

PAS

**INFRASTRUCTURE PLANNING AND DELIVERY FOR LOCAL STRATEGIC
PARTNERSHIPS AND LOCAL AUTHORITIES**

DELIVERY SUPPORT GUIDE

December 2009

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Purpose of this guide

STEPS SUPPORT

After the baseline self assessment and project planning sessions the local authority (LA) will be able to assess the areas of support they will need in the various steps. This guide complements the *Steps Approach* and should be read in conjunction with it.

This guide has been prepared for local authorities who are using the PAS *Steps Approach to Infrastructure Planning and Delivery for Local Strategic Partnerships and Local Authorities* to prepare their local Infrastructure Delivery Plan (IDP). The IDP has a key role in developing and delivering their Sustainable Community Strategy, Local Area Agreement and LDF and in particular their core strategy. It can also be used in developing delivery approaches in other development plan documents (DPDs).

The delivery guide is based on *the Steps Approach to Infrastructure Planning and Delivery*. The *Steps Approach* has been developed as a means of aiding understanding of the role of the local development framework (LDF) in the delivery of infrastructure and capital investment at the local level. Infrastructure delivery planning is a corporate process and the involvement of the local strategic partnership (LSP) and local area agreement (LAA) leads in the process is critical. Also accompanying this guide is further material that covers the main components in the relationship between spatial planning and new architecture of local government.

Background to this Guide

In autumn 2008 the Planning Advisory Service (PAS) delivered a regional seminar series on Infrastructure Planning and Delivery. The seminars were structured around the Steps Approach to infrastructure planning to provide those preparing infrastructure plans with a process framework. At these seminars it became clear that local authorities needed more support to undertake the preparation of their IDP particularly in working with their Local Strategic Partnership and other major infrastructure providers. Partners and LSP coordinators also needed more information to assist them in their support of the IDP process and governance arrangements. The Steps Approach and supporting material has been developed into an Infrastructure Delivery Planning (IDP) support package or module to help those undertaking and managing the IDP process.

PAS IDP Pilot Project

The *Steps Approach* was published in May 2009. Each step contains suggested ways to get started, resource material available and examples of local authority practice based on experience at that time. As more authorities undertake this work more experience is being gained and lessons learned. To gather and share this experience and information PAS are running an IDP project programme to pilot the module in 15 locations in England. This will run from October 2009 onwards and is designed to deliver IDPs in the pilot authorities using the IDP module. The pilot authorities will be supported by consultants to work their way

through the Steps process. Their experience and learning will be shared via the PAS website and the IDP Community of Practice. Based on the new learning emerging from the pilot authorities the material that makes up the IDP module will be reviewed and updated as required. The pilot locations have been chosen to examine how the Steps Approach works with other initiatives and leads including:

- LSPs
- Total Place pilots
- City Region pilots
- Growth areas

KEY COMPONENTS OF IDP

The following components are key features of the IDP process and should be taken into account as your planning and preparations

Corporate support - to be successful, a council undertaking the preparation of infrastructure planning and delivery approach will need corporate support and engagement. This cross-service approach is essential to ensure deliverability. Successful infrastructure planning and delivery means that at least some of the following need to be developed and put in place.

- chief executive engagement
- engagement from senior members, including the leader
- a briefed and engaged corporate management team
- common evidence base across authority services
- ways of working with heads of service which can support evidence based identification of infrastructure deficits
- some working relationships with the LSP, local area agreement (LAA) coordinator and sustainable community strategy (SCS) lead officer.

Partnership working

Infrastructure planning is not something that planners can or should do alone. There are a number of different internal skills in the local authority which can help the process of infrastructure planning and delivery. They will provide expertise, core evidence and help guide the development of the IDP. These include:

- capital finance and programming
- property
- children's commissioning
- development management
- schools planning
- Building Schools for the Future leads
- Joint Strategic Needs Assessment team
- transport planners
- programme managers and project officers
- S106 officer
- regeneration
- countryside management.

In some authorities, where the number of planning applications has reduced, development control officers are being engaged on infrastructure planning and

delivery work. This could have an additional benefit in developing a deeper ownership of the infrastructure delivery planning and development management process.

Project management - is essential to manage partner input, timings and responsibilities. Establishing a project management approach when preparing your IDP will enable you to work with partners to assess your current base line position and at all relevant stages in the process. As a key strategy driver your timetable for IDP preparation must tie in with your timetable for DPD preparation. In terms of managing the process an approach, such as 'Prince2 light' might be useful. This would include measures such as setting up:

- a project board
- clear milestones
- a project plan
- a communications plan.

All of these would be useful in completing this task on time.

Timescale

The time taken to produce an IDP will depend on the relevant work which has been done to date and the requirements of your timetable for DPD preparation. Work undertaken eg on other funding programmes such as HCA Single Conversation, Local Transport Plans 3 or the Regional Implementation programme can help speed up the process. Many authorities need to prepare and IDP in a short timescale to meet their DPD timetable. These authorities can use the Steps Approach to assess the essentials of what needs to be done and what realistically can be done in the timeframe they have available. Using the Steps approach will enable more effective project management of the LDF and IDP processes to ensure the necessary information is available at the appropriate time. Ideally the two processes should be merged.

