Likewise, the process of adding value by enhancing contributions through matched funding, whilst onerous on the Officers, was clearly recognised as an expectation of a modern CRP in the absence of any statutory role and budget.

In the tradition of branch line rail policy development and strong individual leadership, as reflected in the pre-privatisation days of Edmonds (1987) and Welsby (1983), and the post-privatisation days of Bowker, Salveson, Austin, Davies and Hibbs, as cited in Chapter 3, the same was observed at the local CRP level. The study clearly identified the importance of the role of the individual to a CRPs success. Such importance ranged from the strategic leadership of the Chairman, to the practical leadership of key local authority and TOC officers, to the CRP Officers themselves. The evidence relating to the importance of individuals also clearly extended to the role of the unpaid volunteers, and positioned such support within the wider literature on volunteerism.

In considering the importance of engagement to the success of a CRP, the transient nature of the TOCs as a CRP partner exposed a highly contradictory approach. Whilst key local TOC individuals fully understood and were highly committed to their own CRPs and the 2004 Strategy, there were too many areas of concern expressed to conclude that the sector collectively was fully engaged and committed to the process and Strategy. This is best summarised by the statement in Chapter 8 of the irony of a national rail policy which emphasises through the franchise, a commitment to Community Rail focusing on the local, the community, the specific, being delivered by a TOC that doesn't own anything, and so propels its brand as one of its few assets, meaning that it becomes more simplified, more generic, more remote.

Clearly, the evidence demonstrated there were many examples of excellent commitment from individual TOCs to CRPs, as well as clear demonstrations of mutual value and trust relating to both knowledge share and expertise. However, with an acute awareness of the need for a CRP to demonstrate outcomes being so important

for its ability engage in the new governance spaces, not to have a national, clearly defined, resourced and observed commitment to the provision of reliable, detailed and accurate patronage data, some eight years after the publication of the 2004 Strategy raises a serious question as to the industry's commitment to the process.

A similar conclusion was made in relation to the engagement with Network Rail. There is no doubt that at a local CRP level, the NR Community Rail Team are adding real value to the CRP process and are recognised and valued by the stakeholders involved. However, nationally, in contributing to the second core objective of the 2004 Strategy, that of branch line cost reductions, it is clear that there is a failure of process and will. Even if the outcome of genuine cost allocation per line raises questions about value, with a commitment from the state for transparency and localism, this is not a reason for inaction, and actively undermines the Strategy and the principles upon which it was founded. The current status quo also undermines one of the core principles attributed to the privatisation of the rail infrastructure – that the market has greater knowledge and control over its assets. What is certainly evident is that the Strategy's aspiration for a modern equivalent of cost saving and efficient operational practices, building upon devised by Welsby and Edmonds in the 1980's has failed to materialise.

However, a more positive conclusion to the engagement of the DfT Community Rail Division was made, despite the observed weaknesses of internal communication within the Department. Although changes post 2010 have impacted upon the resource of the Community Rail Team, their ability to retain the commitment to Community Rail within all franchises, to sustain the Strategy as an active document, and to gain support from the carousel of Rail Ministers, was evidenced as representing

a welcomed and valid contribution to individual CRPs and the engagement process and was valued as such by respondents.

To conclude, in relation to the research objective, the nature of CRP governance and engagement in supporting successful Strategy outputs and outcomes has been shown to be highly significant. Strong governance appropriate to the place and locality concerned, reinforced with positive leadership and engagement by all stakeholders has been shown to provide the stability for a CRP to deliver successful outputs and outcomes.

9.4 Study Limitations

Having completed the study process and written the thesis, I have sought to identify and reflect upon the limitations both observed and experienced. The first limitation relates to data, and the use an incomplete dataset as a result of the refusal of the Island Line CRP to interview its core CRP members, due to its own internal problems. With these issues outlined in section 5.7.2, relating to its own failure of governance; to have been able to discuss this with core stakeholders I believe would have enhanced the data and its subsequent analysis in relation to research objective 3. In addition, and in retrospect, I would have liked to have increased the level of data relating to a wider review of other third sector organisations, to be able to compare their experiences of localism and governance change to those of the CRP community.

A second limitation and the one with the most direct practical impact, was a change in UK Government policy during the final writing up period. Whilst the thesis delivered a

series of practical outputs in meeting the requests of the core PhD sponsor (Appendices B, C & D), to inform and provide tools to support the CRP community, the change of Government policy as reflected in the Postscript, removed the central governance structures and processes upon which the research and fieldwork was based. As such, the secondary part of the thesis, in addition to its core academic focus, became outdated before it could add real value to the sponsor. Further, I would suggest, the process of seeking to balance a dual core academic as well as practical policy output focus itself created limitations to the study.

Lastly, I would have liked to have been able to explore in much more detail the role of Network Rail and its own internal governance and approval processes as they relate to branch lines in England. It is the one sector/organisation which appears to have achieved the least in relation to meeting the core objectives of the CRP Strategy, and had time and space allowed, is an area I believe would deliver interesting and valued research outcomes.

9.5 Recommendations

In making the CRP operational environment more manageable, to support existing CRPs and their Officers, and to promote an enhanced level of stability in contributing to the delivery of the 2004 Strategy, the following Policy recommendations, in combination, are proposed:

- A strengthening of the role of ACoRP to lead and advise on governance change, and how CRPs can engage in the new spaces created;

- The retention and enhancement of Community Rail as a franchise commitment within all replacement and extended franchises, including direct pre-specification consultations with CRPs;
- ATOC to agree with ACoRP a process for the provision of stable, relevant, timely, accurate and detailed patronage data for each CRP in a standard format;
- The amendment of National Indicator 175, and any successor, to include 'designated community rail services' within the definition of Public Transport services;
- A review of the internal processes within the DfT for the inter-divisional communication of proposed changes to indicators affecting local authorities;
- The creation of a national Community Rail Station Audit Scheme for evaluating and grading CRP stations in meeting customer expectations;

9.6 Areas for Additional Research

In considering areas where additional research would assist the delivery of the 2004 Strategy and its three core objectives in full, and enable the CRP community to position itself within the spaces of engagement created through the governance change of the Coalition Government, the following areas of additional research are recommended for consideration:

- An appraisal of the Coalition Government's changes to governance and its impact on sustainable transport outcomes;
- A detailed quantification of the outcome value of CRP activities in contributing to the LAA National Indicators or their successor;
- A detailed analysis of the procedural, legal, governance, and contractual led processes within Network Rail to support the identification of costs and standards applied to a representative sample of Community Rail lines in the UK;
- A detailed analysis of the procedural, legal, governance, and contractual led processes applied within Europe to support the identification of costs and standards applied to a representative sample of Community Rail lines in the EU;
- A review of the full costs and processes for the provision of Rolling Stock and maintenance for Community Rail services;
- An updated, detailed appraisal model for options for micro-franchising and local governance in the operation and management of Community Rail lines.

9.7 Conclusion

Three of the four research objectives individually addressed core elements of the conceptual framework of the thesis. The first explored state led governance change as it applied to, and impacted upon, the transport planning landscape during the study period, and how an individual CRP or the wider 2004 Strategy could engage within these new spaces. The second explored the wider impact of governance on CRPs, of

larger scale based changes of a new state spatial strategy, with its hollowing out and filling in of the entire local government performance monitoring framework. This created new spaces, new metagovernance arrangements and new territories. The third focused internally on how individual CRP governance decisions and engagement processes impacted upon their ability to deliver successful outcomes in meeting the Strategy objectives.

Collectively, in addressing the primary research aim, these three objectives contributed to a conclusion which states that under New Labour, the governance environments introduced for the transport planning and local performance management functions did create new spaces of engagement within which, theoretically, a successful Community Rail Development Strategy could be delivered by CRPs. However, to be effective within these new spaces would require a new level of political and operational engagement, requiring additional time and skill sets, which are currently neither utilised, nor expected to be available from existing practitioners.

POSTSCRIPT

The Big Society was a key policy theme of the Conservative Party manifesto for the 2010 general election, and became a core part of the subsequent Conservative – Liberal Democrat Coalition Agreement. The stated aim was to create a climate that empowers local people and communities, building a "Big Society" that will take power away from politicians and give it to people (10 Downing Street Website, 2010).

With echoes of Tony Blair's 'Third Way' about it, as outlined in Chapter 2, here was a policy idea embracing the benefits of voluntary action and of localism, transferring power from central government to local institutions. On initial consideration, it could be strongly argued that the themes within the Big Society agenda have been central to the work of Community Rail Partnerships for the last 20+ years, a point not lost on key Policy Makers within Government amongst other CRP Stakeholders:

'I mean that is one of the reasons why, politically why I think the Minister likes us is that we are the only thing the Department has to offer in terms of the Big Society agenda, there isn't anything else on transport that comes anywhere near it.' (Driver 2).

But as the Interviews were undertaken before, during, and in the immediate aftermath of the 2010 general election campaign, this was also tempered by a sense of concern as to how far the policy would go in terms of dismantling existing structures within the rail sector and wider governance mechanisms:

'I think the other big concern now too is the, the whispers coming through about maybe Network Rail maybe completely reorganised and will that be good in the sense that it may be integrated with a train operator, so that we actually

get the best of that, we get it all working together, which might be better than Network Rail being separate from the train operator, or does it mean actually that maybe we're in for another ... of privatisation which takes it one step away again from local stakeholders.' (Driver 7)

What was clear though, was that even with concern about the lack of detail associated with the Policy, those who may be directly affected by it were reviewing arrangements and structures in preparation of another shift in governance impacting upon the third sector.

Starting in early 2011, and ongoing at the time of the submission of this thesis, the following governance changes have been made to the processes and hierarchies outlined within this thesis by the new Coalition Government:

- The Regional Assemblies have been closed down, with a stated commitment to scrapping the RSS process in full (on-going);
- The Regional Development Agencies have been closed down, with partial responsibility for economic growth transferred to new un-elected governance quangos, the Local Economic Partnerships (LEPs);
- The Regional Government Office Network has been closed down, with former locality functions either discontinued or transferred back to Whitehall;
- The Local Strategic Partnerships' core functions and responsibilities have been removed, leading to most LSPs either closing down or restructuring to more localised, less networked, structures;
- The reward part of the performance monitoring of LAAs has been scrapped, with local authorities only having to report the outcomes annually, but with no appraisals being undertaken by Whitehall;

- The responsibility for concessionary travel provision was transferred away from the District Council tier to the Highway Authority tier in April 2012;
- Local Transport Plan 2 received a 20 percent cut in its integrated block funding, and all of the LTP block resource is now provided under as non-ringfenced grant within the Rate Support Grant process;
- The National Indicator Set still exists, but is not monitored.

As such, whilst this thesis focused on how CRPs could engage within spaces created by the New Labour administration, this is a process now being repeated under a further revision to governance policy and practice under the Coalition Government, creating new challenges (and opportunities?) to both CRPs and the 2004 Community Rail Development Strategy.

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APPENDIX A

Introductory Letter and Questionnaire



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Dear ,

New CRP Research Study

By way of introduction my name is Andrew Seedhouse and I work for the Government Office for the South West in Plymouth. You may be aware that David Hibbs and the Community Rail Partnerships Team at DfT Rail are currently sponsoring some postgraduate research work on Community Rail, with the support of Acorp.

I have taken a career break to be able to undertake part of this research programme through the University of Plymouth, which I am sure you are aware also hosts the Devon & Cornwall Rail Partnership (DCRP), led by Richard Burningham. Indeed, between 1995 and 1998 I also worked for DCRP as Richard's predecessor, and was an early supporter of Paul Salveson in helping to set up Acorp.

Part of the work I am doing for DfT includes a review of how each of the CRP Pilots (Line or service) organises the decision making for their area itself in relation to bring partners together – Council staff / TOC staff / Local Businesses / Volunteers etc. As the work is at a very early stage, I have been asked to start by finding out exactly how each of the CRPs chooses to structure itself, so that the range of approaches adopted can be identified.

I have prepared a short questionnaire (attached) which I hope you will be able to complete and return to me by the end of June – a fictional example is also included to assist if any of the questions need clarifying. Alternatively if you have any questions, please feel free to contact me on 0777 645 7770 or 01752 822314.

Thank you and I look forward to hearing from you, and I hope meeting you at the CRP event on July 10th.

Andrew Seedhouse

Community Rail Partnerships Governance Structures Survey 2008/09

Community Rail Partnership Route Designated Line Designated Service	Primary Contact Contact Number Contact Email													
Governance Structure Hierarchy 1 Group's Inception Frequency of Meetings Alloesides Name Alloesides Position Alloesides Organisation Email Contact Details	Details 1	Details 2	Details 3	Details 4	Details 5	Details 6	Details 7	Details 8	Details 9	Details 10	Details 11	Details 12		
Governance Structure Hierarchy 2 Group's Inception Frequency of Meetings Alloesides Name Alloesides Position Alloesides Organisation Email Contact Details	Details 1	Details 2	Details 3	Details 4	Details 5	Details 6	Details 7	Details 8	Details 9	Details 10	Details 11	Details 12		
Governance Structure Hierarchy 3 Group's Inception Frequency of Meetings Alloesides Name Alloesides Position Alloesides Organisation Email Contact Details	Details 1	Details 2	Details 3	Details 4	Details 5	Details 6	Details 7	Details 8	Details 9	Details 10	Details 11	Details 12		
Governance Structure Hierarchy 4 Group's Inception Frequency of Meetings Alloesides Name Alloesides Position Alloesides Organisation Email Contact Details	Details 1	Details 2	Details 3	Details 4	Details 5	Details 6	Details 7	Details 8	Details 9	Details 10	Details 11	Details 12		

APPENDIX B

Presentation to DfT / ACoRP Conference – Derby 2009



Government Office for the South West
representing central government in the south west region

GOSW

Why Are Local Area Agreements relevant to Community Rail Partnerships?

Who needs a site visit?

14th January 2009



www.gosw.gov.uk • 01752 635125 • andrew.seedhouse@gosw.gsi.gov.uk



Government Office for the South West
representing central government in the south west region

GOSW

- **Policy - an evolutionary process**

Transport Act 2000 / LTP1

LTP2 Outcome Process / RSS Alignment

Towards a Sustainable Transport System (TaSTS)

Local Area Agreements / LSPs

The Local Transport Act 2008

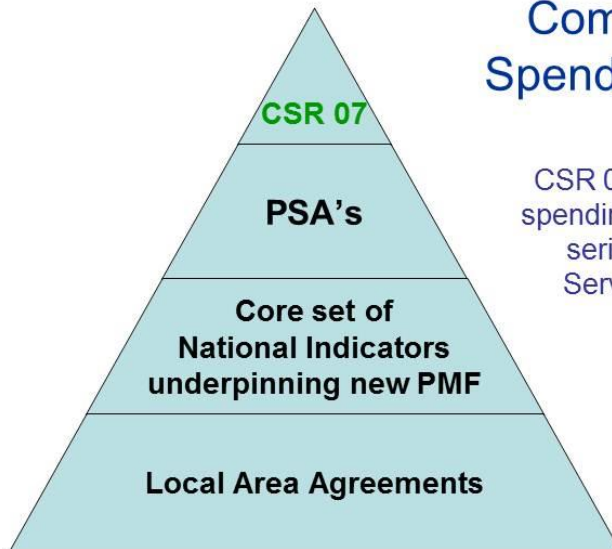
LTP3 Consultation



www.gosw.gov.uk • 01752 635125 • andrew.seedhouse@gosw.gsi.gov.uk



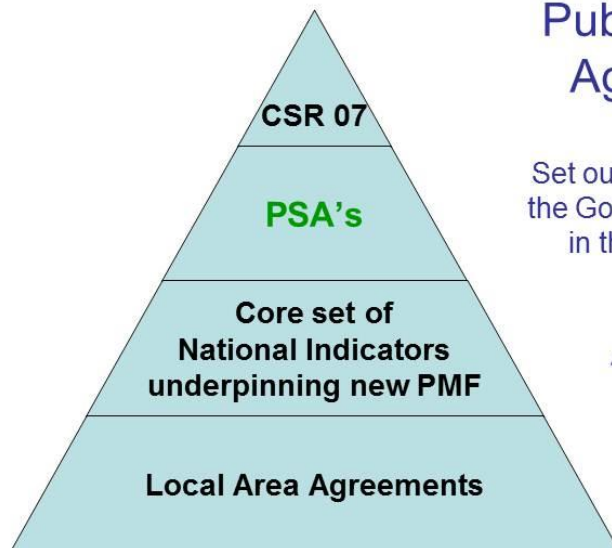
Comprehensive Spending Review 07



CSR 07 established Government spending for 2008 – 2011 against a series of 30 core new Public Service Agreements (PSAs).



Public Service Agreements



Set out the key priority outcomes the Government wants to achieve in the next spending period (2008-2011)

4 Core PSA Themes





Public Service Agreements

The PSA Delivery Agreements are grouped into 4 Areas:

- [Sustainable growth and prosperity](#) (PSAs 1-7)
- [Fairness and opportunity for all](#) (PSAs 8-17)
- [Stronger communities and a better quality of life](#) (PSAs 18-26)
- [A more secure, fair and environmentally sustainable world](#) (PSAs 27-30)

Each PSA is underpinned by a single **Delivery Agreement** shared across all contributing departments and developed in consultation with delivery partners and frontline workers.

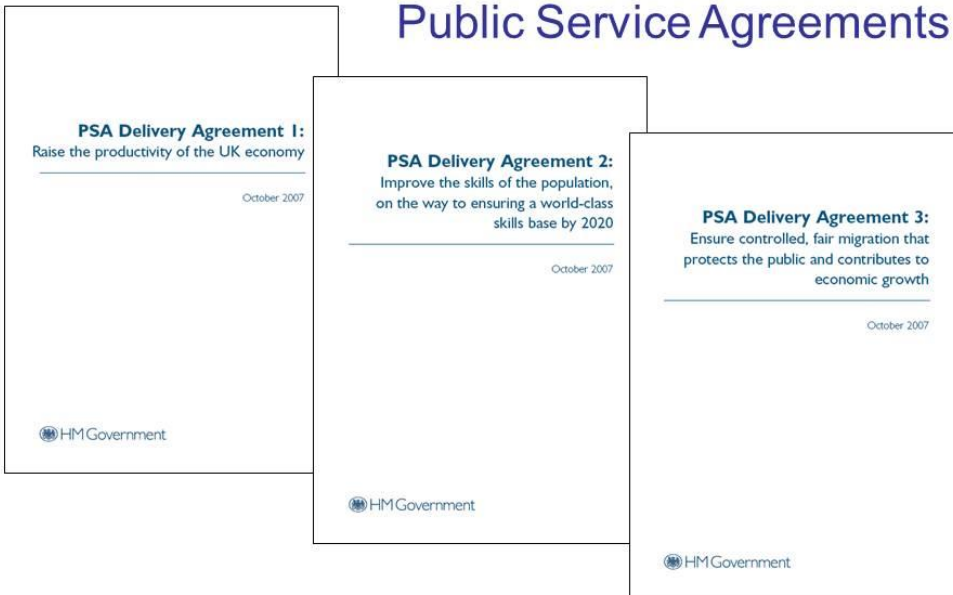
Department for Transport is Lead Department for PSA5:



*Deliver reliable and efficient transport networks
that support economic growth*



Public Service Agreements





Departmental Strategic Objectives

DfT's wider transport aims for the 2008-2011 CSR period are also reflected in **4 Departmental Strategic Objectives (DSOs)**. Each DSO is underpinned by key performance indicators used to measure progress and success.