Skills

Developing your knowledge - infrastructure planning and delivery requires baseline skills, such as project management and partnership working. It also requires some understanding of service planning and delivery in a number of public sector organisations. Active engagement of these service providers in the IDP process will help develop this knowledge and provide expert specialist input into the process. The likely areas where further knowledge may need to be built up includes:

- schools
- youth
- early years
- supporting people
- higher education and Higher Education Funding Council for England
- further education
- strategic health authorities
- primary care trusts
- registered social landlords

In some localities you may need to work with faith and community groups that will require new skills and knowledge. We suggest that the LSP coordinator may

be able to help identify which groups are able to support the infrastructure planning and delivery processes.

Costing skills - other skills may relate to the technical requirements of costing and pricing. Here, assistance from other built environment professionals, either within the authority; through local housing organisations; or through strategic partnerships with the authority. It is likely that every authority will either have some in-house skills in this area or retained advice and this could be a reasonable place to start.

Skills, such as assessment of scheme viability, which might be required in relating the potential developer contributions to specific schemes may be available in-house or provided on a retained basis externally.

Implementation and delivery

You will need to monitor implementation and delivery to ensure that the programme is keeping pace with requirements. This can be achieved through the annual monitoring report process for planning and will also need to be reported to the local strategic partnership.

Auditing and reporting - It is also necessary to ensure that appropriate audit and reporting measures have been put in place for the delivery of any planning gain deliverables, under the current or future Community Infrastructure levy (CIL) schemes. We recommend that there is a planning gain register in each local authority and that an annual report on delivery and fulfillment is published each year.

GETTING STARTED

Resources

It is important to recognise that infrastructure planning and delivery is an on-going and corporate process. The council will need to work in a more corporate way and more directly with the local strategic partnership (LSP) ideally with recognised governance structures. Resources in the form of financial contributions, officer time or sharing of evidence bases ideally by all partners should be part of those governance arrangements .

To start the process an IDP lead officer needs to be identified. This person could come from the planning, any other corporate service or the LSP. In the early stages the lead will need the support of a senior manager within their service to champion the project to get corporate and LSP buy in and to secure appropriate governance and address resource issues. The project will be 'front-loaded' needing to scope the current position of the authority, establish governance and data recording and management. Once these on-going arrangements are in place the IDP activity will focus on infrastructure planning at regular intervals.

Using the Steps Approach

The IDP support package is based on the *Steps Approach to Infrastructure Planning and Delivery for Local Strategic Partnerships and Local Authorities*. The manager for the project needs to clearly understand the process and the purpose of each Step and what it entails. Before starting this person should also have a clear understanding of the current local governance context and policy and

practical 'drivers' for the project. A background reading list is provided to help focus this research.

The Steps Approach is not meant to provide an explicit process which all local authorities need to follow through from beginning to end. Rather it provides a framework for local authorities to use, it is an approach to infrastructure planning and delivery. It is likely that any local authority will have made progress on a number of the stages set out here and these will be the starting point to infrastructure planning and delivery. One of the early stages will be a assessment of what is already available or in place and what, with some slight tweaking, can be used to support this process. For example each local authority is different and the bodies and structures set up locally will vary in their function and role. One example of these different approaches will be the structure of the Local Strategic Partnership with its different thematic boards or groups and working arrangements. This approach does not suggest that new arrangements have to be set up to replace those that exist but rather existing groups and structures be used and developed as appropriate. Some LSPs will be undergoing reviews and the approaches here might support that process as well.

It is important to note that although there is a sequential logic to the steps, there will be a number of steps that are being worked on at the same time. Also it may be necessary to work on steps out of the sequence suggested. Familiarity with all the steps in the Steps Approach process is essential before starting the project planning stage. The person leading on IDP preparation should also familiarise themselves with all of the support materials in the IDP module

Accessing the pilot materials for IDP preparation

The materials that have been prepared for the pilots are now available to all those preparing IDPs. They can be found on the PAS website and are available to download. . The material contains templates and other tools which if appropriate can be adapted for use to reflect local circumstances. The support materials are structured by key activities in the IDP preparation process.

Community of Practice

The module is supported by an IDP Community of Practice (CoP). This web based tool is a valuable resource to support IDP work being done. Members of the CoP can post their own material for others to share and/or access this material . It is also a forum for discussions where questions to be raised and issues relating to IDP to be aired. Members of the CoP will be notified when any new materials have been posted. Any formal updates to the PAS IDP material will also be notified this way and through the PAS monthly newsletter.