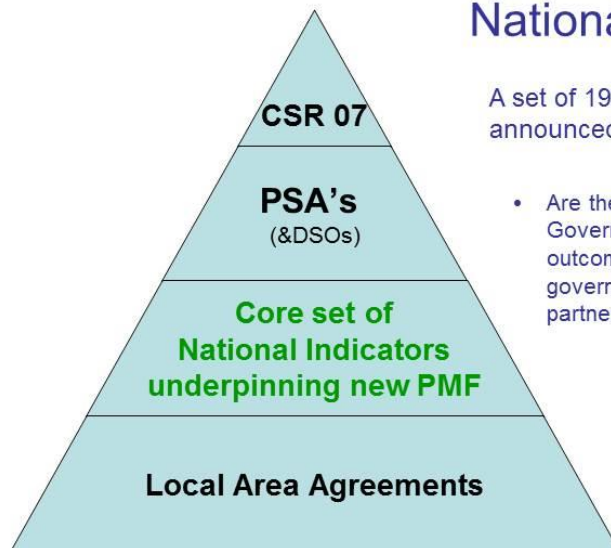
- **DSO1:** To sustain economic growth and improved productivity through reliable and efficient transport networks.
- **DSO2:** To improve the environmental performance of transport and tackle climate change.
- **DSO3:** To strengthen the safety and security of transport
- **DSO4:** To enhance access to jobs, services and social networks, including for the most disadvantaged.
 - Increase the number of buses and trains accessible to disabled people.
 - Increase the number of stations re/accredited under the Secure Stations Scheme by 15%
 - Access to services and facilities by public transport, walking and cycling



National Indicator Set

A set of 198 national indicators announced as part of CSR 07. They:

- Are the only measures on which central Government will performance manage outcomes delivered by local government working alone or in partnership
- Replace all other existing sets of indicators including Best Value Performance Indicators and Performance Assessment Framework indicators





National Indicator Set Overview

NI Ref.	Indicator	PSA/DSO
1	% of people who believe people from different backgrounds get on well together in their local area	PSA 21
2	% of people who feel that they belong to their neighbourhood	PSA 21
3	Civic participation in the local area	PSA 15
4	% of people who feel they can influence decisions in their locality	PSA 21
5	Overall/general satisfaction with local area	CLG DSO
6	Participation in regular volunteering	CO DSO
7	Environment for a thriving third sector	CO DSO
8	Adult participation in sport and active recreation	DCMS DSO
9	Use of public libraries	DCMS DSO
10	Visits to museums or galleries	DCMS DSO
11	Engagement in the arts	DCMS DSO

10 of the 198 are DfT led – (Ex BVPI or LTP2)



National Indicator Set – Definitions (3★ +)

NI Ref.	Indicator	PSA/DSO
2	% of people who feel that they belong to their neighbourhood	PSA 21
6	Participation in regular volunteering	CO DSO
7	Environment for a thriving third sector	CO DSO
8	Adult participation in sport and active recreation	DCMS DSO
10	Visits to museums or galleries	DCMS DSO
11	Engagement in the arts	DCMS DSO
110	Young people's participation in positive activities	PSA 14
146	Adults with learning disabilities in employment	PSA 16
148	Care leavers in employment, education or training	PSA 16
175	Access to services and facilities by public transport, walking and cycling	DfT DSO
176	Working age people with access to employment by public transport (and other specified modes)	DfT DSO
177	Local bus and light rail passenger journeys originating in the authority area	DfT DSO
185	CO2 reduction from Local Authority operations	PSA 27
186	Per capita reduction in CO2 emissions in the LA area	PSA 27
188	Planning to adapt to climate change	PSA 27
194	Air quality - % reduction in NOx and primary PM10 emissions through local authority's estate and operations	PSA 28
198	Children travelling to school - mode of travel usually used (5-16yrs - car (including vans and taxis))	DfT DSO



National Indicator Set – Definitions (3★ +)

NI 175: Access to services and facilities by public transport, walking and cycling			
Is data provided by the LA or a local partner?	Y	Is this an existing indicator?	Y
Rationale	This indicator monitors the fostering of social inclusion through access to core services and facilities via non-private modes of transport, which may include, but is not limited to: public transport; demand responsive transport; walking; and cycling. It is a key social inclusion and quality of life outcome. The indicator cuts across a number of service areas and can assist how they are planned and delivered.		
Definition	<p>This indicator measures access to selected core services and facilities by individuals via non-private modes of transport, which may include, but is not limited to: public transport, demand responsive transport, walking and cycling.</p> <p>Core services:</p> <ul style="list-style-type: none"> - Healthcare – Hospitals and GP surgeries; - Education – primary, secondary and higher education sites; - Food shops; and - Employment sites. <p>Non private modes of transport would include:</p> <p>timetabled bus services; Light rail & tram services (Blackpool Trams; Manchester Metrolink; Midland Metro; Nottingham Express Transit; Sheffield Supertram and Tyne & Wear Metro (Croydon Tramlink & Docklands Light Railway reported by TfL);</p>		

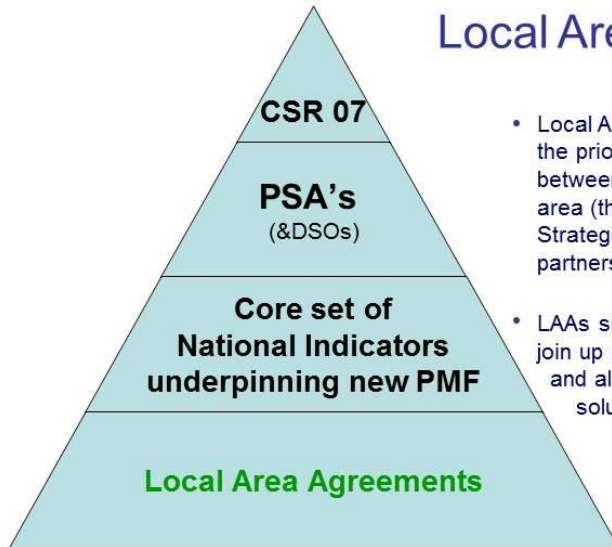


National Indicator Set – Definitions (1 – 3★)

NI Ref.	Indicator	PSA/DSO
1	% of people who believe people from different backgrounds get on well together in their local area	PSA 21
3	Civic participation in the local area	PSA 15
21	Dealing with local concerns about anti-social behaviour and crime issues by the local council and police	PSA 23
22	Perceptions of parents taking responsibility for the behaviour of their children in the area	HO DSO
45	Young offenders engagement in suitable education, employment or training	MoJ DSO
47	People killed or seriously injured in road traffic accidents	DfT DSO
48	Children killed or seriously injured in road traffic accidents	DfT DSO
54	Services for disabled children	PSA 12
72	Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal Social and Emotional Development and Communication, Language and Literacy	PSA 10
106	Young people from low income backgrounds progressing to higher education	PSA 11
138	Satisfaction of people over 65 with both home and neighbourhood	PSA 17
151	Overall employment rate	PSA 8
152	Working age people on out of work benefits	PSA 8
153	Working age people claiming out of work benefits in the worst performing neighbourhoods	DWP DSO
154	Net additional homes provided	PSA 20
155	Number of affordable homes delivered (gross)	PSA 20
167	Congestion - average journey time per mile during the morning peak	PSA 5
171	New business registration rate	BERR DSO
172	Percentage of small businesses in the area showing growth	BERR DSO
197	Improved local biodiversity – proportion of local sites where positive conservation management has been or is being implemented	PSA 28



Local Area Agreements



- Local Area Agreements (LAAs) set out the priorities for a local area agreed between central government and a local area (the Local Authority and Local Strategic Partnership) and other key partners at the local level.
- LAAs simplify some central funding, help join up public services more effectively and allow greater flexibility for local solutions to local circumstances.



What is a
Government
Office For?



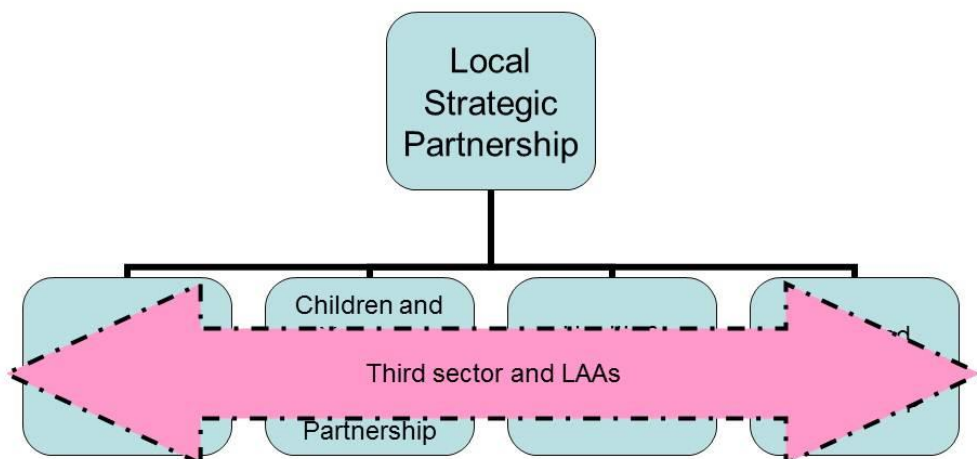
GOSW Objective

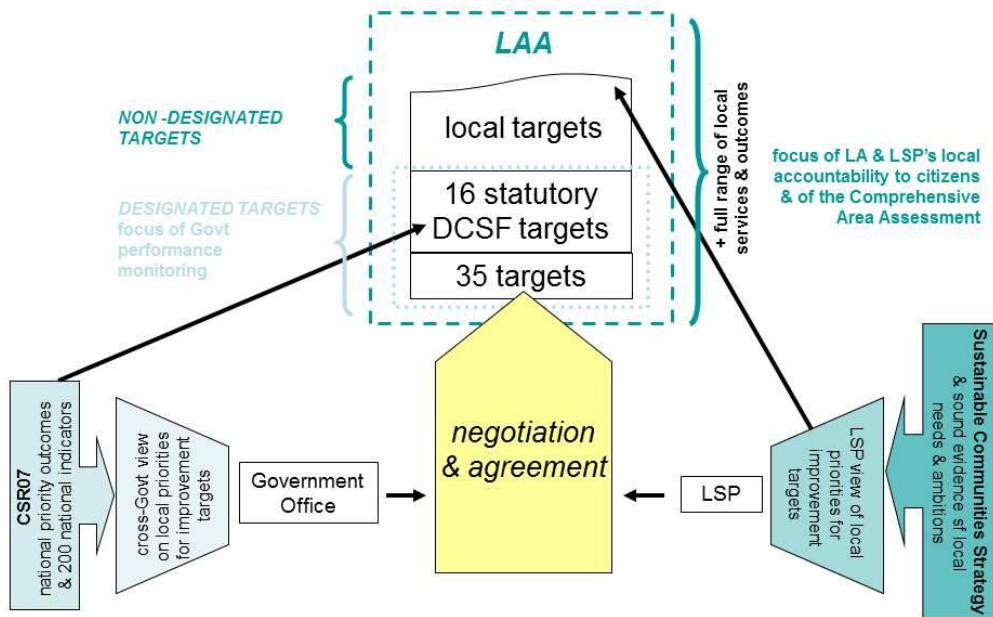
'To ensure local authorities deliver high quality services efficiently and work with their local partners to tackle agreed local priorities successfully. Central to this will be encouraging the 16 Local Strategic Partnerships to develop a transformational vision for their areas'

- *Working with Place and outcome based delivery will be the primary vehicles to help us achieve this.*



Local Area Agreements





Why this is an Opportunity for Community Rail?

How Community Rail Partnerships can engage with LAAs to further demonstrate their value?





- Identify LAA Priorities of Areas Served
- Understand how CRP activity supports the Targets being Monitored
- Engage with LSP officers where CRPs support delivery
- Engage with Area Locality Managers and Theme Leads within your Government Office
- Engage with LTP3 Consultation (Acorp)



- Identify LAA Priorities of Areas Served

Indicators for Yorkshire & The Humber localities

Sheffield Yorkshire & The Humber

Select 27 locality

Sheffield
33 indicators, comprising:

- 9 Target to be reviewed (R)
- 5 Previously deferred target to be negotiated (D)
- 4 Agreed target to be recalculated or reinterpreted (T)
- 15 Confirmed target (C)

03/12/08

Ni no.	Indicator	localities	select
20	Assault with injury crime rate	R 14	<input type="radio"/>
69	Children who have experienced bullying	R 8	<input type="radio"/>
76	Reduction in number of schools where fewer than 65% of pupils achieve level 4 or above in both	R 1	<input type="radio"/>
111	First time entrants to the Youth Justice System aged 10 - 17	R 6	<input type="radio"/>
112	Under 18 conception rate	R 13	<input type="radio"/>
120	All-age all cause mortality rate	R 10	<input type="radio"/>
123	Stopping smoking	R 7	<input type="radio"/>
167	Congestion - average journey time per mile during the morning peak	R 10	<input checked="" type="radio"/>
186	Per capita reduction in CO2 emissions in the LA area	R 10	<input type="radio"/>
4	% of people who feel they can influence decisions in their locality	D 12	<input type="radio"/>
17	Perceptions of anti-social behaviour	D 7	<input type="radio"/>
146	Adults with learning disabilities in employment	D 4	<input type="radio"/>
150	Adults in contact with secondary mental health services in employment	D 3	<input type="radio"/>
171	New business registration rate	D 13	<input type="radio"/>
1	% of people who believe people from different backgrounds get on well together in their local are:	T 13	<input type="radio"/>
30	Re-offending rate of prolific and other priority offenders	T 11	<input type="radio"/>
40	Number of drug users recorded as being in effective treatment	T 9	<input type="radio"/>
47	People killed or seriously injured in road traffic accidents	T 10	<input type="radio"/>
16	Serious acquisitive crime rate	C 11	<input type="radio"/>
33	Arson incidents	C 3	<input type="radio"/>
46	Percentage of people who are satisfied with the way their local authority is run	C 5	<input type="radio"/>

Yorkshire & The Humber
10 localities with indicator NI 167

Calderdale	U
Barnsley	R
Bradford	R
Doncaster	R
Kirklees	R
Leeds	R
Rotherham	R
Sheffield	R
York	R
Wakefield	T



- Understand how CRP activity supports the Targets being Monitored

NI175: Access to services and facilities by public transport, walking and cycling			
Is data provided by the LA or a local partner?	Y	Is this an existing indicator?	Y
Rationale	This indicator monitors the fostering of social inclusion through access to core services and facilities via non-private modes of transport, which may include, but is not limited to: public transport; demand responsive transport; walking; and cycling. It is a key social inclusion and quality of life measure. The indicator cuts across a number of service areas and can assist by		
Definition	This indicator measures access to selected core modes of transport, which may include, but is not limited to: public transport, walking and cycling. Core services: - Healthcare – Hospitals and GP surgeries; - Education – primary, secondary and tertiary; - Food shops; and - Employment sites. Non private modes of transport would include: timetabled bus services; Light rail & tram services (Blackpool Trams; Manchester Metrolink; Docklands Light Railway reported by TfL);		

Every priority LAA Indicator is supported by its own local delivery template – held at the GO and Local Authority



- Engage with Core Delivery Partners

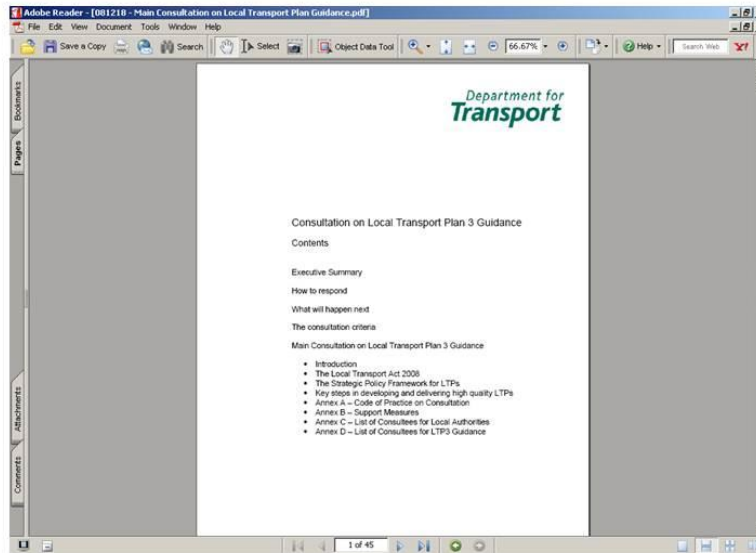
Each LAA Area has its own 'Locality Manager' within a Government Office responsible for overall LAA management with the LSP/Local Authority, and 'thematic' officers covering core subject areas.



Most LSPs have 'theme groups' responsible for a basket of Indicators



Engage with LTP3 Consultation (Acorp)



LAA Toolkit for CRPs

- CD & Handbook
- LAA Indicator Model – for all Local Authorities
- All 30 PSAs and links to Lead Departments
- All 198 NIs, links, & CRP Rating Scheme for the 17 NIs most relevant to CRPs
- Core GO LAA Contacts
- Local Transport Plan 3 – info and consultation guidance
- Out by end Feb 2009





Your'e not just Community Rail Partnerships

Your'e multi Departmental objective supporting,
LSP partner prioritising, Cross-cutting
indicator outcome delivering, 'third sector'
engaging, Community Rail Partnerships!



APPENDIX C

ACoRP Response to Local Transport Plan 3 Consultation

Ms Charlotte Dixon
LTP Consultation
Department for Transport
Great Minster House,
Zone 3/14 76
Marsham Street
London
SW1P 4DR

Dear Ms Dixon,

Local Transport Plan 3 Consultation Response

Thank you for the invitation to respond to the consultation on Local Transport Plan 3 Guidance. As I hope you will be aware the Association of Community Rail Partnerships (ACoRP) is the national body representing the interests of over 60 Community Rail Partnerships and rail support groups across the UK. We have contributed to the substantial growth in local passenger numbers, brought redundant station buildings back to life and encouraged modal shift away from cars. Our members work very closely with our Local Authority partners, Train Operators, Network Rail and local stakeholder organisations such as employers groups, Sport England, Universities and Colleges, and leisure/tourism agencies in providing accessibility improvements for residents and visitors alike in supporting local economic growth.

Whilst not currently a formal consultee as identified in Annex D, we would like to request being added to the Department's central list for future consultations, and for Community Rail Partnerships to be added to your list of organisations in Annex C. We have reviewed the core consultation questions as outlined on pages 3 and 4, and are responding directly to Question 4 - 'Is the guidance clear and understandable to a non-transport audience?' leaving our Local Authority LTP Partners to respond in detail to Questions 1 to 3.

Our response to Q4 is based upon practical evidence collated whilst preparing the recent national publication 'Community Rail Partnership Guidance on Delivering Local Area Agreement and Local Transport Plan 3 Outcomes' published in early March 09. This Guidance was developed to support our members, local authorities and rail industry partners in ensuring that Community Rail Partnerships make a positive contribution to the delivery of Local Area Agreements (LAAs) and LTP3 at a local and regional level. The Guidance was developed on behalf of ACoRP by the Centre for Sustainable Transport at the University of Plymouth with financial assistance from the Department for Transport. A copy of the main report is attached for reference.

Consultation Response to Q4

We have chosen to respond to Question 4 as we believe the success of LTP3 to be fundamentally linked to an ability of non-transport audiences to be able to clearly understand and interpret the guidance. We have already observed that the process of selecting the designated indicators as part of the Local Area Agreement negotiations in early/mid 2008 introduced many non-transport managers for the first time to the need to quickly and easily understand the meaning and emphasis behind the 10 Department for Transport led indicators in the 198 National Indicator set. The same NI definitions which will provide the backbone to the LTP3 reporting process as indicated in the guidance.

In particular we have learnt to our cost and concern that a strict application of existing indicator definitions – particularly re: NIs 177, 176 and 175 may lead to the LTP3 guidance in its current form working against the Department's own policy of promoting and supporting Community Rail; may undermine the 2004 national Community Rail Strategy; and may stifle, if not inhibit the important role that Community Rail can play in delivering sustainable transport solutions and improved accessibility in accordance with the principles of DaSTS.