How the Guide is set out

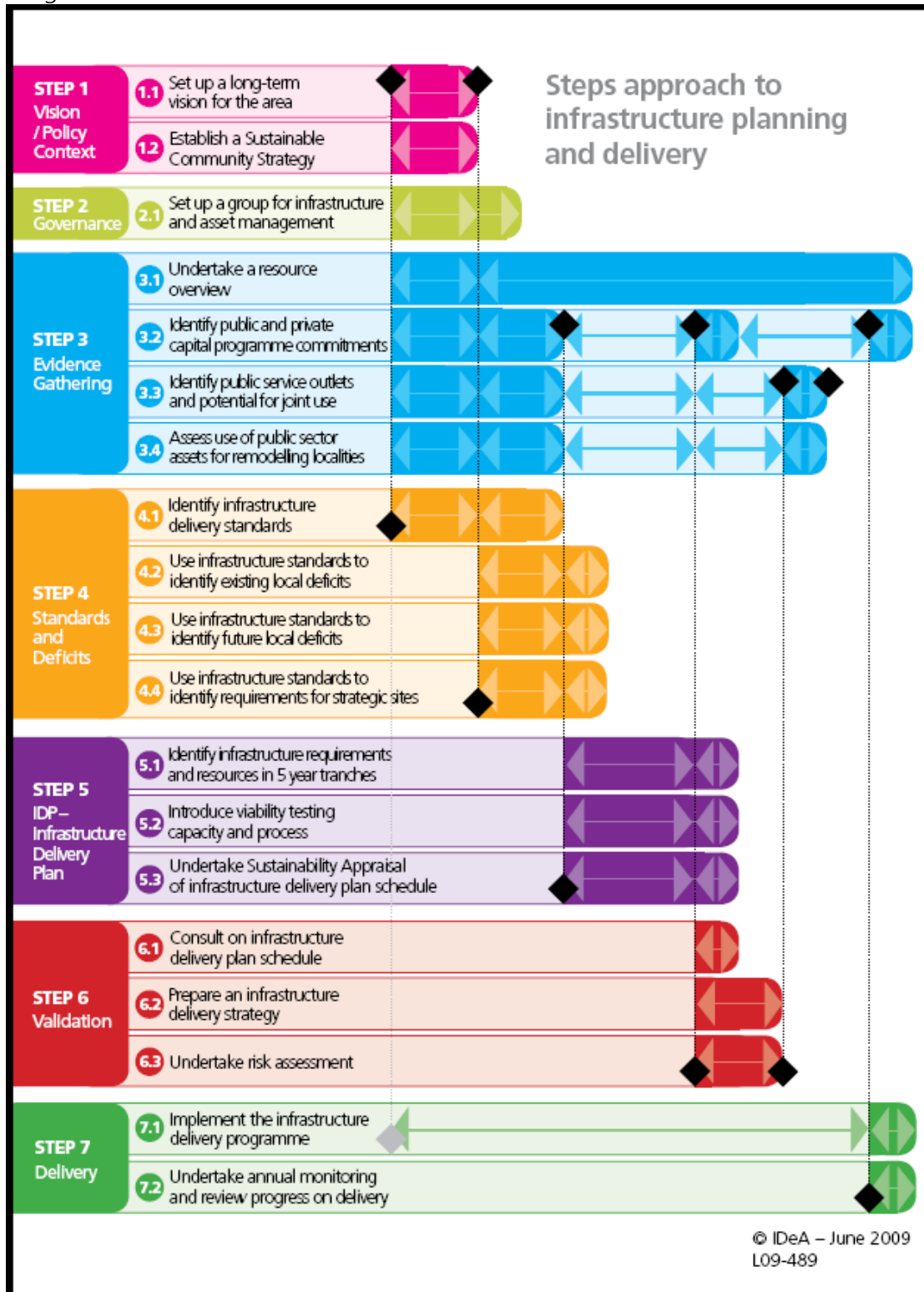
The Steps Approach to infrastructure planning and delivery has seven steps:

1. vision/policy context
2. governance
3. evidence gathering
4. standards and deficits
5. IDP Infrastructure Development Plan

6. validation
7. delivery

Each Step, as set out in Diagram 1, has some sub-components. The material here complements and sets out in more detail how to approach each of the steps identified in Steps Approach. In this Guide, each Step has an introductory section and then a list of material to help approach each step and support delivery. The material provided here is the best estimate of what will be required but it is envisaged that during the course of the IDP pilot project more material will become available and, if appropriate amendments to the steps and approaches may be necessary. Any changes or new material added to the module will be clearly highlighted

Diagram 1



Background reading and preparation

Essential

- PPS 12 (June 2008)
- *Creating Strong, Safe and Prosperous Communities*, CLG July 2008
- *Local Development Frameworks Examining Development Plan Documents Learning from Experience*, PINS, September 2009
- *Local Development Frameworks Examining Development Plan Documents: Soundness Guide*, PINS, August 2009
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Performance management

- Comprehensive Area Assessment <http://www.audit-commission.gov.uk/localgov/audit/caa/Pages/default.aspx>
- CAA prototype reporting website <http://www.audit-commission.gov.uk/localgov/audit/CAA/Pages/oneplace.aspx>

Assets

- *Positively Charged*, http://www.audit-commission.gov.uk/localgov/nationalstudies/Pages/positivelycharged_copy.aspx

Local Strategic Partnerships

- Local priorities in the LAA, www.localpriorities.communities.gov.uk
- LAAs and MAAs – full documents www.idea.gov.uk
- *Working Better Together* Audit Commission, 2009, http://www.audit-commission.gov.uk/localgov/nationalstudies/Pages/workingbettertogether_copy.aspx
- *Planning Together*, CLG, April 2009
- *Steps Approach to Infrastructure Planning and Delivery*, June 2009, www.pas.gov.uk/infrastructure

Duties

- Well being Local Government Act 2000
- Duty to cooperate, Local Government and Public Involvement in Health Act 2007
- Economic duty, Local Democracy etc Bill 2009
- Local Economic Assessments draft statutory guidance <http://www.communities.gov.uk/publications/localgovernment/localeconomicassessments>

Local government general background and update

- PAS website – www.pas.gov.uk
- Daily free alert service to local government from central government and also very useful on local government activity www.info4local.gov.uk
- Background text *Modern Local Government*, Janice Morphet (2008), Sage
- *Local Government Chronicle* published weekly

Preparing your IDP

An effective IDP process requires a project plan to be prepared. Three key meetings in project planning are suggested and materials to support these stages are provided