Central to our concern is the Departments current definition of Public Transport within the National Indicator set. You will be aware that the origin of the definition of Public Transport is based around BVPI 102 which at its inception was uniquely bus patronage based. However, with the introduction of the National Indicator set in 2007, BVPI102 was replaced with a more rounded definition as to how 'Public Transport (and other specified modes)' could support outcomes associated with accessibility.

This should have been a positive change of emphasis, and indeed the definitions of NI 176, 177 and 175 imply so in their titles, namely:

- NI 176: Working age people with access to employment by Public Transport (and other specified modes);
- NI 177: Local bus and light rail passenger journeys originating in the authority area;
- NI 175: Access to services and facilities by public transport, walking and cycling.

However, the Departments actual definition of 'Public Transport' within indicators NI 176 and 177 is determined as:

- Timetabled bus services;
- Light rail services;
- Tram services.

Whilst the definition of 'Non Private Modes of Transport' within NI 175 is determined as:

- Timetabled bus services;
- Light rail & tram services (Blackpool Trams; Manchester Metrolink; Midland Metro; Nottingham Express Transit; Sheffield Supertram and Tyne & Wear Metro (Croydon Tramlink & Docklands Light Railway reported by TfL);
- Demand responsive (dial-a-ride) transport – flexible, demand led service with no registered timetable.

Under these present definitions, the role and outcomes supported by Community Rail Partnerships, and the Departments own 2004 Community Rail Strategy are excluded from contributing to the delivery of LAA targets and, by default, LTP3. This is in spite of the positive reference made in your Draft Consultation Guidance (page 30) to the role that Community Rail can play in helping a Local Authority meet the Goals of DaSTS.

Why this definition so important?

As outlined in our Guidance Report, Community Rail Partnerships have the opportunity to make a direct positive contribution to 17 of the 198 National Indicators (Guidance page 11), and an indirect positive contribution to a further 20 (Guidance page 12). However, under the present Public Transport definitions of NIs 176, 177 and 175, the Government Office and Department for Transport negotiators of LTP3 and the next round of LAAs, will have to explicitly **exclude** any patronage targets put forward by Authorities which seek to capture patronage benefits accrued by Community Rail schemes.

With funding priorities so competitive there is real concern that this may undermine the future of Community Rail Partnerships and hence the Departments own Community Rail Strategy. Not only would the patronage values not be captured, but the financial and social benefits accrued by a properly constituted Community Rail Partnership could be lost. As identified in the Report 'The Value of a Community Rail Partnership' investment in Community Rail activity has a BCR value, approved by the Department, of 4.6. We do not believe it is the intention of the Department to exclude such benefits from being captured, and this is why the clarity of the NI definitions as part of the LTP3 guidance process in relation to consultation question 4 is so important.

Way Forward?

We understand and accept that the Department does not regard national rail services data as appropriate for targets within LTP's as the responsibility sits with the competitive rail sector, and not a duty of the Local Transport Authority. However, Community Rail services have special designations which clearly identify themselves separately to the core network and are based on local partnership based improvements. On behalf of our membership and our Local Transport Authority partners we would like the Department to consider the following:

- Amend the definition of Public Transport in NI 176 to include the term 'Community Rail Services'
- Amend the definition of Public Transport in NI 177 to include the term 'Community Rail Services'
- Amend the definition of 'Non Private Modes of Transport' in NI 175 to include the term 'Community Rail Services'

In ensuring only appropriate lines are captured, we would recommend that the term 'Community Rail Services' be defined, for the purposes of inclusion in the NI's, as those Community Rail Lines which are either designated as part of the Departments Community Rail Strategy, or are fully constituted Community Rail Partnerships to ACoRP standards.

By doing so, the LTP3 guidance and its focus on using the National Indicator set as the core reporting process for measuring local sustainable transport performance will be clear and understandable to a non-transport audience. It will give the tools to the Local Transport Plan managers to be able to realise the value of Community Rail services when negotiating targets for the plan period, and it will enable Community Rail Partnership Officers to be able to demonstrate to Local Strategic Partnership members how their community focussed work can contribute to up to 37 of the 198 National Indicators.

Thank you and we look forward to hearing from you.

APPENDIX D

Community Rail Toolkit Main Report and Interactive Model

Annex

AC:RP
New life for local lines



Association of Community Rail Partnerships

**Community Rail Partnership Guidance
on Delivering Local Area Agreement and
Local Transport Plan 3 Outcomes**

March 2009

Content

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1. National Indicator Set for Local Authorities and Local Strategic Partnerships

2. **Local Area Agreements**
 - What are Local Area Agreements
 - The Role of the Local Strategic Partnerships
 - Identifying Targets for Individual LAAs

3. LAA Indicators and CRP Outcomes

- Overview of Indicators Awarded 3 or More Stars
- Overview of Indicators Awarded 1-2 Stars
- National Indicator Definitions of 3 or More Star Indicators and CRP Outcomes (Pages 12 – 38)

4. Local Transport Plan 3

- Local Transport Act 2008 & Changing Structure of LTP3
- Additional Links for LTP3 Material
- Way Forward for CRP Officers in Supporting LTP3

All Annexes In Accompanying Document

Acknowledgements

ACoRP wishes to thank the Department for Transport and Government Office South West who have contributed financially to the development of this Report, and the Centre for Sustainable Transport at the University of Plymouth who have undertaken the research and prepared the Report on ACoRP's behalf.



Introduction

This Report has been developed to support Community Rail Partnerships in understanding how the work and outcomes achieved at an individual community rail line level may assist Local Strategic Partnerships and Highway Authorities in their delivery of Local Area Agreement indicators and Local Transport Plan 3. It builds upon the presentation given to the Designated Community Rail Line Seminar held in Derby on 13th January 2009. The Report makes extensive use of weblinks to enable easy access to support material and is therefore best read electronically with an open Web Browser.

The Report seeks to provide an historical context to the current national priorities of Central Government as outlined within the Comprehensive Spending Review period 2008-11 (CSR07), and the 30 National Public Service Agreements. It introduces and outlines the role of the National Indicator Set of 198 indicators against which Local Government and its partners will be monitored during this period, and identifies which of these 198 indicators may have most relevance to Community Rail activity. For these indicators identified as most relevant, a scoring system has been developed, with additional material provided outlining how Community Rail supports the local priority delivery.

To enable CRP officers to easily identify which of the 198 National Indicators have been selected by a Local Strategic Partnership for inclusion within a Local Area Agreement served by their community rail line(s), an interactive Toolkit Model has been developed, and is hosted on the Members area of the ACoRP website. This Model contains the designated indicators for all LAAs in England, and enables Area and Indicator based comparisons at a local and regional level.

In 2011 the Local Transport Plan process is to be refreshed following changes agreed in the 2008 Local Transport Act. This Report outlines the core changes to the LTP process and how LTP3s will use the national indicator process to meet agreed departmental priorities. The Report also highlights areas where CRPs may wish to respond to the current LTP3 consultation process, and how the work of CRPs supports the outcomes being sought by the new LTP3 process.

If any CRP Officer wishes to discuss any element of the LAA or LTP3 process as outlined in this Report, the Author can be contacted on Andrew.Seehouse@plymouth.ac.uk or 01752 845770.

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 - Overview of Indicators Awarded 3 or More Stars
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 - National Indicator Definitions of 3 or More Star Indicators and CRP Outcomes (Pages 12 – 38)
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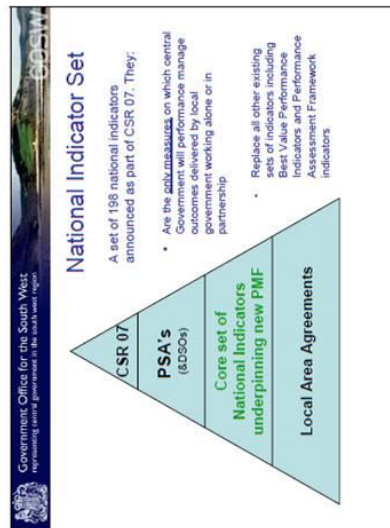
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1. National Indicator Set for Local Authorities and LSPs

The Local Government White Paper 'Strong and Prosperous Communities' published in October 2007, committed to introducing a set of streamlined indicators that would reflect national priority outcomes for local authorities working alone or in partnership.

A single set of 198 national indicators was therefore announced as part of the Comprehensive Spending Review 2007. These national indicators:

- Are the only measures on which central Government will performance manage outcomes delivered by local government working alone or in partnership
- Replace all other existing sets of indicators including Best Value Performance Indicators and Performance Assessment Framework indicators
- Were introduced in all areas from April 2008.



The headline definitions for the 198 indicators were announced on 11 October, 2007 by Hazel Blears, and the Government consulted on the detailed definitions of the indicator set to ensure that the methodology for measuring individual national indicators at a local level was sound. The consultation sought views on the methodology, frequency of reporting and data source of each individual indicator. Responses to this consultation as well as those to the consultations on the new Place Survey and the Assessments of Police and Community

Safety were taken into consideration when finalising the definitions for the national indicators.

The place of the National Indicator (NI) set in relation to the national Policy Context and Public Service Obligations of Government Departments is outlined in Annex A.

The full list of 198 Indicators is enclosed in Annex B, with Section 3 of this main Report providing a more detailed review of CRP outcomes and the priorities of the 17 most relevant NIs – which have been rated as 3 stars or more out of 5. The publication links below provide full and final detailed definitions for the 198 national indicators within their four core thematic areas.

185 national indicators came into force on 1 April 2008. The remaining 13 indicators were subject to further consultation in the summer before final definitions were released. Annex C outlines a table listing the Public Service Agreements, and Departmental Strategic Objectives to which the National Indicators relate as outlined below.

National Indicator Document Web Links – Pdf & MS Word

- [National Indicators for Local Authorities and Local Authority Partnerships: Handbook of Definitions](#). PDF, 434 kb, 52 pages
- [National Indicators for Local Authorities and Local Authority Partnerships: Handbook of Definitions](#). MS Word, 276 kb, 30 pages
- [National Indicators for Local Authorities and Local Authority Partnerships: Handbook of Definitions - Part 2](#). MS Word, 273 kb, 22 pages
- [Indicator definitions: Stronger and Safer Communities](#). PDF, 691 kb, 90 pages
- [Indicator definitions: Stronger and Safer Communities](#). MS Word, 747 kb, 94 pages
- [Indicator definitions: Children and Young People](#). PDF, 1837 kb, 181 pages
- [Indicator definitions: Children and Young People](#). MS Word, 1425 kb, 196 pages
- [Indicator definitions: Adult Health & Well-being and Tackling Exclusion and Promoting Equality](#). PDF, 580 kb, 74 pages
- [Indicator definitions: Adult Health & Well-being and Tackling Exclusion and Promoting Equality](#). MS Word, 644 kb, 75 pages
- [Indicator definitions: Local Economy and Environmental Sustainability](#). PDF, 1287 kb, 128 pages
- [Indicator definitions: Local Economy and Environmental Sustainability](#). MS Word, 1095 kb, 157 pages

2. Local Area Agreements

2.1 What Are Local Area Agreements

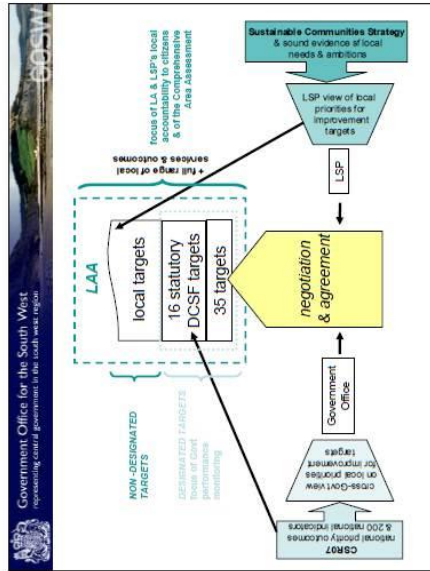
Local Area Agreements are about what sort of place we want to live in. They are about setting the strategic direction and focusing on the priorities that will make an area, town, city or community a better place to be. They are about place-shaping. LAAs continue to be three-year agreements with priorities agreed between all the main public sector agencies working in the area and with central Government. They are dependent upon everyone working together to have the right evidence to know what these priorities are.



However, LAAs are not just decided between public sector agencies. Everyone should have the opportunity to say what matters most to them. A good LAA will ensure systems are in place to be sure that what everyone agrees should happen, does. The major changes made in 2006 to the new performance framework will mean:

- **more emphasis on area based service delivery** - a package of measures which mean stronger partnership working, alignment of local government performance management arrangements with that of partner agencies and replacement of authority-based inspection with an area-based assessment of risks to service delivery. (The Comprehensive Area Assessment).

- **More freedom in spending decisions** - the local authority is able to make decisions about spending priorities with partners locally without these being conditioned by centrally imposed targets. Budget 07 reinforced the commitments in the Local Government White Paper 'Strong and Prosperous Communities' to reduce the number of specific grants. The presumption will be against ringfencing grants unless there are strong reasons for doing so and these will be made public.
- **Fewer central targets and reporting systems** - the new LAAs are part of radical reforms to replace the multiple national performance frameworks under which local authorities operate with just 198 national indicators. These will cover everything local government does on its own or in partnership with others. Each LAA will have no more than 35 negotiated (designated) indicators alongside 16 statutory education and early years targets. There will be a single annual performance review to examine the findings of the Comprehensive Area Assessment (CAA) and respond to changing priorities in the area.

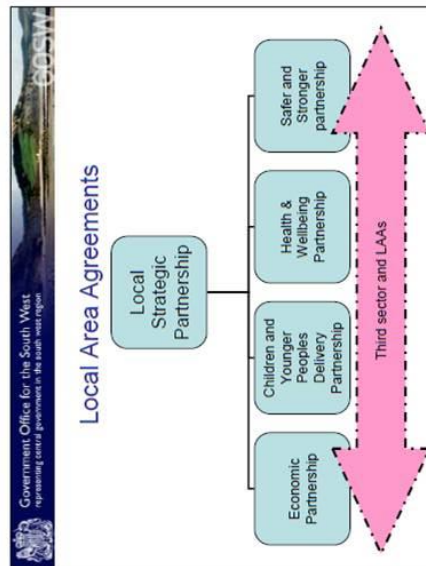


In addition, the passage of the Local Government and Public Involvement in Health Bill places a statutory requirement on the local authority to develop an LAA and duties on named partners to co-operate with the authority. Councils are also able to agree local targets with partners that will not need to be reported to central Government but which will have the same status as targets negotiated with central Government.

2.2 The Role of the Local Strategic Partnerships

The role of the Local Strategic Partnership (LSP) is central to the delivery of the LAAs. Most LSPs take responsibility for ensuring targets are delivered through the 'ownership' of indicator performance within LSP theme groups. Detailed membership of the LSPs are available on the website of your local authority, and would be likely to include senior officers from:

- Local Authority Departments,
- Fire, Health, and Police Services
- Local Economic Partnership Groups
- Job Centre Plus
- 3rd Sector Community Representatives



Most Local Authorities have a lead officer who supports the LSP and is responsible for the overall performance management of the LAA. The negotiation of an LAA is undertaken between a Local Authority (via the LSP) and central Government via the Government Office Network. Each Locality has a dedicated Locality Manager within a Government Office. Contact details of each Government Office in England are available at: <http://www.gos.gov.uk/national/>

2.3 Identifying which LAA Designated Targets have been selected by Authorities served by a CRP

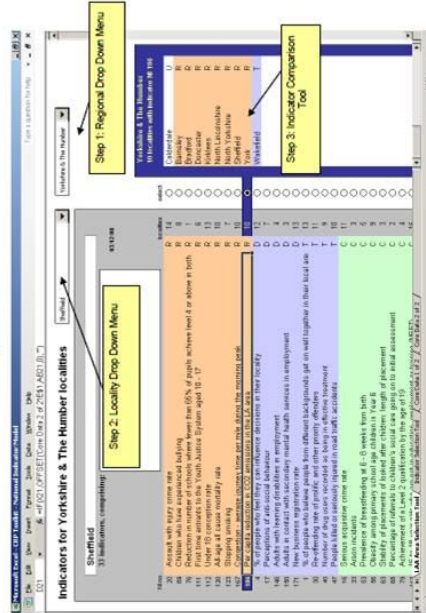
To accompany this Report, an interactive Local Area Agreement Indicator Toolkit Model containing the designated, priority, LAA Indicators of every English Authority has been developed using Microsoft Excel.

The Toolkit Model is hosted on the Members area of the ACoRP website <http://www.acorp.org.uk/> and is not available to the general public. The Toolkit Model contains 4 worksheets – of which two can be used to access data (the other two contain the raw data files and should be ignored).

Worksheet 1: LAA Area Indicator Selection Tool

This worksheet enables the user to identify the full list of designated LAA indicators of every Authority in England.

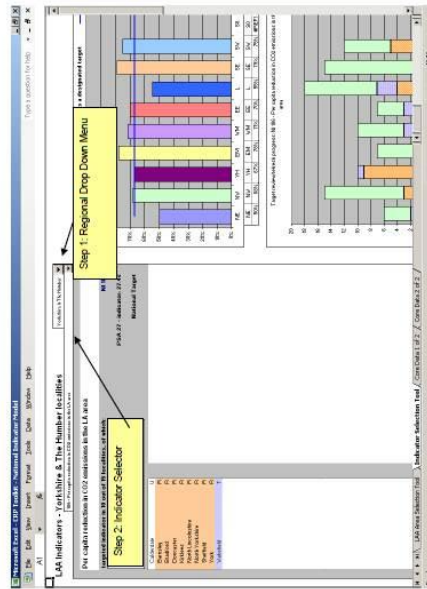
- A drop down menu is provided for the user to select which region's data they wish to review – based upon the Government Office areas of England.
- A further drop down menu is provided for the user to select which Authority locality they wish to review the designated LAA indicators selected.
- The Model has an additional facility enabling the user to select any of the individual indicators shown as being a designated indicator for the chosen locality. This will then show which other localities in that region have also selected the highlighted indicator as one of their own designated indicators.



Worksheet 2: LAA Indicator Comparison Tool

This worksheet enables the user to identify which Authorities within a given regional area have selected which individual national indicator.

- A drop down menu is provided for the user to select which region's data they wish to review – based upon the Government Office areas of England.
- A drop down menu is provided for the user to select which national indicator they wish to identify has been designated by which Locality within the region.
- The Model has an additional facility which automatically shows a graph of the % of LAAs within every English region which have also selected that indicator as a designated indicator within an LAA.



Full details on how to operate and get the most out of the Toolkit Model are provided in Annex D. Please note: For S.E. England a separate look up table is provided for Worksheet 1 data – whilst Worksheet 2 has the data for all English Authorities.

3. LAA Indicators and CRP Outcomes

A review has been undertaken of all 198 national indicators to determine the level of direct relevance to the work of Community Rail Partnerships. A 1-5 star based rating has been applied to all indicators which has identified that 17 indicators were assessed as 3 star or more, with a further 20 indicators assessed as 1-2 stars as shown over.

3.1 Overview of Indicators Awarded 3 or more Stars

NI Ref.	Indicator	Star Rating
175	Access to services and facilities by public transport, walking and cycling	5
198	Children travelling to school - mode of travel usually used (5-16yrs - car (including vans and taxis))	5
6	Participation in regular volunteering	4-5
7	Environment for a thriving third sector	4
8	Adult participation in sport and active recreation	4
11	Engagement in the arts	4
110	Young people's participation in positive activities	4
185	CO2 reduction from Local Authority operations	4
186	Per capita reduction in CO2 emissions in the LA area	4
2	% of people who feel that they belong to their neighbourhood	3
10	Visits to museums or galleries	3
146	Care leavers in employment, education or training	3
176	Working age people with access to employment by public transport (and other specified modes)	3
177	Local bus and light rail passenger journeys originating in the authority area	3
188	Planning to adapt to climate change	3
194	Air quality - % reduction in NOx and primary PM10 emissions through local authority's estate and operations	3

Details on all of these indicators are shown throughout the rest of this section. For each 3+ star indicator the individual rating is shown; the LAA theme group within which the indicator is included; examples as to which CRP activity may support the indicator; which external (i.e. non TOC related) partnership could be involved; and a general narrative outlining how the Indicator may be relevant to a CRP.

3.2 Overview of Indicators Awarded 1-2 Stars

MI Ref.	Indicator	Star Rating
1	% of people who believe people from different backgrounds get on well together in their local area	2
3	Civic participation in the local area	2
21	Dealing with local concerns about anti-social behaviour and crime issues	2
22	Perceptions of parents taking responsibility for the behaviour of their children in the area	1
45	Young offenders engagement in suitable education, employment or training	1
47	People killed or seriously injured in road traffic accidents	1
48	Children killed or seriously injured in road traffic accidents	1
54	Services for disabled children	1
72	Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal Social and Emotional Development and Communication, Language and Literacy	1
106	Young people from low income backgrounds progressing to higher education	1
138	Satisfaction of people over 65 with both home and neighbourhood	1
151	Overall employment rate	1
152	Working age people on out of work benefits	1
153	Working age people claiming out of work benefits in the worst performing neighbourhoods	1
154	Net additional homes provided	1
155	Number of affordable homes delivered (gross)	1
167	Congestion - average journey time per mile during the morning peak	2
171	New business registration rate	1
172	Percentage of small businesses in the area showing growth	1
197	Improved local biodiversity - proportion of local sites where positive conservation management has been or is being implemented	1

Details on the above indicators can be found through the web links provided in Section 1 on page 5.

Please note: Whilst each Authority may have only selected 1 or 2 of the core CRP indicators within their designated 35 – against which there overall performance will be assessed, they still have to report figures against all 198 as part of the wider Comprehensive Area Agreement process. As such, even if the Authority has only selected 1 or 2 it will still be worth considering which of the other indicators the CRPs activity is already delivering and then outlining this to the Authority for consideration within its LAA implementation plans.

3.3 National Indicator 2 – % of people who feel that they belong to their neighbourhood

CRP Rating = 3 star
 NI Theme Area = Safer & Stronger Communities
 CRP Contribution = Community Days / Art Workshops / Station Adoption Schemes / Community Landscaping / Anti Social Behaviour Programmes (cleaning graffiti etc.).
 Partners = Schools / Community Groups/ Police / Community Liaison Workers / Social Workers / Artists

Community Rail Lines are often able to bring individuals within neighbourhoods together simply by the shared interest of the railway. The lines, and in particular individual stations can act as community focal points where people of diverse backgrounds, social groups, race, faith and age can work together to achieve a single goal and promote neighbourhood ownership. Such actions support the bonding of neighbourhoods, particularly where they cross age groups i.e. working with schools and community groups.

In seeking to increase a sense of belonging to a neighbourhood, the activities should be clearly identifiable as being owned by the community, and utilise existing community stakeholders. Greater results may be achievable where schemes are run in parallel along the line, culminating in a joint event where neighbourhoods interact with each other.

Place Survey Indicator	
NI 2: % of people who feel that they belong to their neighbourhood	
Is data provided by the LA or a local partner?	Is this an existing indicator?
Y	N
<p>Rationale The Local Government White Paper sets out Government's aim of creating strong and cohesive communities - thriving places in which a fear of difference is replaced by a shared set of values and a shared sense of purpose and belonging. A sense of belonging to one's neighbourhood is therefore a key indicator of a cohesive society. The question that feeds this indicator was previously used in the Citizenship survey; Note that the methodology for the Place Survey is different to the Citizenship survey.</p>	
<p>Data Source Collection will be through the new Place Survey. Local authorities will submit data to the Audit Commission, who will weight it and submit it to CLIG directly, and provide authorities with weighted copies of their own data set.</p>	
Collection Interval	Biennial
Reporting organisation	Audit Commission
Spatial level	Single tier, district and county council

3.4 National Indicator 6 – Participation in regular volunteering

CRP Rating = 4-5 star

NI Theme Area = Safer & Stronger Communities

CRP Contribution = Station Adoption Schemes / Community Landscaping / Anti Social Behaviour Programmes (cleaning graffiti etc.) / Leisure Information Assistants

Partners = Community Groups / Police / Community Liaison Workers / Existing Volunteer Groups / (Groundwork etc.)

Community Rail Lines are often able to bring individuals into supporting volunteering through a shared interest of the railway and related environmental convictions. The lines, and in particular individual stations can act as volunteering focal points where people of diverse backgrounds, social groups, race, faith and age can work together to achieve a single goal, make volunteering fun, and promote neighbourhood cohesion. Such actions support the bonding of neighbourhoods, particularly where they cross age groups i.e. working with young people / community groups and other partners.

NI 6: Participation in regular volunteering		Y	N
Is data provided by the LA or a local partner?		Y	N
Rationale	High levels of volunteering are one sign of strong, active communities. Volunteers are vital in supporting the range of activity undertaken by third sector organisations and within the public services. Local government has an important role to play in creating a culture in which individuals are able to contribute to their communities by volunteering. Regular volunteering is defined as taking part in formal volunteering at least once a month in the 12 months before the interview. Formal volunteering is defined as giving unpaid help through groups, clubs or organisations which support social, environmental, cultural or sporting objectives. The question that feeds this indicator is based on a question previously used in the Citizenship survey. Note that the methodology for the Place Survey is different to the Citizenship survey.		
Data Source	Collection will be through the new Place Survey. Local authorities will submit data to the Audit Commission, who will weight it and submit it to CLG directly, and provide authorities with weighted copies of their own data sets.		
Collection Interval	Biennial		
Reporting organisation	Audit Commission		
Spatial level	Single tier, district and county council		

3.5 National Indicator 7 – Environment for a thriving third sector

CRP Rating = 4 star

NI Theme Area = Safer & Stronger Communities

CRP Contribution = Supporting 3rd Sector Groups such as Station Adoption Schemes / Environmental Groups / Friends of ... Groups / Line Working Groups / Line based Community Interest Companies

Partners = Local Authority Staff

This indicator is all about the 'process' of how a Local Authority supports 3rd sector organisations. It is therefore most relevant to those larger CRPs who are directly associated with particular Local Authorities, and which may support more than one line. Many CRPs have a core central team and directly support a network of local community owned line groups / station adoption groups / friends of... groups / promotion groups / local development groups / community based companies / rail user groups / travelwatch groups etc. each of which as individual entities are almost certainly to be classed as third sector organisations. In addition, a CRP may indirectly support many other 3rd sector groups such as volunteer charities / trusts / environmental trusts / employment partnerships etc.

A CRP should clearly identify how many third sector groups it actively supports either directly or indirectly and present this information to the Local Authority owner of the indicator, to ensure the groups it supports are included on the potential list of local organisations to be surveyed. The CRP should demonstrate to their Authority how they are already meeting this indicator for the groups they support and as such would be happy for such organisations to be surveyed. A large CRP may well be able to demonstrate greater v.f.m where it supports this indicator for multiple LAAs.

NI 7: Environment for a thriving third sector		Y	N
Is data provided by the LA or a local strategic partner?		Y	N
Rationale	A vibrant, diverse, and independent third sector is a vital component of a fair and enterprising society. It can help communities to be more cohesive and inclusive, and help individuals to have more say over issues that affect them. In addition, the third sector can help local statutory agencies to address a wider range of community concerns. These issues range from strengthening community cohesion, to increasing environmental sustainability, to tackling many of the causes and consequences of social and economic disadvantage. Local statutory agencies can be influential in shaping the environment in which independent third sector organisations operate. This could be, for example, through their approach to partnership working consultation, funding relationships, or in the way that they commission and procure services. Sometimes this influence will be direct and specific, other times diffuse and broad. Taking account of these influences, this indicator is designed to capture the overall contribution made by local statutory agencies to the environment in which third sector organisations operate.		
Definition	This indicator will measure the contribution that local government and its partners make to the environment in which independent third sector organisations can operate successfully.		

<p>The indicator will be scored according to the proportion of third sector organisations who answer the following question as 'positive' or 'very positive' on a five point scale</p> <p>"...how do the local statutory bodies in your local area influence your organisation's success?"</p> <p>In answering the question, third sector organisations will be encouraged to take a wide view of the influence of local statutory bodies on the success of their organisations.</p> <p>The indicator will be measured in 2009 and again in 2010 by a new, bespoke, centrally-administered survey of registered and incorporated third sector organisations based in each local area.</p> <p>The new third sector survey</p> <ul style="list-style-type: none"> The survey will be postal and will use tested and methodologically robust methods. It will be mailed to approximately 97,000 organisations nationally, with the expectation of around 55,000 completed returns. A pilot survey of 1,500 third sector organisations showed that the questions are clear and relevant, and the questionnaire achieved a very satisfactory response rate, taking about 15 minutes to complete. The survey will include contextual questions to give local bodies more information to understand what may be driving their performance against the headline indicator. These questions will also cover local and national issues that can help or hinder the success of third sector organisations – such as human resources, and grant and contract opportunities. It will also assess the quality of local partnerships and opportunities for third sector organisations to influence local decision making. Local areas could also draw on existing sources of data to provide further diagnostic evidence. <p>What organisations will be covered by the survey?</p> <ul style="list-style-type: none"> The survey seeks to include all third sector organisations that serve social, cultural and environmental objectives (public benefits) including social enterprises. The sample will be drawn from a comprehensive list of registered charities, supplemented by national lists of Community Interest Companies (CICs), Companies Limited by Guarantee (CLGs) and Industrial and Provident Societies (IPS). It will also include housing associations. A random sample will be drawn from these lists for each local authority area, ensuring a good spread by type of organisation (e.g. income band). <p>Because it will include those organisations which can be listed and sampled in a consistent and comprehensive way across all local authorities, the survey will not include unincorporated and unregulated organisations, such as some small community-based organisations.</p> <p>The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Decimal Places are all shown in full in the documents linked in Section 1.3</p>	<p>Reporting organisation Third Sector Research Team, Communities and Local Government</p> <p>Spatial level Single tier and county council</p> <p>Further Guidance http://www.cabinetoffice.gov.uk/thirdsector</p>
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3.6 National Indicator 8 – Participation in sport and active recreation

CRP Rating	=	4 star
NI Theme Area	=	Safer & Stronger Communities
CRP Contribution	=	CRP line as axis of opportunity to leisure centres, bowling centres etc. CRP walks from the stations / station posters / walks & trail leaflets / guided walks programme / links with tourism bodies / long distance trails / cycle hire facilities / bikes on trains enhancements / station access improvements (bike storage) / joint ticketing promotions / station signing.
Partners	=	Local Authorities / LTP Programme / Network Rail / Leisure Centres / Age and Health Charities and Agencies / Sport England / Community Health Champions / Primary Care Trusts / Other Health Agencies

The use of public transport already supports an improvement in exercise as people often walk to/from stations/bus stops. A CRP will therefore already support this Indicator by increasing passengers who walk or cycle to the station. Many CRPs have active programmes for encouraging walks from the railway, cycling, cycle hire etc. under the sustainable tourism banner, all of which support the delivery of the indicator. To raise awareness that CRPs are already supporting this, or indeed to help develop a new programme of recreation, it may be worth considering how Sport England could be brought onboard as a partner.

Likewise where a line is in close proximity to centres for active participation – swimming pools, leisure centres, bowling clubs, golf courses, joint promotional activities could be developed to support access to such facilities.

NI 8: Adult participation in sport and active recreation			
Is data provided by the LA or a local partner?	N	Is this an existing indicator?	Y
Rationale	To measure participation in sport and active recreation at the local level. Participation in sport and active recreation is an important part of a life and fulfilling life and provides people personal and intrinsic benefits. They also have wide ranging impacts, so increased levels of participation will impact on other local priority outcomes such as community cohesion and improved health. The measure will focus on participation amongst the whole target population, including those whose opportunities are limited. Evidence shows that there are inequalities in levels of participation amongst some groups – lower socio-economic groups, women, older people, black and other ethnic minority populations, and people with a limiting longstanding illness or disability have particularly low levels of participation.		
Definition	This indicator relates to the DPMES' broad Departmental Strategic Objectives to encourage both more widespread and more active participation in sport and recreation and wellbeing. This indicator previously formed part of the Culture Service Assessment for Comprehensive Performance Assessment (v4, C17, although NI 8 although NI 8 also measures certain light intensity sports for those who are 65 and over). CPA will end in 2009.		

The percentage of the adult population in a local area who participated in sport and active

	<p>recreation, at moderate intensity, for at least 30 minutes on at least 12 days out of the last 4 weeks (Children: 30 minutes on 5 or more days a week). Adults: 15 years and above</p> <p>Sport and active recreation are the sport and recreation activities as measured in the Active People Survey (including for example recreational walking and recreational cycling). The technical note to this indicator provides a list of those activities that are included (as well as examples of excluded activities) and is available on the DCMS and Sport England websites.</p> <p>Moderate intensity includes 'brisk walking' those activities that 'raise the breathing rate' and some lighter intensity activities for those aged 65 years and over - yoga; pilates; indoor and outdoor bowls; archery and croquet.</p> <p>Weighting: survey data will be weighted to be representative of the 16+ population of each local authority area, taking into account the gender, age, ethnic group, socioeconomic status (white v non white), number of persons in household, working status by gender, socio economic classification (NS-SEC).</p>
	<p>The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format and Decimal Places are all shown in full in the documents linked in Section 1.3</p>
Reporting organization	<p>The Active People Survey will be undertaken by Sport England. Reporting will be coordinated by DCMS</p>
Spatial level	<p>Single tier, district and county councils</p>
Further Guidance	<p>Guidance on the Active People Survey can be found on the Sport England website http://www.sportengland.gov/active-people</p>

3.7 National Indicator 10 – Visits to museums and galleries

- CRP Rating = 3 star
- NI Theme Area = Safer & Stronger Communities
- CRP Contribution = CRP line as axis of opportunity to Museums and Galleries. CRP walks from the stations / station posters / walks & trail leaflets with Galleries & Museums shown / links with tourism bodies / joint ticketing promotions / station signing / line guides.
- Partners = Local Authorities Arts Staff / Age and Health Charities and Agencies / Sport England / Museums and Galleries

Many CRPs have active programmes for encouraging walks from the railway to core leisure attractions such as Museums and Galleries under the sustainable tourism banner, through existing material such as Line Guides. All of which support the delivery of this indicator. Reciprocal arrangements with such attractions can be developed both in relation to joint promotional activities, but also through promotional ticketing arrangements such as discounts for those arriving by public transport. All such activity encourages active participation. CRP officers should contact the Indicator owner to outline the existing role played in supporting this indicator and how improvements could be made to improve the Authorities ability to meet its target.

NI 10: Visits to museums and galleries	
Is data provided by the LA or a local partner?	Is this an existing indicator?
N	N
Rationale	<p>To measure at the local level attendance at museums and galleries.</p> <p>Museums and galleries can make an important contribution to a full and fulfilling life and provide unique personal and intrinsic benefits. They also have a range of local impacts, including promoting education and well-being and a sense of identification with their locality. The measure will focus on attendance by the whole adult resident population, including by those whose opportunities are limited. Evidence shows that there are inequities in levels of participation amongst some groups - lower socio-economic groups, older people, black and other ethnic minority populations, and people with a disability have particularly low levels of participation. This indicator relates to the DCMS's broad Departmental Strategic Objectives to encourage both more widespread enjoyment of culture and sport and to support talent and excellence.</p>
Definition	<p>The percentage of the adult population in a local area who say they have attended a museum or gallery at least once in the last 12 months.</p>
<p>The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Decimal Places are all shown in full in the documents linked in Sec 1.3</p>	
Spatial level	<p>Single tier and county council</p>
Further Guidance	<p>Guidance on the Active People Survey can be found on the Sport England website http://www.sportengland.gov/active-people</p>

3.8 National Indicator 11 – Engagements in the Arts

CRP Rating	=	4 star
NI Theme Area	=	Safer & Stronger Communities
CRP Contribution	=	CRP line as axis of opportunity to undertake Arts projects / Station Adoption Schemes / Murals / Paintings / Dance Projects / Music Trains / Rail Ale Events / Community Days etc.
Partners	=	Local Authorities Arts Staff / Museums and Galleries / Schools / Community Groups / Police / Community Liaison Workers / Social Workers / Artists

Many CRPs already have active programmes for encouraging Arts based events either at stations, within the local community, along the line, often linked with other stakeholders such as Schools, Local Artists, Police etc. All of which support the delivery of this indicator. CRP officers should contact the Indicator owner to outline the existing role played in supporting this indicator and how improvements could be made to improve the Authorities ability to meet its target.

NI 11: Engagement in the Arts		N	Is this an existing indicator?	N
Is data provided by the LA or a local partner?				
Rationale	To measure attendance at, and/or participation in, the arts at the local level. Participation in the arts is an important part of a full and fulfilling life and provides unique personal and intrinsic benefits. It can also have a range of local impacts, including promoting health, education and well-being. The measure will focus on engagement by the whole adult resident population, including by those whose opportunities are limited. Evidence shows that there are inequities in levels of participation amongst some groups – lower socio-economic groups, older people, black and other ethnic minority populations, and people with a disability have particularly low levels of participation. This indicator relates to the DCMS's broad Departmental Strategic Objectives to encourage both more widespread enjoyment of culture and sport and to support talent and excellence.			
Definition	The percentage of the adult population in a local area that have engaged in the arts at least three times in the past 12 months.			
The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Decimal Places are all shown in full in the documents linked in Sec. 13				
Further Guidance	Further information on qualifying activities and events can be found at https://www.culture.gov.uk/what-we-do/Communities/Local_Government/ . Guidance on the Active People Survey can be found on the Sport England website https://www.sportengland.org/Active_people			

3.9 National Indicator 110 – Young people's participation in positive activities

CRP Rating	=	4 star
NI Theme Area	=	Children & Young People
CRP Contribution	=	Community Days / Art Workshops / Station Adoption Schemes / Community Landscaping / Anti Social Behaviour Programmes (cleaning graffiti etc.).
Partners	=	Schools / Community Groups / Police / Community Liaison Workers / Social Workers / Artists / Youth Groups / Sports Clubs / Museums / Libraries

Community Rail Lines are often able to bring young people within neighbourhoods together simply by the shared interest of the railway. The lines, and in particular individual stations can act as community focal points where young people of diverse backgrounds, social groups, race, and faith can work together to achieve a single goal and positive experience which support the bonding of neighbourhoods, particularly where the work is recognised as beneficial to the whole community.

In seeking to increase a sense of ownership, the activities should be clearly identifiable as being owned by the young people, and utilise existing community stakeholders. Greater results may be achievable where schemes are run in parallel along the line, culminating in a joint event where neighbourhoods interact with each other. Positive activities include a wide range of sporting, cultural and recreational activities and opportunities for volunteering. The key is that activities are structured, good quality, adult led and support development towards the outcomes identified.

NI 110: Young people's participation in positive activities		Y	Is this an existing indicator?	N
Is the data provided by the LA or a local partner?				
Rationale	To measure and drive improved performance around the participation of young people in positive activities. What young people do, or don't do, out-of-school matters. Research demonstrates that the activities young people participate in out-of-school have a significant bearing on their later life outcomes. Positive activities are a good use of young people's time because they provide opportunities to: <ul style="list-style-type: none"> • acquire, and practice, specific social, physical, emotional and intellectual skills • contribute to the community • belong to a socially recognised group • establish supportive social networks of peers and adults • experience and deal with challenges • enjoy themselves UK and international evaluations of out-of-school activities find programme participation to be linked to improvements in academic, preventive and development outcomes. This includes			

3.1.1 National Indicator 148 – Care leavers in education, employment or training

CRP Rating	=	3 star
NI Theme Area	=	Adult Health & Well-being and Tackling Exclusion & Promoting Equality
CRP Contribution	=	Cashless Ticketing Initiatives / Other Ticketing Initiatives / How to Use Public Transport Leaflets / Other information material / Bus Links to Employment Areas
Partners	=	Local Authority Staff / NEET Agencies / Job Centre Plus / Community Support Agencies / Colleges

Transport is acknowledged as one of the core barriers to accessing employment. Community Rail Lines often provide easy, accessible transport and information. Opportunities exist to work with external stakeholders to provide personal workplace travel planning for NEET (Not in Education, Employment or Training) based clients to support their ability to access employment. Where such opportunities exist, CRP officers should consider seeking to establish partnerships between the NEET Clients and their support agencies, jobcentre plus and employers to encourage the delivery of this indicator on behalf of the indicator owner, and to promote wider Workplace Travel Planning with employers. This could take the form of new material re: times and intermodal links for the NEETs as well as enhanced ticket solutions i.e. camels or season tickets.