1. Inception meeting
2. Project planning meeting
3. Progress review meeting

Meeting one: Inception - developing an understanding of the role of the IDP

This first meeting is one for local authority LDF and corporate officers to attend (e.g. one or two planners plus LSP/LAA/SCS leads or ACEs) and is an opportunity to introduce the project to these key partners. The first joint session will be for the lead to

- present an overview of the whole process and objectives for the project
- introduce the bigger picture
- have an overview of the Steps process
- help the authority to identify their current position and start to establish their baseline
- introduce the role of the project management – the need for a project team, executive board etc
- introduction to the IDeA Community of Practice (CoP)

In order to prepare for the IDP process, a number of issues will need to be discussed at this stage including:

- identifying the likely local barriers to success
- identifying the key contacts and partners who will need to be engaged in this process
- ways of developing an action plan
- identifying the likely outcome of the process
- identifying milestones and reporting points
- undertaking a risk assessment including a mitigation table and a RAG assessment
- identifying where any support might be needed

It is proposed that the work at this initial one day meeting will be introduced via presentations and then undertaken in a workshop mode with points of discussion. This workshop is supported by the provision of:

- a model programme
- questionnaire for an IDP baseline appraisal by the local authority
- introduction to Communities of Practice (CoP)
- powerpoint and notes for the main presentations
- workshop templates

The templates supplied can be used to compile a single project folder, which will provide an audit trail of the infrastructure planning and delivery process. This can be set up electronically or in a paper format. The project folder may provide a mechanism for reflected learning and lessons learned during and at the end of the process.

Outcomes from meeting one

The outcomes from Meeting 1 are expected to be:

- an understanding of the project including objectives, practice and outcomes
- a base line self assessment of their ability to deliver infrastructure
- an assessment of local authority progress and likely barriers to success
- a preliminary timetable for the project with the authority
- a clear identification of next actions to be taken and responsibility for those
- agreement on an IDP reporting schedule including any GIS link and address standards
- agreement on infrastructure categories to be used (this can be reviewed later if amendments are later required)
- an assessment of the state of progress and likely types of action across all partners
- introduction to the use of the Communities of Practice

Resource materials provided for Meeting one

- background reading list
- Steps Approach
- Support Delivery Guide

- Steps Progress report form
- Guide/information on local government for planners
- baseline questionnaire
- Community of Practice introduction
- Model programme for the day
- Powerpoint presentations and presenters' notes
- Project management questionnaire
- Project meetings schedule template
- Infrastructure categories list
- IDP schedule

Working with other local authorities to develop IDPs

There are three reasons why local authorities may wish to work with other local authorities at this stage in the process in this process:

1. Local authorities will need to work with all their immediate neighbour in order to undertake their baseline assessment of available facilities and also to achieve a consistent and coherent approach to their LDF as required through the Tests of Soundness;

2. some local authorities will be working with neighbouring authorities in more formal arrangements such as shared or aligned core strategies or in MAA areas;
3. Local authorities may want to share their experiences of this process through specific groupings or through existing arrangements that will enable:
 - development of networks for sharing information and seeking advice along the way
 - to create a means to share information when milestones are reached
 - to provide mutual support
 - to develop the role of the CoP

Meeting two: project management

You will need to set out a project plan for the development of your IDP work using the Steps Approach. The approach to project management should be introduced in Meeting 1 and then followed up in detail at this meeting using your baseline assessment also from meeting 1.. Project Management will need to include:

- identifying a Senior Responsible Owner for the project who will report to the Chief Executive on the progress of the project
- establishing a Project Board
- identifying key stakeholders to form a sounding board
- Preparing a Project Plan and Gantt chart
- identifying the key milestones for the year
- preparing a communications plan
- identifying any specific skills or training needed
- identifying any dependencies between stages or elements of the process at the outset and determine how these will be managed
- preparing a risk register together with a mitigation plan

PAS have a direct support module that might be useful to support this activity. The IDeA also has a section on Project Management on its website <http://www.idea.gov.uk/idk/core/page.do?pageld=5821083>.

At this first project meeting, the whole project plan will should be developed. This will include:

- go through the Steps Approach and supporting material to consolidate understanding
- to agree the authority's project plan with the project team
- meet the Senior Responsible Owner and Chief Executive
- meet the Programme Board which has been established to support the project
- ensure that the LSP coordinator and appropriate representatives from the LSP are engaged in the programme Board and the IDP process as a whole

The project plan will define the key tasks to be achieved with associated dates and a time table for subsequent project planning meetings. These meetings can be managed as follows:

Meetings of the project team and other participant officers who attend meetings one and three to receive:

- progress update
- assessment of key achievements against milestones
- barriers and challenges
- plans and strategies to overcome difficulties
- review project plan
- review risk assessment, RAG report and mitigation
- preparations for next stages including any expected support required

Other project meetings are also expected to be held to progress the project including:

- meetings with specific individuals e.g. Chief Executive, LAA lead, Director of Resources, CAA lead, LSP chair, other stakeholders, service deliverers
- specific capacity building sessions on working with others, consultation, evidence gathering and use
- workshops on a variety of specific issues including standards, base line provision, validation of data, processes or any other issues with
 - planners
 - LSP
 - members
 - internal service providers
 - major landowners
 - county services providers
 - neighbouring local authorities

Meeting three: progress review

A update and review progress meeting should be held in preparation for the work on Step 5 and beyond. This Progress Meeting is intended to provide a means for you to identify your progress on much of the desk-based research of evidence gathering, establishing the governance arrangements and to share experiences with others. At this stage, some of the work may have become stuck or delayed and the meeting can help to identify the ways these issues can be overcome or managed. It is assumed that the Progress Meeting will have the same participants attending as Meeting one¹.

Purpose of meeting three

It is proposed that the meeting be divided into two parts:

1. Reflection on progress:
 - to share progress and challenges between the participants
 - to learn of some of the experience of other local authorities via the CoP
2. Preparation to develop IDP

- to begin to plan Steps 5-7 ie the preparation of the Infrastructure plan
- readjustment of milestones/project plan
- updated action list
- re-assessment of what other support will be needed
- re-consider infrastructure categories being used and make any adjustments
- review processes for engagement with stakeholders, infrastructure providers and land owners
- the role of viability testing
- the role of development management in delivery

Outcomes of meeting three

Meeting 3 should provide the following:

- a self assessment of progress by the authority and its partners
- a sense of achievement of what has been progressed so far
- some lessons learned
- a validation of timescales and approaches used by the local authority which can be communicated to other authorities
- a clear programme for months 5-12
- identification of partners who have not yet fully engaged and the means of encouraging them to participate

Resource materials for meeting three:

Provided as templates:

- programme for the day
- powerpoints to introduce morning and afternoon sessions
- powerpoint on viability issues together with accompanying notes

Provided by local authority:

- report and presentation on progress so far
- a discussion on the barriers
- consideration of how barriers to be overcome
- report on the delivery of the IDP
- future milestones and project plan

Regular periodic project meetings should be held to include:

- a review progress
- a review learning
- discussion and outline of the programme for the coming year(s)

STEP 1 Vision and Policy Context

General introduction

This first step is designed to ensure that the LDF and LAA are delivering the vision for the area as set out in the SCS. The detailed outcomes are set out in the Steps Approach.

A review of the LAA targets for the area is required to identify which ones need to be delivered through the LDF. These are likely to include all of those dealing with:

- access to services
- satisfaction with area
- obesity
- independent living
- housing
- waste
- economy including new firm start ups
- transport and highways
- reducing impact of climate change
- energy
- biodiversity

Type of activity expected

This step will primarily require:

- meeting with corporate colleagues to clarify the SCS delivery strategy, the corporate lead who attends meeting 1 should be able to support this
- meeting for the with the LAA lead and possibly with the Senior Responsible Owner of each delivery target and LDF lead also to see how the LAA and LDF are contributing to the delivery plan. It would also be useful to set out the delivery contribution of the LDF for each of the LAA targets including those where no specific delivery role is expected for the LDF.
- Where possible establishing how the SCS is being delivered by the LAA and LDF might also be a useful exercise
- Identification of useful contacts for the development and delivery of the Infrastructure Delivery Plan would be helpful and some of these should be able to be brought on board by the corporate contacts including accountants responsible for capital programmes,
- this process might already have been undertaken and hence a quick review might be adequate to confirm that it is satisfactory
- external facilitator may be useful to support or run meetings

Time likely to be taken

4-6 weeks maximum to include setting up meetings, holding meetings, producing first drafts and agreeing outcome but could be less

Dependencies

Assessment can be undertaken with other activities but will be needed prior to step 5

Key output

The likely key content in this step will include (as set out in the Steps Approach):

- review and spatial interpretation of SCS key themes
- collection and review of evidence and consultation available across the local authority and partners to identify issues and any gaps
- collection and review of policy documents including those of partners to identify key spatial issues that may have a spatial delivery components
- collection and review of parish plans as an evidence source to be used to identify delivery requirements

Type of preparation required;

- confirmation of processes
- confirmation of partners to be included
- possible rehearsal of meetings with partners
- possible facilitation of meetings with partners

Key issues likely to emerge

In this section, the key issue which might arise is the suggestion of separate approaches between the LDF and SCS is considered. A number of useful ways to take this forward are listed under 'how to get started' on Step 1.1

Table Step 1

	key issue	mitigation/response	LA Action
1	SCS not relevant to LDF – done too long ago, too general, too ‘motherhood and apple pie’	planners need to work through the SCS – with SCS lead present if possible	(1) possible requirement for external facilitator; (2) could work out a plan for the discussion with the LDF lead and work through how to approach this with them
2	SCS not relevant to LDF – does not cover the right issues	planners need to work through the SCS – with SCS lead present if possible	(1) possible requirement for external facilitator; (2) could work out a plan for the discussion with the LDF lead and work through how to approach this with them; (3) planners need to understand the range of issues now contained within the LDF is much wider than before 2004
3	no apparent vision	work with partners to determine if this is the case	if no vision develop an approach to visioning event, deliver the PAS Visioning Module

Materials and resources

The resources are shown in the Steps Approach and will be the templates that will be provided:

- Infrastructure schedule
- Strategic sites schedule
- Infrastructure categories list

STEP 2 Governance

General introduction

In order to work with partners and key stakeholders to deliver the process of local infrastructure planning and delivery it is likely that establishing a governance approach to the process will repay rewards over a longer period of time and help to engage all those involved in the delivery of infrastructure. In *Planning Together* (April 2009), it was recommended that one of the key ways to take this forward is to establish an infrastructure sub group of the Local Strategic Partnership. The LSP has the responsibility for the oversight and alignment of resources and this can also help the development of this approach in practice. It can use its duty of cooperation between partners to encourage them to work together. Without this reporting relationship there is no easy tie into the delivery of the SCS through the LDF and the LAA.