NI 148: Care leavers in education, employment or training			
Is data provided by the LA or a local partner?		Y	N
Rationale	The indicator measures levels of participation in education, employment or training (EET) for young adults formerly in care – a key group at risk of social exclusion. The indicator is part of the Social Exclusion PSA and is intended to drive improvements in long-term outcomes for care leavers, by ensuring they receive the support they need to access EET.		
Definition	The percentage of former care leavers aged 19 who were looked after under any legal status (other than '3 or '4') on 1 April in their 17th year, who were in education, employment or training; Former care leavers; All young people aged 19 who were looked after under any legal status (other than '3 or '4') on 1 April in their 17th year. A review of their education, employment or training status should take place within 3 months before or one month after the care leaver's 19th birthday. The indicator therefore includes those who turn 19 during the year. 'In education, employment or training': Engaged either full (at least 16 hrs per week) or part-time (less than 16 hrs per week)		
More Definitions, The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Decimal Places are all shown in full in the documents linked in Section 1.3			
Guidance	http://www.dfes.gov.uk/databasis/indicators/children/reunions.shtml		

3.1.2 National Indicator 175 – Access to services and facilities by public transport, walking and cycling

CRP Rating	=	5 star
NI Theme Area	=	Local Economy and Environmental Sustainability
CRP Contribution	=	Ticketing Initiatives / Timetabling Initiatives / Intermodal Improvements / Promotion & Publicity / Station Enhancements / Interchange Enhancements
Partners	=	Local Authority Staff / NEET Agencies / Job Centre Plus / Community Support Agencies / Colleges / Schools / Primary Care Trusts / Retailers / Employers / Leisure Establishments / Sports Establishments / Universities

This is probably the most important of all the 198 indicators in relation to Community Rail Partnerships. In summary, a Local Authority will map access to a range of services using software tools such as the DfT supported 'Accession' software to identify, in accordance with the definition outlined for LTP2 (see link below) priority areas to improve accessibility. Four core Access areas are considered: Access to Healthcare, Education, Food Shops & Employment – but others are also eligible such as Access to Leisure. The Authority has enormous scope to define and set its own target – which has to be negotiated with the Government Office.

CRP Officers should work with Local Authority LTP Officers to help define and set challenging but realistic targets for improving accessibility, and work with the Local Strategic Plan partners, whose own organisations can be reflected within the indicators set – i.e. Access to Healthcare involves the PCT etc.

NI 175: Access to services and facilities by public transport, walking and cycling			
Is data provided by the LA or a local partner?		Y	N
Rationale	This indicator monitors the fostering of social inclusion through access to core services and facilities via non-private modes of transport, which may include, but is not limited to: public transport, demand responsive transport, walking, and cycling. It is a key social inclusion and quality of life outcome. The indicator cuts across a number of service areas and can assist how they are planned and delivered.		
Definition	This indicator measures access to selected core services and facilities by individuals via non-private modes of transport, which may include, but is not limited to: public transport, demand responsive transport, walking and cycling. <ul style="list-style-type: none"> Core services: <ul style="list-style-type: none"> Healthcare – Hospitals and GP surgeries; Education – primary, secondary and higher education sites; Food shops; and Employment sites. Non private modes of transport would include: <ul style="list-style-type: none"> timetabled bus services; 		

	<ul style="list-style-type: none"> Light rail & tram services (Blackwood Trams, Manchester Metrolink, Midland Metro, Nottingham Express Transit, Sheffield Supertram and Tyne & Wear Metro (Croydon Tramlink & Docklands Light Railway reported by TL); Demand responsive (diak-a-ride) transport – flexible, demand led service with no registered timetable; Walking; and Cycling. <p>For all areas (except in London and the Isles of Scilly), the indicator should follow the definition used for indicator number LTP1 in the areas final second local transport plan, unless (exceptionally) a revised definition is specifically agreed with the Department for Transport. LTP1 guidance can be found at http://www.dft.gov.uk/pcr/regional/guidance/ftltp/guidance/secondlocaltransport0857.</p> <p>In metropolitan areas and other authorities which are part of a joint local transport plan, the indicator may be reported at local transport plan or authority level. In either case the indicators should follow the common definition approved in the relevant joint local transport plan.</p>
Formula	The formula required for reporting this indicator will be different for each authority and is dependent on the definition of their indicator, as described above.
Spatial level	Single tier (including London borough and metropolitan borough) and county council. Within each PTA area, information may be returned at a PTA wide level, or on request and subject to DfT agreement at other supra-district level provided the whole of the PTA area is covered. Outside PTA areas, information may also be collected following Local Transport Plan geography if partner councils agree to this and subject to agreement with DfT about data and reporting continuity and robustness. The NI definition being developed by Transport for London will be returned for areas within Greater London. Should a London Borough wish to set a target for this NI, it may do so in consultation with both DfT and TL.
Further Guidance	<p>Further information is contained in the following Department for Transport guidance:</p> <ul style="list-style-type: none"> Technical Guidance on Accessibility Planning in Local Transport Plans' December 2004 http://www.dft.gov.uk/pcr/regional/guidance/ftltp/guidance/technicallocaltransport0857. 'Guidance on Accessibility Planning in Local Transport Plans' December 2004 http://www.dft.gov.uk/pcr/regional/guidance/ftltp/guidance/guideaccessibilityplanningguidance08333. 2005 Core Accessibility Indicators Technical Report http://www.dft.gov.uk/pcr/statistics/datatables/publications/tp/coreaccessindicators2005. <p>'Full Guidance on Local Transport Plans' second edition December 2004. http://www.dft.gov.uk/pcr/regional/guidance/ftltp/guidance/technicallocaltransport0857</p>

3.13 National Indicator 176 – Working age people with access to employment by public transport (and other specified modes)

CRP Rating	=	3 star
NI Theme Area	=	Local Economy and Environmental Sustainability
CRP Contribution	=	Ticketing Initiatives / Timetabling Initiatives / Intermodal Improvements / Promotion & Publicity / Station Enhancements / Interchange Enhancements
Partners	=	Local Authority Staff / NEET Agencies / Job Centre Plus / Community Support Agencies / Primary Care Trusts / Retailers / All Large Employers / Leisure Establishments / Sports Establishments / Universities

At present this indicator will only measure rail based public transport access in terms of Light Rail and Trams – as both are included within the legacy BVP102 targeting. CRPs should consider working with Local Authority partners to have the indicator refreshed for the next LAA period to extend the definition to include designated Community Rail Services to be able to support the delivery of this indicator.

NI 176: Working age people with access to employment by public transport (and other specified modes)	
Is data provided by the LA or a local partner? <input type="checkbox"/> N <input type="checkbox"/> Is this an existing indicator? <input type="checkbox"/> Y	
Rationale	Information on the accessibility of sites of employment to population of working age by public transport, demand responsive transport, walking and cycling to enable local authorities to direct interventions (transport and planning measures related to both economic and residential sites) to encourage economic growth and reduce social exclusion.
Definition	This indicator measures the percentage of people of working age (aged 16 to 74 years) living within the catchment area of a location with more than 500 jobs by public transport, demand responsive transport and/or walking. Public Transport would be: timetable bus, light rail, and tram services. Catchment area – calculated by DfT as part of the Core Accessibility Indicators and is based on the sensitivity of the population to travel time for employment (i.e. the further away the employment site is from the home and the further away the home is from the nearest public transport, the further away the home and the further away the employment site is from the nearest public transport, the further away the home and the further away the employment site is from the nearest public transport). The catchment area is then calculated by weighting the two together using National Travel Survey figures for modal split. Further details can be found in the 2005 Core Accessibility Indicators technical report (http://www.dft.gov.uk/pcr/statistics/datatables/publications/tp/coreaccessindicators2005). Other specified modes (walking and cycling) – journey by timetable bus, light rail and tram services includes time spent walking to reach destination and wholly walking or cycling journeys where these are quicker. Employment opportunities – locations (Lower Super Output Areas) with 500 or more jobs identified in 2001 census. Working age – 16-74 age-range, in line with the Census definition of economically active age. DfT will calculate and produce the return for this indicator annually. Authorities will not be required to undertake any calculations themselves. In addition, return data for this indicator can be made available at Lower Super Output Area, allowing authorities to analyse access to employment within different localities. The return for Greater London will initially be provided by DfT. An NI definition within Greater London is being developed by Transport for London and will be finalised with DfT in 2008. DfT will continue to provide baseline supporting data.

<p>Formula</p> <p>Authorities will not be required to undertake any calculations themselves. As a basic calculation for each super output area the catchment area by a given mode of transport (i.e. Local bus, Light rail, Metro, Tram, or other public transport, walking, cycling) for each Census Output Area (COA) is calculated as:</p> $C = P \times I \text{ Where}$ <p>C is the number of people aged 16-74 within the catchment area for the COA. P is the total number of people aged 16-74 living in the catchment area for the COA. I is the distance parameter representing the sensitivity of accessibility to employment to travel time (i.e. the further away the employment location, the less likely an individual would be to travel to it). It is the travel time from the centroid of the COA to the nearest LSOA with 500+ jobs, by a given mode of transport. The two catchment areas are then weighted together using the National Travel Survey figures for modal split (i.e. the proportion of journeys made by public transport against the proportion made by walking/cycling), to give an overall catchment area for the COA. The catchment areas for each Local Authority are calculated by adding together the number of people aged 16-74 in each COA within the Authority, divided by the total number of people aged 16-74 with the Authority as a whole. Authorities will not be required to undertake any calculations themselves. For further details, please see page 43 of the 2005 Core Accessibility Indicators technical report: http://www.dft.gov.uk/box/statistics/data/tables/publications/tip/coreaccessindicators2005</p>	<p>Good performance</p> <p>Good performance is an increase in the proportion of those of working age (aged 16-74) within the catchment area of a location (at LSOA level) with more than 500 jobs by public transport and/or walking or cycling. Good performance will be achieved by reducing the journey time to employment locations by public transport, walking and cycling.</p>
<p>Worked example</p> <p>N/A – see formula</p>	<p>More Definitions, The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Decimal Places are all shown in full in the documents linked in Section 1.3</p> <p>Further Guidance</p> <ul style="list-style-type: none"> • Technical Guidance on Accessibility Planning in Local Transport Plans' December 2004 http://www.dft.gov.uk/box/transtat/tpguidance/tip/tpguidanceonlocaltransport665guidanc3633 • 'Guidance on Accessibility Planning in Local Transport Plans' December 2004 http://www.dft.gov.uk/box/transtat/tpguidance/tip/tpguidanceonlocaltransport665guidanc3633 • 2005 Core Accessibility Indicators technical report http://www.dft.gov.uk/box/statistics/data/tables/publications/tip/coreaccessindicators2005 • 'Full Guidance on Local Transport Plans' second edition December 2004. http://www.dft.gov.uk/box/transtat/tpguidance/tip/fullguidanceonlocaltransport6657

3.14 National Indicator 177 – Local bus and light rail passenger journeys originating in the authority area

- CRP Rating = 3 star
- NI Theme Area = Local Economy and Environmental Sustainability
- CRP Contribution = Ticketing Initiatives / Timetabling Initiatives / Intermodal Improvements / Promotion & Publicity / Station Enhancements / Interchange Enhancements
- Partners = Local Authority Staff / NEET Agencies / Job Centre Plus / Community Support Agencies / Primary Care Trusts / Retailers / All Large Employers / Leisure Establishments / Sports Establishments / Universities

At present this indicator will only measure rail based public transport access in terms of Light Rail and Trams – as both are included within the legacy BVP102 targeting. CRPs should consider working with Local Authority partners to have the indicator refreshed for the next LAA period to extend the definition to include designated Community Rail Services to be able to support the delivery of this indicator.

NI 177: Local bus and light rail passenger journeys originating in the authority area	
Is data provided by the LA or a local partner?	Is this an existing indicator?
Y	Y
Rationale	Bus patronage is a key outcome of the partnerships between local authorities and bus operators, which together play an important role in delivering better local transport services and are supported by approximately £2.5bn of public funding per year. Bus patronage can also be a key marker of the level of accessibility to services and congestion. Local authorities can make major contributions to improving bus patronage through tendered services, the management of their road networks and giving priority to bus passengers. The change to include light rail (but not heavy rail) will align this indicator with the national PSA target to increase bus and light rail patronage.
Definition	This indicator measures the total number of local bus and light rail passenger journeys originating in the authority area in a given year. Local bus services are defined for the purposes of this indicator as those using one or more public service vehicles for the carriage of passengers by road at separate fares where the stopping places, or journey length, are less than 15 miles (24 kilometres) apart. Light rail is defined as: Manchester Metrolink, South Yorkshire Supertram, Tyne & Wear Metro, Doonlands Light Railway, Midland Metro, Croydon Tramlink, Nottingham Express Transit and the Blackpool tram. This indicator is an updated version of the former Best Value Performance Indicator 102: (BVP102 – total local bus passenger journeys originating in the authority area in a year). There have been no methodological changes from last year, apart from the inclusion of light rail passengers. Local Public Transport – All passengers travelling on registered local bus services and light rail services should be counted. This includes all travelling on school bus services

	available to the general public, and passengers travelling on flexibly routed bus services other than Didi-a-Ride services. Journeys – passengers boarding buses or trams within the authority, regardless of whether they alight in the authority or a neighbouring authority. To avoid double-counting with other authorities, do not include bus or light rail passengers who boarded the vehicle outside your authority. N.B. Local service is defined in section 2 of the Transport Act 1985 or the Greater London Authority Act 1999.		
Formula	Count of local bus and light rail journeys originating in the authority area		
Worked example	Simple count (e.g. 1,589) of bus journeys originating in the authority area	Good performance	Good performance is typified by a high and/or increasing number
Collection interval	Annual Financial Year	Data Source	Bus and light rail companies with agreed local adjustments or DfT approved on-board passenger surveys carried out by the authority. All survey estimates must exclude infants under 5 years old.
Return Format	Number (in full) (e.g., 2,000,000 not 22)	Decimal Places	Zero
Reporting organisation	Unitary authorities; county councils; Passenger Transport Authorities; and Transport for London		
Spatial level	Unitary authorities; county councils; Passenger Transport Authorities; and Transport for London.		
Further Guidance	http://dtp.local.gov.uk/loze/bate-0020aggl-3665 DfT guidance on bus passengers and the allowance for driver under-recording		

3.15 National Indicator 185 – CO₂ reduction from local authority operations

CRP Rating	=	4 star
NI Theme Area	=	Local Economy and Environmental Sustainability
CRP Contribution	=	Ticketing Initiatives / Timetabling Initiatives / Intermodal Improvements / Promotion & Publicity / Station Enhancements / Interchange Enhancements
Partners	=	Local Authority Staff / Job Centre Plus / Community Support Agencies / Primary Care Trusts / Retailers / All Large Employers / Leisure Establishments / Sports Establishments / Universities

CRPs operate to support the growth and development of designated lines and services. In general, Partnerships work with the rail industry to get the best value out of existing services. With the rail service being operated in accordance with franchise requirements the level of CO₂ emissions for operating the community rail line is effectively fixed regardless of usage.

Therefore through the actions of CRPs on behalf of Local Authorities, for every additional passenger which uses the line / service as an alternative to driving, a positive contribution is made to the Authorities target of reducing CO₂. The CRP Officer should work with the LA's Environmental Officers to outline the growth experienced, quantify the mileage saved multiplied by the CO₂ reduction per vehicle mile.

Furthermore, if you have a rolling stock upgrade along the line during the period with an improved engine/emission performance, this can also be factored in as an outcome related enhancement.

NI 185: CO₂ reduction from local authority operations		
Is data provided by the LA or a local partner?	Y	Is this an existing indicator? N
Rationale	<p>Action by local authorities is likely to be critical to the achievement of Government's climate change objectives. The public sector is in a key position to lead on CO₂ emissions reduction by setting a behavioural and strategic example to the private sector and the communities they serve. The manner in which the local authority delivers its functions can achieve CO₂ emissions reductions.</p> <p>The aim of this indicator is to measure the progress of local authorities to reduce CO₂ emissions from the relevant buildings and transport used to deliver its functions and to encourage them to demonstrate leadership on tackling climate change.</p> <p>Measurement against this indicator will require each LA to calculate their CO₂ emissions from analysis of the energy and fuel use in their relevant buildings and transport, including where these services have been outsourced. The Carbon Trust currently provides support to LAs to guide them through the process of calculating carbon footprints and to help them develop carbon reduction plans.</p>	
Definition	<p>Percentage CO₂ reduction from LA operations. The indicator being assessed will be a year on year measured reduction of CO₂ emissions.</p>	

	<p>First year data to be reported in 2009, will be for Jan-Dec 2008. CO₂ emissions: is the total amount of direct and indirect CO₂ emitted as a result of LA operations.</p> <ul style="list-style-type: none"> Direct emissions are emissions from sources that are owned or controlled by the local authority e.g. emissions from the combustion in owned or controlled boilers and vehicles. Indirect emissions are emissions that are a consequence of the activities of the local authority, but occur at sources owned or controlled by another entity e.g. emissions from consumption of purchased electricity or heat, transport-related activities in vehicles not owned or controlled by the local authority and outsourced activities. <p>LA Operations: The delivery of the relevant functions of a Local Authority which result (either directly or indirectly) in the emissions of CO₂ into the atmosphere. Functions of an authority covers all their own operations and outsourced services. Even if the services are being provided by an external body (e.g. a private company) they remain the function of the authority. This is to include schools, but exclude social housing.</p> <p>More Definitions, The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Decimal Places are all shown in full in the documents linked in Section 1.3</p>
Spatial level	Single tier, district and county council
Further Guidance	Carbon Trust offers advice to Local Authorities on managing their own operations. http://www.carbontrust.co.uk/default.ct The analysis to support this indicator, the proposed spreadsheet tool and an FAQ can be found at: http://www.defra.gov.uk/environment/climatechange/uk/publicsector/localauth/index.htm

3.16 National Indicator 186 – Per capita reduction in CO₂ emissions in the LA area

CRP Rating	=	4 star
NI Theme Area	=	Local Economy and Environmental Sustainability
CRP Contribution	=	Ticketing Initiatives / Timetabling Initiatives / Intermodal Improvements / Promotion & Publicity / Station Enhancements / Interchange Enhancements / Car Parking
Partners	=	Local Authority Staff / Job Centre Plus / Community Support Agencies / Primary Care Trusts / Retailers / All Large Employers / Leisure Establishments / Sports Establishments / Universities

CRPs operate to support the growth and development of designated lines and services. In general Partnerships work with the rail industry to get the best value out of existing services. With the rail service being operated in accordance with franchise requirements – the level of CO₂ emissions for operating the line is effectively fixed regardless of usage.

Therefore through the actions of CRPs on behalf of Local Authorities, for every additional passenger which uses the community rail line / service as an alternative to driving, a positive contribution is made to the Authorities target of reducing CO₂. The CRP Officer should work with the LA's Environmental Officers to outline the growth experienced, quantify the mileage saved multiplied by the CO₂ reduction per vehicle mile.

Furthermore, if you have a rolling stock upgrade along the line during the period with an improved engine/emission performance, this can also be factored in as an outcome related enhancement.