Such a group can be made up from:

- An existing LSP group sub group
- A group in its own right with key infrastructure deliverers and representatives of relevant theme groups
- It can in effect be two groups – a strategic group and a ‘doers’ group

The establishment of governance arrangements of this type is likely to create a robust and on-going approach which can work with the delivery of the LDF over its 15 year life and beyond; it can also be more efficient and effective than single infrastructure studies which may quickly become outdated

Role of the LSP/strategic subgroup

- To promote the economic, social and environmental well being of the area through the provision of public infrastructure which supports the vision for the area, its quality of life and enhances its potential for economic growth
- to support the IDP process through cooperation
- maintain an overview of IDP projects and their role in supporting the delivery of the SCS and LAA
- give leadership to the review of public sector services and use of assets
- provide a combined evidence base for the IDP
- provide leadership to an Infrastructure Providers Group

Role of the Key Infrastructure providers group

- to identify the social, economic and environmental infrastructure requirements for the local area based on the area’s future vision as set out in the SCS and to be delivered through the LAA, MAA and LDF
- to identify the land and property assets available in the public sector’s ownership in the area under consideration
- to identify a programme for infrastructure delivery which will include who is to provide, when it is to be delivered and the funding sources
- to identify where more efficient use of assets could be promoted
- to identify who will be responsible for the delivery of the infrastructure

- to identify the resources required for infrastructure delivery and how they will be provided
- to establish a project management group to be responsible for more direct delivery
- to advise the LSP, sub-regional partnership and RDA (including the IRS process) of infrastructure requirements and potential funding shortfalls to deliver the local vision

Identifying infrastructure requirements

Identifying the infrastructure requirements in any locality will need to be based on a number of factors including:

- demographic evidence and projections
- housing market assessment and how this is to be met
- transport projections including reduction targets
- meeting sub-regional and regional roles
- changing service delivery approaches including transforming services
- supporting the enhancement of local character and quality to improve economic viability and calm environments

Time likely to be taken

The time taken to achieve this task will depend in part on the frequency of the LSP meetings. However one approach would be to:

- put an initial report to the Executive Board outlining the role of the LDF as the delivery programme and plan for the SCS and LAA
- at this meeting request that a workshop briefing session be held for LSP partners and internal service providers at operational and service delivery level (including county services in two-tier areas). NB this might require business planning staff in the PCT and property/service colleagues in Police and Fire rather than designing out crime teams
- hold workshop and then seek agreement to establish a group and devise a tentative programme
- report back to LSP Executive and keep informed on a regular basis
- programme might need to be a mixture of issues over time including:
 - thematic reviews e.g. health provision across the area including expected service changes
 - area based reviews of a market town or village where multiple agencies might own land and buildings
 - start site reviews to consider the capacity and condition of existing facilities, school management planning e.g. shifting places between areas of surplus and areas of need

Dependencies

It would be best to establish governance before Step 5.

Key Output

- a delivery sub-group of LSP

- a key infrastructure providers group
- identification of those with lead on capital and business planning in partner organisations
- identification of existing capital programmes, their review process and criteria for scheme assessment
- major landowners forum
- identification of public sector land and buildings on GIS base
- identification of any service delivery changes that could benefit from co-location

Type of preparation likely to be necessary

The type of preparation could include:

- to plan and rehearse making the argument for this sub group
- holding an LSP workshop to take this forward
- a facilitated workshop on IDP for partners

Materials and resources

- Introduction to Infrastructure Planning and Delivery – report and powerpoint on www.pas.gov.uk/infrastructure
- Resources in Step 2 of Steps Guide to Infrastructure planning and delivery
- Planning Together

STEP 3 Evidence gathering

General introduction

Steps 3 and 4 are significant in the process of preparing the Infrastructure Delivery Plan because they concentrate on gathering together the evidence that will be required to support the process. In Step 3 there is a focus on the evidence on existing facilities both within the local authority and in neighbouring authority areas. Step 4 concentrates on identifying standards of service delivery which are used to assess potential deficits against provision both now and in the future.

The underpinning principle of this approach to infrastructure planning and delivery is that the best use is made of all existing facilities before new ones are considered. This will include facilities that are:

- Owned by the local authority
- Located in schools, FE colleges and Universities
- Facilities owned by independent schools
- Private sector facilities e.g. leisure clubs, workplace facilities such as sports grounds
- Community owned facilities
- Facilities in neighbouring local authority areas such as swimming pools, health, schools
- Wildlife trusts have frequently mapped key sites and corridors which may have no obvious ownership

Step 3 is focussed on establishing a baseline of facilities which will then be assessed using Step 4. It will need the combined contributions of a number of local authority departments and other partners. In Step 3.1, undertaking the Resource Overview, there is a focus on ensuring that there is a corporate briefing on the process, this will be helpful in unlocking information and capacity to support this process. It is helpful if this can also be seen as part of preparing for the CAA Use of Resources and assets as well as part of the wider CAA processes. There will also be links to the delivery of the Total Place initiative which is seeking to utilise public sector resources in places more effectively and efficiently.

It is also quite likely that some of the work has already been undertaken and that part of the work of Step 3 will be identifying sources of information and deciding how they can be brought together, preferably on a GIS if possible. The sources of information on current facilities and programmed expenditure are likely to be available from:

- Property leads in local authorities and other bodies e.g. health and the police
- Accountants responsible for the capital programme
- The Highways Department where the data on NI 175 access to public services is being collected
- Community and neighbourhood services for local facilities, community meeting halls
- Leisure services
- Lead on Strategic Housing
- PPG 17 lead
- PCT for health and pharmacies

Local discussions on this approach generally reveal more information and data bases to add to this list.

The overall approach at this stage is to adopt a cumulative approach. It is not likely that all the infrastructure facilities will be identified at one time and emphasis may need to be given to the approach that although this can be developed significantly at this stage, there will always be new additions identified in a variety of ways.

It would be useful to identify a local owner for all this information as a central collecting point. This could be in property, corporate or community services. The information will need to be made available to all and its quality can be developed over time. The first approach should be to identify locations and activities and this can be extended to consider capacity, condition and access. This knowledge then serves as a baseline which can be used to assess the likely future requirements for infrastructure investment as part of Step 4.

Time likely to be taken

The time likely to be taken to establish this process will be three months and then allow another six months to identify all the information that is easily

available. The tasks in Step 3 and work on other steps can be undertaken concurrently and it makes sense to work on them at the same time, approaching organisations once and then following up more specialist leads to undertake specific tasks.

Type of preparation required for Steps 3.1 and 3.2 includes:

- Briefing for management team of local authority that base line information is required including current commitments in capital programmes
- Identify what has already been done or is underway in data collection for services
- Identify an authority lead to hold this base line data on facilities
- Identify an authority lead for drawing together current commitments in capital programmes of authority, partners and other sectors on a single schedule
- Request Chief Executive to raise with County/District Council Chief Executive(s) at next appropriate opportunity
- Follow up with County/District Council services in two tier areas to request information on current facilities and capital programmes
- Request LSP coordinator/ chair for a similar item to LSP or the infrastructure sub-group if one has been established
- Gather information sources available from LSP partners and programme addition to the baseline data
- Seek meeting with LSP partners on the way in which their capital programme systems work e.g.
 - How frequently are they reviewed? Annually, every three years?
 - Discover whether these are supported by other more detailed reviews of facilities in areas
 - Identify criteria used for identifying project priorities
 - Identify who makes decisions on which projects are to be funded and when

Step 3.3 can be developed as part of the process of identifying existing services and again many property leads inside local authorities have been collecting information on publicly owned land and buildings as part of their asset management planning. Where this is available, even in part, it can establish a good platform for adding land and buildings owned by other agencies or sectors where this would be useful, e.g. what is owned by the community or by trusts. The information on ownership of land and buildings can also be supplemented by more in-depth area based reviews which can focus on a market town, village or neighbourhood where there is any expectation that better arrangements for the delivery of public services could release some land for other uses.

This information on publicly owned land and buildings can be reported to the LSP sub group where one has been set up and it will be a significant contributor to the remodelling of areas within the LDF where this is appropriate. Where no LSP group has been set up as yet, a version of the same approach can be developed in order to support this work. Some local authorities have already been considering shared services, the creation of public service hubs and the

combined use of facilities. All of these approaches will be useful in supporting the delivery of Step 3.3.

Dependencies

Step 3 is needed in order to apply the findings of Step 4 and both are needed to move to Step 5. The evidence will need to be recorded so that there is an audit trail that can be followed on the origin of evidence and how it is being used to support the IDP generally or through specific projects.

Key Output

The key content that is likely to emerge as a result of the delivery of Step 3 is:

- Schedules and lists of current facilities
- Some assessment of the quality and capacity of existing facilities
- Appointment of lead officers for maintaining information on
 - Facilities
 - Land and buildings
 - Capital programmes
- Some information already available on GIS
- Partial or full knowledge of land and buildings in public sector ownership
- Some knowledge of the mutual use of facilities with neighbouring local authorities
- A repository of capital programmes for local public sector bodies
- An assessment of the current capital programme budget in the area (that can be compared with the Local Spending report figure)
- An understanding of the capital planning process in local public sector bodies including the local authority

Type of preparation like to be required includes :

- Support in planning a programme to achieve this work in the period
- Considering ways in which this is to be approached
- A report to the Management Team outlining work undertaken and outcomes
- Possible meeting with the chief executive if further explanation and discussion is required – this could be covered in a single meeting early on in the project where the project plan is considered. This might be a useful time to identify a key date for this process

Materials and resources

- A powerpoint for Step 3
- Other material as identified in the Steps approach

STEP 4 Standards and deficits

General introduction

As noted above , Step 3 and Step 4 can be carried on concurrently. Step 3 is concerned with the collection of baseline information about

- Facilities
- Land and buildings in public ownership
- Public sector capital programmes
- Other capital investment in formation

Step 4 is concerned with identifying the service standards that are applied by the local authority and other agencies as a precursor to identifying where there are likely to be deficits now and in the future. Without knowing what the standards are and how they are applied to the provision of services it is not possible to identify deficits. In 4.2 it is assumed that the existing population will be changing over time, even without any other development and this has to be taken into account. The consideration and use of the Joint Strategic Needs Assessment (JSNA) which has been undertaken for every local authority area will be a helpful contribution to this process.