NI 186: Per capita reduction in CO₂ emissions in the LA area	
Is data provided by the LA or a local partner?	Is this an existing indicator?
Y	N
Rationale	<p>Action by local authorities is likely to be critical to the achievement of Government's climate change objectives. Local authorities are uniquely placed to provide vision and leadership to local communities by raising awareness and to influence behaviours. In addition, through their powers and responsibilities (housing, planning, local transport and powers to promote well-being) and by working with their Local Strategic Partnership they can have significant influence over emissions in their local areas.</p> <p>In the Climate Change Programme 2006, the Government stated its commitment to ensure the local Government framework will include an appropriate focus on action on climate change, sufficient to incentivise more authorities to reach the levels of the best. The Government also committed to give greater flexibility to deliver on national priorities in the most cost effective way for that locality.</p> <p>The proposed indicator will rely on centrally produced statistics to measure end user CO₂ emissions in the Local Area from:</p> <ul style="list-style-type: none"> Business and Public Sector, Domestic housing, and

<p>Road transport</p> <p>This data is already captured and analysed to produce area by area carbon emissions per capita. Analysis carried out by AEA, Energy and Environment has confirmed that the data available for the construction of this local area Climate Change Indicator are sufficiently robust with relatively low levels of uncertainty.</p> <p>The percentage reduction in CO₂ per capita in each LA will be reported annually. The statistics for 2005, the most recent data available, will be used as the baseline.</p> <p>UK Government statisticians currently classify the data as experimental statistics. However, Defra is developing a work programme to obtain classification of the data as a full National Statistic from November 2008. The National Statistics published in 2008 will comprise of the 2006 data which will be compared to the 2005 baseline year.</p> <p>Percentage reduction of the per capita CO₂ emissions in the Local Authority Area:</p> <p>The indicator being assessed will comprise of an annual amount of end user CO₂ emissions across an agreed set of sectors (housing, road transport and business) measured as a percentage reduction (or increase) of the per capita CO₂ emission from the 2005 baseline year.</p> <p>End user: calculations allocate emissions from fuel producers to fuel users. The end user calculation therefore allows estimates to be made of emissions for a consumer of fuel, which also include the emissions from producing the fuel the consumer has used.</p> <p>Domestic Housing: All housing in the local authority area, including Arms Length Management Organisation (ALMOs), privately owned and leased housing</p> <p>Business: Industry and commercial emissions, including public sector, but not those included in the EU Emissions trading scheme.</p> <p>Road Traffic: All road traffic, (but excluding motorways)</p>	<p>More Definitions, The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Decimal Places are all shown in full in the documents linked in Section 1.3</p> <p>Further Guidance</p> <p>The 2005 data is available on the Defra website at: http://www.defra.gov.uk/environment/statistics/gbhatmes/na/na05a.htm</p> <p>The analysis to support this indicator, projections for savings from 2005 to 2010, and an FAQ on the dataset can be found at: http://www.defra.gov.uk/environment/localgov/indicators/cc-indicators.htm</p> <p>Projections of potential local area reductions (by 2010), compared to 2005 base year, which have been produced by AEA, Technology reduction compared to 2005 are also published on the Defra website.</p>
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3.17 National Indicator 188 – Planning to adapt to climate change

CRP Rating = 3 star

NI Theme Area = Local Economy and Environmental Sustainability

CRP Contribution = Tackling Initiatives / Timetabling Initiatives / Intermodal Improvements / Promotion & Publicity / Station Enhancements / Interchange Enhancements / Car Parking

Partners = Local Authority LTP and Environmental Staff / Bus Companies / Taxi Companies

This Indicator focuses on contingency planning by the LAA to ensure preparedness in relation to climate change. The LAA has a series of requirements to fulfil in demonstrating actions to be taken. Central to any actions on transport will be the need to ensure a more sustainable transport network in accordance with DaSTS.

CRP Officers should engage with the lead LA officer on this indicator to ensure their role is effectively represented within the Planning and Risk analysis to be undertaken.

NI 188: Planning to Adapt to Climate Change		
Is data provided by the LA or a local partner?	Y	Is this an existing indicator? N
<p>Rationale</p> <p>To ensure local authority preparedness to manage risks to service delivery, the public, local communities, local infrastructure, businesses and the natural environment from a changing climate, and to make the most of new opportunities. The indicator measures progress on assessing and managing climate risks and opportunities, and incorporating appropriate action into local authority and partners' strategic planning.</p> <p>The impacts might include increases in flooding, temperature, drought and extreme weather events. These could create risks and opportunities such as: impacts to transport infrastructure from melting roads or buckling rails, increases in tourism, increased damage to buildings from storms, impacts on local ecosystems and biodiversity, scope to grow new crops, changing patterns of disease, impacts on planning and the local economy and public health.</p> <p>Examples of the processes, tools and evidence that could be used to reach the various levels have been included. However, this list is not exhaustive and any appropriate methodology can be used.</p>		
<p>More Definitions, The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Enhanced Links are all shown in full in the documents linked in Section 1.3</p>		

3.18 National Indicator 194 – Air quality – % reduction in NO_x and primary PM₁₀ emissions through local authority's estate and operations

CRP Rating	=	3 star
NI Theme Area	=	Local Economy and Environmental Sustainability
CRP Contribution	=	Ticketing Initiatives / Timetabling Initiatives / Intermodal Improvements / Promotion & Publicity / Station Enhancements / Interchange Enhancements
Partners	=	Local Authority Staff / Job Centre Plus / Community Support Agencies / Primary Care Trusts / Retailers / All Large Employers / Leisure Establishments / Sports Establishments / Universities

CRPs operate to support the growth and development of designated lines and services. In general Partnerships work with the rail industry to get the best value out of existing services. With the rail service being operated in accordance with franchise requirements – the level of emissions is effectively fixed regardless of usage.

Therefore through the actions of CRPs on behalf of Local Authorities, for every additional passenger which uses the line / service as an alternative to driving, a positive contribution is made to the Authorities target of reducing of NO_x and primary PM₁₀ emissions. The CRP Officer should work with the LA's Environmental Officers to outline the growth experienced, quantify the mileage saved multiplied by the NO_x and primary PM₁₀ emissions reduction per vehicle mile.

Furthermore, if you have a rolling stock upgrade along the line during the period with an improved engine/emission performance, this could also be factored in as an outcome related enhancement.

NI 194: Air quality – % reduction in NO_x and primary PM₁₀ emissions through local authority's estate and operations	
Is data provided by the LA or a local partner?	Y Is this an existing indicator? N
Rationale	The aim of this indicator is to identify authorities that are proactive in minimising air pollution emissions from their estate and operations . Local authorities have experience of managing air pollution under Part IV of the Environment Act 1995 in particular areas where air quality objectives are being, or are likely to be, exceeded. However, PM ₁₀ and NO _x are two of the more prevalent pollutants, and the Government needs to do more to tackle these. As with NI185, which targets CO ₂ emissions from local authority operations, NI194 will enable local authorities to lead by example. The tool to be used to calculate these emissions is available at: www.defra.gov.uk/environment/airquality/localindicator.htm
More Definitions	The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Enhanced Links are all shown in full in the documents linked in Section 1.3
Further Guidance	Emissions tool for this indicator – www.defra.gov.uk/environment/airquality/localindicator.htm

3.19 National Indicator 198 – Children travelling to school – mode of transport usually used

CRP Rating	=	5 star
NI Theme Area	=	Local Economy and Environmental Sustainability
CRP Contribution	=	Ticketing Initiatives / Timetabling Initiatives / Intermodal Improvements / Promotion & Publicity / Station Enhancements / Interchange Enhancements / Cycle Storage and Links / Signposting
Partners	=	Local Authority Staff / Schools

Many CRPs already work closely with LA transport and education staff, and schools in promoting the use of designated services to provide access to education as part of the School Travel Plan process. Dedicated season tickets, discounted tickets, links to and from stations, good publicity and appropriate timings all contribute to making CRP services a real alternative to the private car for 'The School Run'

CRP officers should review current utilisation, and opportunities for expansion via working with stakeholders in involving rail within the School Travel Plans. Officers should also work with the LA indicator owner to ensure the CRPs contribution is acknowledged by partners in the LSP and Education sector.

NI 198: Children travelling to school – mode of transport usually used	
Is data provided by the LA or local partner?	Y Is this an existing indicator? Y
Rationale	Provides information to help local authorities monitor and manage road traffic associated with the school run with a view to reducing the proportion of children travelling by car and increasing the proportion walking, cycling or using public transport. There is already evidence that children who walk or cycle to school are fitter and more ready to learn when they arrive at school and this indicator will further enable local authorities and central government to identify the extent of the correlation between the way children travel to school and levels of obesity, their health, fitness and level of academic attainment.
Definition	The indicator measures the proportion of school aged children in full time education travelling to school by the mode of travel that they usually use. Mode of transport is defined as six modes: cars (including vans and taxis, even if a taxi is carrying more than one child), car share, public transport, walking, cycling, and other. County Councils, Single Tier Authorities and Passenger Transport Authorities in England already calculate mode share of travel to school to enable them to set a target for Local Transport Plan Mandatory Indicator number LTP4 and detailed guidance on the methodology and definition of modes of travel is contained in DfT's <i>Updated guidance on the LTP Mandatory Indicator on Mode Share of Journeys to School (LTP4) August 2006</i> . The same methodology should be used to collect data, calculate mode share and set targets for the LAA Mode Share of Travel to School indicator, except that, for the purpose of reporting against the LAA indicator, local authorities are asked to calculate

	<p>mode shares separately for children aged 5-10 years and children aged 11-16 years. This is because the proportion of children travelling by each mode varies considerably between the two age groups and it is therefore helpful to both local authorities and central government to receive separate information.</p>
	<p>More Definitions, The Formula, Worked Example, Good Performance Details, Collection Intervals, Data Sources, Return Format, and Enhanced Links are all shown in full in the documents linked in Section 1.3</p>
Further Guidance	<p>Guidance is contained in DfT's <i>Updated guidance on the LTP Mandatory Indicator on Mode Share of Journeys to School (LTP4) August 2006</i>, which is available on the DfT's website at: http://www.dft.gov.uk/policy/analysis/updates/publications/technicalguidanceonmode10/ https://rds.data.gov.uk/metadata/1005; Guidance on data collection via the School Census is contained in School Census: guidance and preparation for 2008 is available on DCSF's TeacherNet website at: http://www.teachernet.gov.uk/management/ins/data/collections/6c2008</p>

4. Local Transport Plan 3

The Transport Act 2000 introduced a statutory requirement for local transport authorities to produce a Local Transport Plan (LTP) every five years and to keep it under review. The Act also sets out the statutory framework for Local Transport Plans and policies.

For LTP2 (2006-11) every Local Authority had to submit, as a minimum, targets for 17 DfT national indicators, within the Governments four shared priority areas of congestion, air quality, accessibility and road safety. However, as part of the LAA process, these 17 national indicators were reduced to 10 indicators of the National Indicator Set. Copies of existing LTP2 documents can be found on the website of your local transport authority.

In 2007, the DfT consulted on amending the statutory framework for LTPs. Responses from stakeholders identified that the LTP remained a useful document, but that there was scope for introducing further flexibility for local authorities in some areas.

This Section outlines the proposed changes to the Local Transport Plan process from LTP3 onwards (2011/12), and suggests where Community Rail Partnerships could contribute. It provides links to the current consultation process
<http://www.dft.gov.uk/consultations/open/dfra/dfatransit/ltpmainconsult> and indicates areas where CRPs may wish to respond to the consultation process.

Please note: ACaRP will be responding formally to the DfT consultation process, and expects to circulate in advance to all members, who may wish to utilise sections within their own responses.

4.1 Local Transport Act 2008 & Changing Structure of LTP3

The Local Transport Act 2008 retains the statutory requirement to produce and review Local Transport Plans and policies. But other aspects of the statutory framework have changed. Core changes relating to LTP3 as outlined in the Local Transport Act 2008 include:

4.1.1 Structure of Plans

- The Act requires that LTPs contain policy (referred to as the strategy) and implementation plans (the plan for delivery of the policies contained in the strategy). Most if not all local authorities have already included both of these elements in their existing LTP2 Plans, but the Act formalises this requirement.
- Authorities may include policy and implementation plans in a single document, or in separate documents. In either case, a clear distinction between what is strategy and what is implementation is advised, and the statutory duties relating to LTPs apply to the whole.
- LTP3 Guidance Ch. 4 paras 6-10 look at the scope and the need to comply with the LTA 2008, to deal with all forms of transport 'to, from and within their area'. LTPs should in due course clearly articulate how they contribute to regional objectives (Ch.3 para. 20).

- LTPs will be required to set out the expected impact of LTP3 on the 10 LAA transport indicators. LTP3s should also describe impact on non-transport specific NIs for which transport is the key ingredient.
- Norfolk CC have indicated that they are seriously thinking of making their LTP3 a true Partnership Document, to include District Councils, NHS trusts etc. – i.e. much more akin to the LAA regime.

Comment

- ✓ All of the above requirements support the outcomes associated with CRPs. The production of the strategy in meeting regional objectives such as outlined within transport policies or a Regional Spatial Strategy (RSS) are very likely to be CRP friendly. CRP Officers should consider reviewing the RSS policy for their area and identifying how their activity supports policy delivery.
- ✓ The requirement for the LTP3 to consider transport 'to, from and within their area' is ideally suited to CRP activity where designated lines cross the boundary of the Authority.
- ✓ In relation to the Implementation Plans and the desire to quantify the impact on the 10 LAA indicators and non-transport specific indicators – this effectively replicates the process outlined in Section 3 of this Report – namely how CRPs support the delivery of cross-cutting LAA indicators.
- ✓ ACoRP are currently preparing a consultation response which will seek to influence what level of data can be considered in meeting public transport related targets of an LAA Indicator. We believe that patronage on Community Rail lines should be eligible within the definition of public transport as outlined for Indicators 175 and 176 and seek to have the guidance amended to reflect this.

4.1.2 Duration & Timing of Plans

- Prior to the Act, Plans were required to be renewed at least every five years. LTP1 and LTP2 covered 2001-06 and 2006-11 respectively. The new legislation means that local transport authorities may replace their Plans as they see fit. The guidance suggests a longer (10-20 year) look ahead for the strategy element with a 3 year implementation plan to tie in with LAAs. If, however, a strategy is dependent on a Major Scheme, a longer implementation plan period might be appropriate.
- Although inevitable that LTAs will reflect on their LTP1 & 2s in developing LTP3, the guidance encourages a fresh look – based on Eddington principles:-
 - clarify goals
 - specify the problems or challenges the authority wants to solve
 - generate options to resolve these challenges

- appraise the options and predict their effects
- select preferred options and decide priorities
- deliver the agreed strategy.
- LTP3s have to be in place by 1st April 2011, although Local Transport Authorities can replace their LTP2 before they expire in April 2011

4.1.3 Association with 'Delivering a Sustainable Transport System' (DASTS)

- Rather than aligning the plans with the 4 shared priorities which DfT expected LAs to use as over-arching priorities for LTP2, LTP3 is to be shaped around the 5 DASTS goals which are to:-
 - Tackle climate change
 - Support economic growth
 - Promote equality of opportunity
 - Contribute to better safety, security and health
 - Improve quality of life
- More information on DASTS is available at: <http://www.dft.gov.uk/about/strategy/transportstrategy/dasts/>
- The LTP3 consultation Guidance contains a summary table of the 5 DASTS goals and challenges for LTP3 and this is replicated in Annex E. Sections of this Table have been highlighted to indicate areas where CRPs are likely to be able to make a positive contribution.
- The current draft guidance provides examples of Options to meet each of the 5 goals – where the potential for Community Rail projects to contribute to delivery (Guidance page 30) is referenced within the text

Comment

- ✓ The strategic framework of the DASTS goals is fundamental to LTP3. CRP Officers should review the Table outlined in Annex E to identify how their CRP activity helps to meet the challenges outlined within the Table. Core areas where CRPs should be able to contribute have been highlighted, and the principals as to how a CRP meets LAA indicator delivery (as detailed in Section 3 of this Report) can be fully applied here.
- ✓ CRP Officers should use the fact that Community Rail is directly referenced within the text (Guidance page 30) to open the door to the LTP Officers within a Local Authority who are actively preparing the document.

4.1.4 Resourcing LTP3

- Capital funding for both transport investment and maintenance, which was allocated formulaically for most of LTP2, will now be subject to advice to ministers from the regions, and the minister's response to that advice (Ch 3, para 15).
- There will be no bonus funding for LTP3 (LTP2 allowed for +/- 25%)

Comment

- ✓ The comment box in Section 4.1.1 outlines the importance of identifying how CRPs support regional policy delivery (via RSS or similar). If the funding to Authorities for LTP3 is to be decided regionally, then where an Authority can demonstrate how it is meeting regional policies via CRPs, then this may strengthen their case for overall funding.
- ✓ Local Transport Plan 3s need to show both proposed capital and revenue spend, and Plans which demonstrate partnership funding have always been well received. A CRP has the opportunity to consider the expenditure plans of its partners – TOCs, Network Rail, and others to include existing or proposed funding streams within the overall timelines of the LTP3 implementation plan.
- ✓ In considering value for money in Plan submissions, CRPs should promote the findings of the ACoRP Study on the Value of Rail Partnerships. <http://www.acorp.gov.uk/values%20of%20CRPs%20project.html> with particular reference to the Benefit Cost Ratio (BCR) figure of 4.6 to 1 which was validated by the Department for Transport's own economists
- ✓ In considering revenue contributions to the LTP3 period, CRP Officers should outline to Authorities the recent revised policy funding approach published by the DfT relating to the potential for revenue funding of additional CRP services by local authorities and others, becoming mainstreamed by the Department – subject to meeting core defined criteria. <http://www.dft.gov.uk/pgr/rail/strategy/finance/revisedpolicy/funding>

4.1.5 LTP3 Inclusion of Existing Mandatory Plans

- LTAs are advised to ensure they comply with the Strategic Environmental Assessment directives – with a CLG website ref on a practical guide to SEA <http://www.communities.gov.uk/publications/planningandbuilding/practicalguides/sea>
- Ch4 para46-54 looks at other mandatory and recommended plans and discusses the merits of otherwise incorporating them into the LTP3. Includes Network Management Duty, Air Quality Action Plan, Transport Asset Management Plan, Habitats Regulation Assessment, and Rights of Way Improvement Plans.

Comment

- ✓ CRPs provide positive, sustainable solutions to a Local Authorities delivery of their Network Management Duty, Air Quality Action Plan and the Strategic Environmental Assessment. CRP Officers should consider how their actions associated with LAA indicators – See Section 3, are also in accordance with the duties of the above mandatory plans. Where a CRP can clearly be shown to contribute, this should be raised with the LTP Officer concerned.

4.1.6 Consultation

Ch. 4 para 42 of the Guidance outlines the requirement to consult on both the strategy and the implementation plan – looking for synergies with LAA consultation wherever appropriate. Guidance Document Annex C provides a suggested list of consultees.

Comment

- ✓ CRPs are not listed in Annex C of the Guidance (although Rail Operators are). As part of the consultation response, which has to be submitted by Thursday April 9th 2009, ACoRP will be suggesting that designated CRPs become formal LTP consultees. CRP Officers are encouraged to suggest any response that either they or their local authority or rail partners make to the consultation also makes this suggestion.

4.2 Additional Links for LTP3 Material

- Consultation on Local Transport Plan 3 Guidance <http://www.dft.gov.uk/consultations/open/craftguidance/cellp/lt3main/consult>
- Delivering a Sustainable Transport System <http://www.dft.gov.uk/about/strategy/transportstrategy/dasts/>
- Local Transport Act 2008 http://www.opsi.gov.uk/acts/acts2008/pdf/ukpga_20080026_en.pdf
- The Policy and Best Practice Handbook <http://www.dft.gov.uk/consultations/open/craftguidance/cellp/policiesbestpracticehandbook.k.pdf>

3 Way Forward for CRP Officers in Supporting LTP3

As has been identified in Section 3, Community Rail Partnerships already deliver what the LTP3 outcomes are seeking to achieve – namely partnership based delivery of shared goals in a sustainable manner. With Community Rail actively mentioned in the LTP3 guidance, CRP Officers and their Local Authority partners should take this opportunity to provide the LTP3 Authors with evidence as to how CRPs can support the LTP3 regional policies, goals, and indicators.

On a practical level, a review as to which of the LAA indicators are most appropriate to an individual CRP, linked with an understanding as to how these indicators support particular goals identified in the DASTS Table in Annex E, should quickly and easily enable a CRP Officer to be able to quantify how they can support LTP3 development and how to make their case to those concerned.

Where a CRP can also link development activity in enhancing performance of these indicators to investment – this should be used as the basis of seeking sustained development funding for the LTP3 Implementation Plan period.

CRP Officers should also explore with partners their own expenditure plans for the LTP3 implementation plan period, and seek to show an integrated approach to rail investment delivery.

Finally, where several CRPs are active within a particular Government Office Region, consideration should be given as to how CRPs can work with their Operator and Local Authority Partners to raise awareness with the Regional Agencies (Regional Development Agencies, Regional Assemblies) as to how CRPs support growth and development on a sustainable basis in accordance with the defined regional spatial policies.



Association of Community Rail Partnerships

Community Rail Partnership Guidance on Delivering Local Area Agreement and Local Transport Plan 3 Outcomes

ANNEX DOCUMENT

Content

- 1. ANNEX A National Policy Context
- 2. ANNEX B National Indicator Set
- 3. ANNEX C Public Service Agreements and Departmental Strategic Objectives to which the National Indicators relate
- 4. ANNEX D Using the LAA Indicator Toolkit Model
- 4. ANNEX E DASTS Goals and Challenges

Annex A

1. National Policy Context

Since their introduction in the 1998 Comprehensive Spending Review (CSR), Public Service Agreements (PSAs) have played a vital role in galvanising public service delivery and driving major improvements in outcomes. Building on this success, over the past few years the Government has been working with frontline professionals, the public and external experts to renew the performance management framework for the next decade.

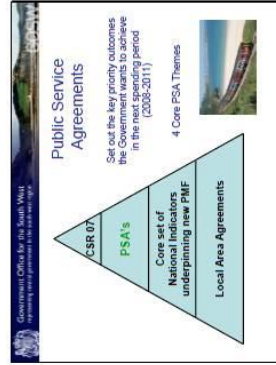
2007 CSR announced the culmination of this work, with 30 new PSAs setting a vision for continuous and accelerated improvement in the Government's priority outcomes over the CSR07 period (2008-2011).

1.1 What are Public Service Agreements (PSAs)?

Public Service Agreements set out the key priority outcomes the Government wants to achieve in the next spending period (2008-2011).

- Each PSA is underpinned by a single Delivery Agreement shared across all contributing departments and developed in consultation with delivery partners and frontline workers. Delivery Agreements are available below and set out plans for delivery and the role of key delivery partners.
- They also describe the small basket of national outcome-focussed performance indicators that will be used to measure progress towards each PSA. A subset of indicators also has specific national targets or minimum standards attached, and details are set out in the relevant Delivery Agreement. All other national indicators are expected to improve against baseline trends over the course of the spending period

DASTS Goals and Challenges



A Government-wide commitment to building services around the needs of citizens and businesses is integral to the achievement of each of the PSA outcomes. The Government has also published a Service Transformation Agreement, which underpins delivery of the new PSA framework, setting out its vision for building services around the citizen and specific actions for each department in taking this forward.

The PSA Delivery Agreements and the Service Transformation Agreement are all available below using the links below

- [Sustainable growth and prosperity](#) (PSAs 1-7)
- [Fairness and opportunity for all](#) (PSAs 8-17)
- [Stronger communities and a better quality of life](#) (PSAs 18-26)
- [A more secure, fair and environmentally sustainable world](#) (PSAs 27-30)



Links to all 30 individual PSAs available as pdf files are shown below:

PSAs - Sustainable growth and prosperity

- [1. Raise the productivity of the UK economy](#) (PDF 356KB)
- [2. Improve the skills of the population, on the way to ensuring a world-class skills base by 2020](#) (PDF 347KB)
- [3. Ensure controlled, fair migration that protects the public and contributes to economic growth](#) (PDF 342KB)
- [4. Promote world class science and innovation in the UK](#) (PDF 325KB)
- [5. Deliver reliable and efficient transport networks that support economic growth](#) (PDF 326KB)
- [6. Deliver the conditions for business success in the UK](#) (PDF 322KB)
- [7. Improve the economic performance of all English regions and reduce the gap in economic growth rates between regions](#) (PDF 326KB)

PSAs - Fairness and opportunity for all

- [8. Maximise employment opportunity for all](#) (PDF 218KB)
- [9. Halve the number of children in poverty by 2010-11, on the way to eradicating child poverty by 2020](#) (PDF 153KB)
- [10. Raise the educational achievement of all children and young people](#) (PDF 1MB)
- [11. Narrow the gap in educational achievement between children from low income and disadvantaged backgrounds and their peers](#) (PDF 1MB)
- [12. Improve the health and wellbeing of children and young people](#) (PDF 418KB)
- [13. Improve children and young people's safety](#) (PDF 375KB)
- [14. Increase the number of children and young people on the path to success](#) (PDF 486KB)
- [15. Address the disadvantage that individuals experience because of their gender, race, disability, age, sexual orientation, religion or belief](#) (PDF 319KB)
- [16. Increase the proportion of socially excluded adults in settled accommodation and employment, education or training](#) (PDF 348KB)
- [17. Tackle poverty, and promote greater independence and wellbeing in later life](#) (PDF 223KB)

PSAs - Stronger communities and a better quality of life

- [18. Promote better health and wellbeing for all](#) (PDF 342KB)
- [19. Ensure better care for all](#) (PDF 406KB)
- [20. Increase long term housing supply and affordability](#) (PDF 291KB)
- [21. Build more cohesive, empowered and active communities](#) (PDF 154KB)
- [22. Deliver a successful Olympic Games and Paralympic Games with a sustainable legacy and set more children and young people taking part in high quality PE and sport](#) (PDF 277KB)
- [23. Make communities safer](#) (PDF 437KB)
- [24. Deliver a more effective, transparent and responsive Criminal Justice System for victims and the public](#) (PDF 348KB)
- [25. Reduce the harm caused by Alcohol and Drugs](#) (PDF 317KB)
- [26. Reduce the risk to the UK and its interests overseas from international terrorism](#) (PDF 183KB)

PSAs - A more secure, fair and environmentally sustainable world

- [27. Lead the global effort to avoid dangerous climate change](#) (PDF 336KB)
- [28. Secure a healthy natural environment for today and the future](#) (PDF 348KB)
- [29. Reduce poverty in poorer countries through quicker progress towards the Millennium Development Goals](#) (PDF 586KB)
- [30. Reduce the impact of conflict through enhanced UK and international efforts](#) (PDF 320KB)

1.2 Departmental Service Objectives

Under the CSR07 PSA framework the Department for Transport leads on PSA5.

Deliver reliable and efficient transport networks that support economic growth.

PSA5 specifically focuses on the contribution that transport makes to economic growth. Other priorities for the Government's transport policy are covered in other PSA outcomes to which transport is a significant contributor.

The Department for Transport's wider transport aims for the 2008-2011 CSR period are also reflected in four Departmental Strategic Objectives (DSOs). Each of these DSOs is underpinned by key performance indicators that are used to measure progress and success. DfT's DSOs and the key indicators are set out below and initially cover the 2008-09 period. Additional, alternative and updated indicators will be added as work on Towards a Sustainable Transport System develops in the future.

Departmental Strategic Objectives

DfT's wider transport aims for the 2008-2011 CSR period are also reflected in 4 Departmental Strategic Objectives (DSOs). Each DSO is underpinned by key performance indicators used to measure progress and success.

- **DSO1:** To sustain economic growth and improved productivity through reliable and efficient transport networks.
- **DSO2:** To improve the environmental performance of transport and tackle climate change.
- **DSO3:** To strengthen the safety and security of transport.
- **DSO4:** To enhance access to jobs, services and social networks, including for the most disadvantaged.

Key performance indicators for DSO4 include:

- Increase the number of buses and trains accessible to disabled people
- Increase the number of stations re/accredited under the Secure Stations Scheme by 15%
- Access to services and facilities by public transport, walking and cycling

The Department for Transport Departmental Service Objectives are shown over.

Department for Transport Departmental Service Objectives:

DSO1: To sustain economic growth and improved productivity through reliable and efficient transport networks.

- Journey time on main roads in urban areas.
- Journey time reliability on the strategic road network, as measured by the average delay experienced in the worst 10 per cent of journeys for each monitored route.
- Level of capacity and crowding on the rail network
- Reliability on the rail network as measured by the 'public performance measure' (PPM)
- Average benefit cost ratio of investments approved over the CSR07 period

DSO2: To improve the environmental performance of transport and tackle climate change.

- Develop a carbon reduction strategy for transport
- Agree an improved EU Emissions Trading Scheme for the post-2012 period that includes aviation.
- Introduce the Renewable Transport Fuels Obligation - requiring 5 per cent of all UK fuel sold on UK forecourts to come from a renewable source by 2010.
- Introduce successor arrangements to the Voluntary Agreements with car manufacturers on new car CO₂.
- Progress towards meeting the Air Quality Strategy objectives for eight air pollutants as illustrated by trends in measurements of two of the more important pollutants which affect public health: particles and nitrogen dioxide (led by Defra).

DSO3: To strengthen the safety and security of transport

- Reduce the number of people killed or seriously injured in Great Britain in road accidents by 40% and the number of children killed or seriously injured by 50%, by 2010 compared with the average for 1994-98, tackling the significantly higher incidence in disadvantaged communities.
- Deliver Transport's contribution to the Home Office led PSA: target to 'reduce the risk to the UK and its interests overseas from international terrorism'.

DSO4: To enhance access to jobs, services and social networks, including for the most disadvantaged.

- Increase the number of buses and trains accessible to disabled people
- Increase the number of stations re/accredited under the Secure Stations Scheme by 15%
- Access to services and facilities by public transport, walking and cycling

Annex B

National Indicator Set

NI Ref.	Indicator	PSA/DSO
1	% of people who believe people from different backgrounds get on well together in their local area	PSA 21
2	% of people who feel that they belong to their neighbourhood	PSA 21
3	Civic participation in the local area	PSA 15
4	% of people who feel they can influence decisions in their locality	PSA 21
5	Overall/generational satisfaction with local area	CLG DSO
6	Participation in regular volunteering	CO DSO
7	Environment for a thriving third sector	CO DSO
8	Adult participation in sport and active recreation	DCMS DSO
9	Use of public libraries	DCMS DSO
10	Visits to museums or galleries	DCMS DSO
11	Engagement in the arts	DCMS DSO
12	Refused and deferred Houses in Multiple Occupation (HMO) license applications leading to immigration enforcement activity	HO DSO
13	Migrants English language skills and knowledge	HO DSO
14	Avoidable contact: The proportion of customer contact that is of low or no value to the customer	
15	Serious violent crime rate	PSA 23
16	Serious acquisitive crime rate	PSA 23
17	Perceptions of anti-social behaviour	PSA 23
18	Adult re-offending rates for those under probation supervision	PSA 23
19	Rate of proven re-offending by young offenders	PSA 23
20	Assault with injury crime rate	PSA 25
21	Dealing with local concerns about anti-social behaviour and crime issues by the local council and police	PSA 23
22	Perceptions of parents taking responsibility for the behaviour of their children in the area	HO DSO
23	Perceptions that people in the area treat one another with respect and consideration	HO DSO
24	Satisfaction with the way the police and local council deal with antisocial behaviour	HO DSO
25	Satisfaction of different groups with the way the police and local council deal with anti-social behaviour	HO DSO
26	Specialist support to victims of a serious sexual offence	PSA 23
27	Understanding of local concerns about anti-social behaviour and crime issues by the local council and police	HO DSO
28	Serious knife crime rate	HO DSO
29	Gun crime rate	PSA 23
30	Re-offending rate of prolific and other priority offenders	HO DSO
31	Re-offending rate of registered sex offenders (DELETED)	PSA 23
32	Repeat incidents of domestic violence	PSA 23

33	Alison incidents	HO DSO
34	Domestic violence - murder	PSA 23
35	Building resilience to violent extremism	PSA 26
36	Protection against terrorist attack	PSA 26
37	Awareness of civil protection arrangements in the local area	CO DSO
38	Drug-related (Class A) offending rate	PSA 25
39	Rate of hospital admission per 100,000 for alcohol related harm	PSA 25
40	Number of drug users recorded as being in effective treatment	PSA 25
41	Perceptions of drunk or rowdy behaviour as a problem	PSA 25
42	Perceptions of drug use or drug dealing as a problem	PSA 25
43	Young people within the Youth Justice System receiving a conviction in court who are sentenced to custody	MoJ DSO
44	Ethnic composition of offenders on Youth Justice System disposals	MoJ DSO
45	Young offenders engagement in suitable education, employment or training	MoJ DSO
46	Young offenders access to suitable accommodation	MoJ DSO
47	People killed or seriously injured in road traffic accidents	DTF DSO
48	Children killed or seriously injured in road traffic accidents	DTF DSO
49	Number of primary fires and related fatalities and non-fatal casualties, excluding precautionary checks	CLG DSO
50	Emotional health of children	PSA 12
51	Effectiveness of child and adolescent mental health (CAMHS) services	DCSF DSO
52	Take up of school lunches	PSA 12
53	Prevalence of breastfeeding at 6 - 8 weeks from birth	PSA 12
54	Services for disabled children	PSA 12
55	Obesity among primary school age children in Reception Year	DCSF DSO
56	Obesity among primary school age children in Year 6	DCSF DSO
57	Children and young people's participation in high-quality PE and sport	DCSF DSO
58	Emotional and behavioural health of looked after children	DCSF DSO
59	Percentage of initial assessments for children's social care carried out within 7 working days of referral	DCSF DSO
60	Percentage of core assessments for children's social care that were carried out within 35 working days of their commencement	DCSF DSO
61	Timeliness of placements of looked after children for adoption following an agency decision that the child should be placed for adoption	DCSF DSO
62	Stability of placements of looked after children: number of placements	DCSF DSO
63	Stability of placements of looked after children: length of placement	DCSF DSO
64	Child protection plans lasting 2 years or more	DCSF DSO
65	Percentage of children becoming the subject of a Child Protection Plan for a second or subsequent time	DCSF DSO
66	Looked after children cases which were reviewed within required timescales	DCSF DSO
67	Percentage of child protection cases which were reviewed within required timescales	DCSF DSO
68	Percentage of referrals to children's social care going on to initial assessment	DCSF DSO
69	Children who have experienced bullying	DCSF DSO

70	Reduce emergency hospital admissions caused by unintentional and deliberate injuries to children and young people	DCSF DSO
71	Children who have run away from home/care overnight	DCSF DSO
72	Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal, Social and Emotional Development and Communication, Language and Literacy	PSA 10
73	Achievement at level 4 or above in both English and Maths at Key Stage 2	PSA 10
74	Achievement at level 5 or above in both English and Maths at Key Stage 3	PSA 10
75	Achievement of 5 or more A*-C grades at GCSE or equivalent including English and Maths	PSA 10
76	Reduction in number of schools where fewer than 65% of pupils achieve level 4 or above in both English and Maths at KS2	DCSF DSO
77	Reduction in number of schools where fewer than 50% of pupils achieve level 5 or above in both English and Maths at KS3	DCSF DSO
78	Reduction in number of schools where fewer than 30% of pupils achieve 5 or more A*-C grades at GCSE and equivalent including GCSEs in English and Maths	PSA 10
79	Achievement of a Level 2 qualification by the age of 19	PSA 10
80	Achievement of a Level 3 qualification by the age of 19	PSA 10
81	Inequality gap in the achievement of a Level 3 qualification by the age of 19	DCSF DSO
82	Inequality gap in the achievement of a Level 2 qualification by the age of 19	DCSF DSO
83	Achievement at level 5 or above in Science at Key Stage 3	DCSF DSO
84	Achievement of 2 or more A*-C grades in Science GCSEs or equivalent	DCSF DSO
85	Post-16 participation in physical sciences (A Level Physics, Chemistry and Maths)	DCSF DSO
86	Secondary schools judged as having good or outstanding standards of behaviour	DCSF DSO
87	Secondary school persistent absence rate	DCSF DSO
88	Percentage of schools providing access to extended services	DCSF DSO
89	Reduction in number of schools judged as requiring in special measures and time taken to come out of the category	DCSF DSO
90	Take up of 14-19 learning diplomas	DCSF DSO
91	Participation of 17 year-olds in education or training	DCSF DSO
92	Narrowing the gap between the lowest achieving 20% in the Early Years Foundation Stage Profile and the rest	PSA 11
93	Progression by 2 levels in English between Key Stage 1 and Key Stage 2	PSA 11
94	Progression by 2 levels in Maths between Key Stage 1 and Key Stage 2	PSA 11
95	Progression by 2 levels in English between Key Stage 2 and Key Stage 3	PSA 11
96	Progression by 2 levels in Maths between Key Stage 2 and Key Stage 3	PSA 11
97	Progression by 2 levels in English between Key Stage 3 and Key Stage 4	PSA 11
98	Progression by 2 levels in Maths between Key Stage 3 and Key Stage 4	PSA 11
99	Looked after children reaching level 4 in English at Key Stage 2	PSA 11
100	Looked after children reaching level 4 in Maths at Key Stage 2	PSA 11

101	Looked after children achieving 5 A*-C GCSEs (or equivalent) at Key Stage 4 (including English and Maths)	PSA 11
102	Achievement gap between pupils eligible for free school meals and their peers achieving the expected level at Key Stages 2 and 4	PSA 11
103	Special Educational Needs - statements issued within 26 weeks	DCSF DSO
104	The Special Educational Needs (SEN)/non-SEN gap - achieving Key Stage 2 English and Maths threshold	DCSF DSO
105	The Special Educational Needs (SEN)/non-SEN gap - achieving 5 A*-C GCSE inc. English and Maths	DCSF DSO
106	Young people from low income backgrounds progressing to higher education	PSA 11
107	Key Stage 2 attainment for Black and minority ethnic groups	DCSF DSO
108	Key Stage 4 attainment for Black and minority ethnic groups	DCSF DSO
109	Delivery of Sure Start Children Centres	DCSF DSO
110	Young people's participation in positive activities	PSA 14
111	First time entrants to the Youth Justice System aged 10 - 17	PSA 14
112	Under 18 conception rate	DCSF DSO
113	Prevalence of Chlamydia in under 25 year olds	DCSF DSO
114	Rate of permanent exclusions from school	DCSF DSO
115	Substance misuse by young people	PSA 14
116	Proportion of children in poverty	PSA 9
117	16 to 18 year olds who are not in education, employment or training (NEET)	PSA 14
118	Take up of formal childcare by low-income working families	DWP DSO
119	Self-reported measure of people's overall health and wellbeing	DH DSO
120	All-age all cause mortality rate	PSA 18
121	Mortality rate from all circulatory diseases at ages under 75	DH DSO
122	Mortality from all cancers at ages under 75	DH DSO
123	Stopping smoking	PSA 18
124	People with a long-term condition supported to be independent and in control of their condition	DH DSO
125	Achieving independence for older people through rehabilitation/intermediate care	PSA 18
126	Early access for women to maternity services	PSA 19
127	Self reported experience of social care users	PSA 19
128	User reported measure of respect and dignity in their treatment	DH DSO
129	End of life care - access to appropriate care enabling people to be able to choose to die at home	DH DSO
130	Social Care clients receiving Self Directed Support per 100,000 population	DH DSO
131	Delayed transfers of care	DH DSO
132	Timeliness of social care assessment (all adults)	DH DSO
133	Timeliness of social care packages following assessment	DH DSO
134	The number of emergency bed days per head of weighted population	DH DSO
135	Carers receiving needs assessment or review and a specific carer's service, or advice and information	DH DSO
136	People supported to live independently through social services (all adults)	PSA 18

137	Healthy life expectancy at age 65	PSA 17
138	Satisfaction of people over 65 with both home and neighbourhood	PSA 17
139	The extent to which older people receive the support they need to live independently at home	PSA 17
140	Fair treatment by local services	PSA 15
141	Percentage of vulnerable people achieving independent living	CLG DSO
142	Percentage of vulnerable people who are supported to maintain independent living	PSA 17
143	Offenders under probation supervision living in settled and suitable accommodation at the end of their order or licence	PSA 16
144	Offenders under probation supervision in employment at the end of their order or licence	PSA 16
145	Adults with learning disabilities in settled accommodation	PSA 16
146	Adults with learning disabilities in employment	PSA 16
147	Care leavers in suitable accommodation	PSA 16
148	Care leavers in employment, education or training	PSA 16
149	Adults in contact with secondary mental health services in settled accommodation	PSA 16
150	Adults in contact with secondary mental health services in employment	PSA 16
151	Overall employment rate	PSA 8
152	Working age people on out of work benefits	PSA 8
153	Working age people claiming out of work benefits in the worst performing neighbourhoods	DWP DSO
154	Net additional homes provided	PSA 20
155	Number of affordable homes delivered (gross)	PSA 20
156	Number of households living in Temporary Accommodation	PSA 20
157	Processing of planning applications	CLG DSO
158	% non-decent council homes	CLG DSO
159	Supply of ready to develop housing sites	CLG DSO
160	Local Authority tenants' satisfaction with landlord services	CLG DSO
161	Number of Level 1 qualifications in literacy (including ESOL) achieved	PSA 2
162	Number of Level 1 qualifications in numeracy achieved	PSA 2
163	Proportion of population aged 19-64 for males and 19-59 for females qualified to at least Level 2 or higher	PSA 2
164	Proportion of population aged 19-64 for males and 19-59 for females qualified to at least Level 3 or higher	PSA 2
165	Proportion of population aged 19-64 for males and 19-59 for females qualified to at least Level 4 or higher	PSA 2
166	Median earnings of employees in the area	BERR DSO
167	Congestion - average journey time per mile during the morning peak	PSA 5
168	Principal roads where maintenance should be considered	DfT DSO
169	Non-principal roads where maintenance should be considered	DfT DSO
170	Previously developed land that has been vacant or derelict for more than 5 years	CLG DSO
171	New business registration rate	BERR DSO
172	Percentage of small businesses in the area showing growth	BERR DSO

173	Flows on to incapacity benefits	DWP DSO
174	Skills gaps in the current workforce reported by employers	DIUS DSO
175	Access to services and facilities by public transport, walking and cycling	DfT DSO
176	Working age people with access to employment by public transport (and other specified modes)	DfT DSO
177	Local bus and light rail passenger journeys originating in the authority area	DfT DSO
178	Bus services running on time	DfT DSO
179	Value for money - total net value of on-going cash-releasing value for money gains that have impacted since the start of the 2008-9 financial year	CLG DSO
180	The number of changes of circumstances which affect customers' Housing Benefit/ Council Tax Benefit entitlements within the year	DWP DSO
181	Time taken to process Housing Benefit/Council Tax Benefit new claims and change events	DWP DSO
182	Satisfaction of businesses with local authority regulatory services	BERR DSO
183	Impact of local authority regulatory services on the fair trading environment	BERR DSO
184	Food establishments in the area which are broadly compliant with food hygiene law	PSA 27
185	CO2 reduction from Local Authority operations	PSA 27
186	Per capita reduction in CO2 emissions in the LA area	PSA 27
187	Tackling fuel poverty - % people receiving income based benefits living in homes with a low energy efficiency rating	Defra DSO
188	Planning to adapt to climate change	PSA 27
189	Flood and coastal erosion risk management	Defra DSO
190	Achievement in meeting standards for the control system for animal health	Defra DSO
191	Residual household waste per household	Defra DSO
192	Percentage of household waste sent for reuse, recycling and composting	Defra DSO
193	Percentage of municipal waste landfilled	Defra DSO
194	Air quality - % reduction in NOx and primary PM10 emissions through local authority's estate and operations	PSA 28
195	Improved street and environmental cleanliness - fly tipping	Defra DSO
196	Improved local biodiversity - proportion of local sites where positive conservation management has been or is being implemented	Defra DSO
197	Children travelling to school - mode of travel usually used (5-16yrs - car (including vans and taxis))	PSA 28
198	Children and young people's satisfaction with parks and play areas	DfT DSO
199	Children and young people's satisfaction with parks and play areas	DCSF

Annex C Public Service Agreements, and Departmental Strategic Objectives to which the National Indicators relate

PSA	National Indicator number
PSA 2	NI 151, NI 162, NI 163, NI 164, NI 165
PSA 5	NI 167
PSA 7	NI 151
PSA 8	NI 151, NI 152
PSA 9	NI 116
PSA 10	NI 72, NI 73, NI 74, NI 75, NI 78, NI 79, NI 80
PSA 11	NI 92, NI 93, NI 94, NI 95, NI 96, NI 97, NI 98, NI 99, NI 100, NI 101, NI 102, NI 106
PSA 12	NI 50, NI 52, NI 53, NI 54, NI 55
PSA 13	NI 70
PSA 14	NI 110, NI 111, NI 112, NI 115, NI 117
PSA 15	NI 3, NI 140
PSA 16	NI 143, NI 144, NI 145, NI 146, NI 147, NI 148, NI 149, NI 150
PSA 17	NI 137, NI 138, NI 139

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PSA	National Indicator number
PSA 18	NI 120, NI 123, NI 136
PSA 19	NI 126, NI 127
PSA 20	NI 154, NI 155, NI 156
PSA 21	NI 1, NI 2, NI 4
PSA 23	NI 15, NI 16, NI 17, NI 18, NI 19, NI 21, NI 26, NI 28, NI 29, NI 32, NI 34
PSA 25	NI 20, NI 38, NI 39, NI 40, NI 41, NI 42
PSA 26	NI 35, 36
PSA 27	NI 185, NI 186, NI 188
PSA 28	NI 194

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DSO	National Indicator number
BERR DSO Promote the creation and growth of business and a strong enterprise economy across all regions	NI 166, NI 171, NI 172
BERR DSO Ensure all departments and agencies deliver better regulation for the private, public and third sectors	NI 182, NI 183
Communities and Local Government DSO Support local government that empowers individuals and communities and delivers high quality services efficiently	NI 3, NI 4, NI 179
Communities and Local Government DSO Improve the supply, environmental performance and quality of housing that is more responsive to the needs of individuals, communities and the economy	NI 141, NI 142, NI 154, NI 155, NI 156, NI 158, NI 160
Communities and Local Government DSO Build prosperous communities by improving the economic performance of cities, sub-regions and local areas, promoting regeneration and tackling deprivation	NI 5, NI 170
Communities and Local Government DSO To develop communities that are cohesive, active and resilient to extremism	NI 1, NI 2, NI 35
Communities and Local Government DSO Provide a more efficient, effective and transparent planning system that supports and facilitates sustainable development, including the Government's objectives in relation to housing growth, infrastructure delivery, economic development and climate change	NI 157, NI 159
Communities and Local Government DSO Ensure safer communities by providing the framework for the Fire and Rescue Service and other agencies to prevent and respond to emergencies	NI 49
CO DSO Build an effective UK intelligence community in support of UK national interests, and the capabilities to deal with disruptive challenges to the UK	NI 37
CO DSO Drive delivery of the Prime Minister's cross-cutting priorities to improve outcomes for the most excluded people in society and enable a thriving third sector	NI 6, NI 7
DCMS DSO Encourage more widespread enjoyment of culture and sport	NI 8, NI 9, NI 10, NI 11
DCSF DSO Secure the well-being and health of children and young people	NI 51, NI 55, NI 56, NI 57, NI 58
DCSF DSO Close the gap in educational achievement for children from disadvantaged backgrounds	NI 81, NI 82, NI 103, NI 104, NI 105, NI 107, NI 108, NI 109
DCSF DSO Safeguard the young and vulnerable	NI 59, NI 60, NI 61, NI 62, NI

DCSF DSO Achieve world class standards in education	63, NI 64, NI 65, NI 66, NI 67, NI 68, NI 69, NI 70, NI 71
DCSF DSO Ensure young people are participating and achieving their potential to 18 and beyond	NI 76, NI 77, NI 83, NI 84, NI 86, NI 87, NI 88, NI 89
DCSF DSO Keep children and young people on the path to success	NI 85, NI 90, NI 91
Defra DSO: Climate change tackled internationally; and through domestic action to reduce greenhouse gas emissions.	NI 113, NI 114
Defra DSO: Economy and society resilient to environmental risk and adapted to the impacts of climate change	NI 187
Defra DSO: Sustainable patterns of consumption and production	NI 189, NI 190
Defra DSO A healthy, resilient, productive and diverse natural environment	NI 191, NI 192, NI 193
DfT DSO To sustain economic growth and improved productivity through reliable and efficient transport networks	NI 195, NI 196, NI 197
DfT DSO To enhance access to jobs, services and social networks including for the most disadvantaged	NI 168, NI 169, NI 177, NI 178
DfT DSO To strengthen the safety and security of transport	NI 175, NI 176
DH DSO Ensure better health and well-being for all	NI 47, NI 48
DH DSO Ensure better care for all	NI 119, NI 121, NI 122, NI 125
DH DSO Better value for all	NI 124, NI 128, NI 129, NI 131, NI 132, NI 133, NI 136
DIUS DSO Improve the skills of the population throughout their working lives to create a workforce capable of sustaining economic competitiveness, and enable individuals to thrive in the global economy	NI 134
HO DSO Help people feel secure in their homes and local communities	NI 174
HO DSO Cut crime, especially violent, drug and alcohol related crime	NI 17, NI 21, NI 24, NI 27, NI 40, NI 41
HO DSO Secure our borders and control migration for the benefit of our country	NI 28, NI 30, NI 33 Indicators as listed in PSA 23
MoJ DSO Support the efficient and effective delivery of justice	NI 12, NI 13
	NI 118, NI 153, NI 173
	NI 180, NI 181
	NI 43, NI 44, NI 45, NI 46

Annex D Using the LAA Indicator Toolkit Model

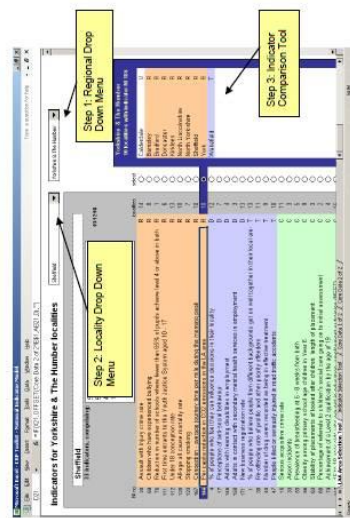
How to use the Interactive Spreadsheet Model

The Toolkit provides an interactive Local Area Agreement Indicator Model containing the designated, priority LAA Indicators of every English Authority. It has been developed in Microsoft Excel and is named 'CRP Toolkit – National Indicator Model'. It is hosted on the Members Section of the ACQR website and is not for available for use by non-CRP Officers. The Model contains 4 worksheets – of which two can be used to access data (the other two contain the raw data files and should be ignored).

Worksheet 1: LAA Area Selection Tool

This worksheet enables the user to identify the full list of designated LAA indicators of every Authority in England except for those in the S East region – who's Authorities indicators are shown as a look up table on a separate worksheet.

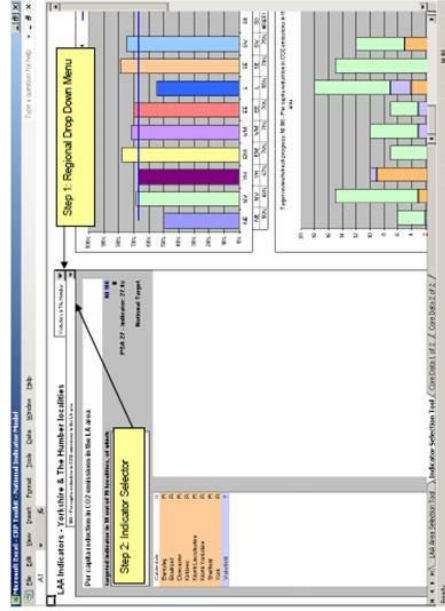
- Step 1: A drop down menu is provided for the user to select which region's data they wish to review – based upon the Government Office areas of England.
- Step 2: A drop down menu is provided for the user to select which Authority locality they wish to review the designated LAA indicators selected.
- Step 3: The Model has an additional facility enabling the user to select any of the individual indicators shown as being a designated indicator for the chosen locality. This will then show which other localities in that region have also selected the highlighted indicator as one of their own designated indicators.



Worksheet 2: Indicator Selection Tool

This worksheet enables the user to identify which Authorities within a given regional area have selected which individual national indicator. All S East data is accessible in Worksheet 2.

- Step 1: A drop down menu is provided for the user to select which region's data they wish to review – based upon the Government Office areas of England.
- Step 2: A drop down menu is provided for the user to select which national indicator they wish to identify by which Locality within the region.
- Step 3: The Model has an additional facility which automatically shows a graph of the % of LAAs within every English region which have also selected that indicator as a designated indicator within an LAA.



Annex E DASTS Goals and Challenges

	Tackle climate change	Support economic growth	Promote equality of opportunity	Contribute to better safety, security and health	Improve quality of life
Cross-network (national policy)	<p>1 Deliver quantified net reductions in greenhouse gas emissions consistent with the Climate Change Bill and EU targets.</p>	<p>2 Ensure a competitive transport industry by simplifying and improving regulation to benefit transport users and providers and maximising the value for money from transport spending.</p>	<p>3 Enhance social inclusion by enabling disadvantaged people to connect with employment opportunities, key services, social networks and goods through improving accessibility, availability, affordability and acceptability.</p>	<p>4 Reduce the risk of death, security or injury due to transport accidents.</p> <p>5 Reduce social and economic costs of transport to public health, including air quality impacts.</p> <p>6 Improve the health of individuals by encouraging and enabling more physically active travel.</p> <p>7 Reduce vulnerability of transport networks to terrorist attack.</p>	<p>8 Manage transport-related noise in a way that is consistent with the emerging national noise strategy and other wider Government goals.</p> <p>9 Minimise the impacts of transport on the natural environment, heritage and landscape and seek solutions that deliver long-term environmental benefits.</p> <p>10 Improve the experience of end-to-end journeys for transport users.</p>
Cities and regional networks	<p>1 Deliver quantified reductions in greenhouse gas emissions within cities and regional networks, taking account of cross-network policy measures.</p>	<p>2 Reduce lost productive time including by maintaining or improving the reliability and predictability of journey times on key local routes for business, commuting and freight.</p> <p>3 Improve the connectivity and access to labour markets of key business centres.</p> <p>4 Support the delivery of housing, and in particular the PSA target of increasing supply to 240,000 net additional dwellings per annum by</p>	<p>6 Enhance social inclusion and the regeneration of deprived or remote areas by enabling disadvantaged people to connect with employment opportunities, key local services, social networks and goods through improving accessibility, availability, affordability and acceptability.</p> <p>7 Contribute to the reduction in the gap between economic growth rates for different regions.</p>	<p>8 Reduce the risk of death or injury due to transport accidents.</p> <p>9 Improve the health of individuals by encouraging and enabling more physically active travel.</p> <p>10 Reduce the social and economic costs of transport to public health, including air quality impacts.</p> <p>11 Reduce vulnerability of city and regional transport networks to</p>	<p>13 Reduce the number of people and dwellings exposed to high levels of noise from road and rail networks consistent with implementation of Action Plans prepared under the Environmental Noise Directive.</p> <p>14 Minimise the impacts of transport on the natural environment, heritage and landscape and seek solutions that deliver long-term environmental benefits.</p> <p>15 Improve the quality of transport integration into streetscapes and the</p>

	Tackle climate change	Support economic growth	Promote equality of opportunity	Contribute to better safety, security and health	Improve quality of life
National networks	<p>1 Deliver quantified reductions in greenhouse gas emissions on national networks taking account of cross-network policy measures.</p>	<p>2016 by facilitating the conditions for the housing to be delivered, while limiting increased congestion.</p> <p>5 Ensure local transport networks are resistant and adaptable to shocks and impacts such as adverse weather, accidents, terrorist attacks and impacts of climate change.</p>		<p>12 Reduce crime, fear of crime and anti-social behaviour on city and regional transport networks.</p>	<p>urban environment.</p> <p>16 Improve the journey experience of transport users of urban, regional and local networks, including at the interfaces with national networks and international networks.</p> <p>17 Enhance well-being and sense of community by creating more opportunities for social contact and better access to leisure activities and the natural environment.</p>
	<p>1 Deliver quantified reductions in greenhouse gas emissions on national networks taking account of cross-network policy measures.</p> <p>3 Ensure national transport networks are resistant and adaptable to shocks and impacts such as adverse weather, accidents, terrorist attacks and impacts of climate change.</p>	<p>2 Reduce lost productive time on national transport networks, including by maintaining or improving the reliability and predictability of journey times for business and freight.</p> <p>3 Ensure national transport networks are resistant and adaptable to shocks and impacts such as adverse weather, accidents, terrorist attacks and impacts of climate change.</p>	<p>4 Enhance social inclusion by ensuring national transport networks are accessible and acceptable for disadvantaged people.</p> <p>5 Contribute to the reduction in the gap between economic growth rates for different regions.</p>	<p>6 Reduce the risk of death or injury due to transport accidents</p> <p>7 Reduce the social and economic costs of transport to public health, including air quality impacts.</p> <p>8 Reduce vulnerability of transport networks to terrorist attack.</p>	<p>9 Reduce the number of people and dwellings exposed to high levels of noise from road and rail networks consistent with implementation of Action Plans prepared under the Environmental Noise Directive.</p> <p>10 Minimise the impacts of transport on the natural environment, heritage and landscape and seek solutions which deliver long-term environmental benefits.</p> <p>11 Improve the journey experience of transport users of national networks including at the interfaces with local networks and international networks.</p> <p>12 Enhance wellbeing and sense of community by creating more opportunities for social contact and better access to leisure activities and the natural environment.</p>

	Tackle climate change	Support economic growth	Promote equality of opportunity	Contribute to better safety, security and health	Improve quality of life
International networks	<p>1 Ensure forecast growth in international aviation emissions is matched by equivalent transport reductions or offset by reductions in other sectors.</p> <p>2 Increase the carbon efficiency of international shipping. Forecast growth to be offset by reductions in other sectors.</p>	<p>3 Reduce lost productive time on international networks by maintaining or improving efficiency, predictability and reliability of international end-to-end journeys.</p> <p>4 Ensure passengers and freight have access to globally competitive levels of international connectivity.</p> <p>5 Ensure international networks are resistant and adaptable to shocks and impacts such as adverse weather, accidents, terrorist attacks and impacts of climate change.</p>	<p>6 Improve accessibility for persons of reduced mobility on international networks.</p> <p>7 Contribute to the reduction in the gap between economic growth rates for different regions.</p>	<p>8 Reduce the risk of death or injury due to transport accidents.</p> <p>9 Reduce the social and economic costs of transport to public health, including air quality impacts.</p> <p>10 Work internationally and nationally to reduce vulnerability of international networks to terrorist attack.</p>	<p>11 Limit and, where possible, reduce the number of people in the UK significantly affected by aircraft noise.</p> <p>12 Minimise the impacts of transport on the natural environment, heritage and landscape and seek solutions which deliver long-term environmental benefits.</p> <p>13 Improve the experience of end-to-end journeys for international transport users.</p>