The second part of Step 4, set out in 4.3 and 4.4, helps the local authority consider the requirements for future populations in addition to those required for the current population. It does this in two ways. In Step 4.3, there is a consideration of the likely impact on infrastructure, services and facilities from areas where population is being intensified. This might be through:

- Windfall sites
- Garden grabbing
- Redevelopment from a single house to an apartment development
- Sub-division of existing dwellings into multiple units
- Conversion of non-residential buildings into dwellings e.g. churches, pubs, banks, schools
- 'Areas of intensification' to be developed in DPDs

In every location where an additional unit is provided there is a requirement for more public services and facilities e.g. refuse collection, recycling, possible school places, library and health use. It is helpful as part of 4.3 if some assessment can be made of any locations where such intensification is likely to be more predominant and to discuss with service colleagues any implications of this. How many new dwelling units have to be created before a new refuse collection round has to be added, a new freighter purchased or additional services commissioned from the contractor?

In some parts of the country, this kind of population change and increase is a major and significant factor and these new dwellings will require support services and need to be considered as part of this process. As set out in Step 3, some of the provision may be able to be provided through existing capacity in services and facilities and the approval of greater numbers of dwelling units through this means might be a reasonable strategy to maintaining local services and facilities.

Where there are existing supply and capacity issues, then this needs to be considered as a critical part of the planning process including through development management.

In addition to population intensification, the Core Strategy may identify the need for additional housing sites that can only be provided through a strategic site allocation process. In this case the local authority is likely to go through a call for sites which can then be matched up with the Strategic Housing Market Assessment to identify appropriate locations and sites. Part of this evaluation could include the provision of services and facilities and where they are available to support this new development. In some cases, there may already be a number of facilities which would serve new populations whilst securing services for existing populations.

When Step 5 is reached there will need to be some consideration of the timing of the identification of these services and any additional requirements based on the application of the standard identified in 4.1. Although there may be a temptation to undertake a 'predict and provide' process for infrastructure for strategic sites there are other considerations which need to be made:

- When is the strategic site likely to come forward for development?
- If this is later in the period there needs to be some consideration of the way that the delivery of public services may change over a ten year period e.g. in health there is currently a major switch to primary provision which will have long term implications for hospital provision. This could change again in this period.
- What facilities already exist in the area? How well are they likely to be used when the development comes forward? How does this fit with more localised demographic change?
- Are neighbouring authorities planning any infrastructure investment that would support this development?

At this stage, the identification of factors to be included in the assessment of deficits is what is required and it may be useful to work through a couple of examples with the authority as part of the regular meetings with them. When this occurs will depend on their progress through the Steps.

Time likely to be taken

4.1 is likely to take four months to establish and collect information on standards. In practice information on standards is likely to continue over time. It is expected that this will be front loaded in the period.

4.2, 4.3 and 4.4 are likely to take 2 months once the work on standards is underway and available.

Dependencies

Stage 5 is dependent on Stage 4

Stages 4.2, 4.3 and 4.4 are dependent on 4.1

Key Output

- Identified service delivery standards for public services in the area with evidence underpinning; these service standards identify the minima that the Council, is seeking to attain for the community in the whole area although they vary by location and geography
- Service standards can also include sustainable building standards e.g. the application of whole life costing to investment
- The application of the standards to the baseline (which can be identified in part from NI 175); it is helpful if this is on a GIS
- The application of these standards to
 - Baseline population as identified in JSNA
 - Intensified population
 - Additional population on strategic sites
- Identification of deficits in all three phases

Type of preparation likely to be required includes

- developing a process to establish standards
- the development and delivery of a standards workshop with colleague service providers and/or the LSP partners
- Developing supporting mechanism for the capture of this information on standards
- A facilitated session with service providers to support the development of the process

Materials and resources

Powerpoint and templates will be provided as models for use locally

See Steps Approach and above

STEP 5 IDP Infrastructure Delivery Planning

General introduction

Step 5 is the major focus on the Steps Approach and the work in preceding Steps have been focussed on preparing for this process. In 5.1, the development of the infrastructure evidence base commences and it starts with the use of the material that has already been collected in Step 3. As soon as the collection of information in Step 3.2 has commenced there is no reason why it cannot start to be entered into the first five year block of the Infrastructure Delivery Programme. This process may also identify longer term schemes and where these have a reasonable prospect of funding they can be included.

There will need to be an assessment and the development of a schedule for those items of infrastructure which are deemed to be required through the application of the baseline and the standards but which are not yet funded. This might apply to any kind of facility or area and also may apply to strategic sites. It is suggested that this schedule of needs is developed and located in the Sustainable Community Strategy as part of the longer term delivery approach. It

may be provided to the Inspector as evidence that will support the delivery strategic that will be in the Core Strategy (see 6.2).

The introduction of an assessment of viability is an important consideration in this stage of the process and is set out in 5.2. Planning Inspectors now have the opportunity to have RICS viability assessors and advisers to support them throughout the examination process from submission to report so the local authority is likely to want to pay some attention to this element of the process. Provision of advice on the likely viability of any identified infrastructure can be provided from:

- Internal property and finance advisers
- External consultants
- Can be procured from another authority
- Can be procured jointly with other authorities or agencies

The need for Sustainability Appraisal is because the Infrastructure planning and delivery process will result in decisions about 'plans, projects and programmes'. the way in which this can best be undertaken will need to be included within the project plan.

Time likely to be taken

This is likely to take up to nine months to establish the approach, process and to being to obtain some result. Some parts of the process, such as completing the investment commitment component of the infrastructure schedule can be achieved relatively easily and can be started early on as part of Step 3. This will need to be shown on the GANTT chart or programme at the outset. Decisions about the way in which viability assessment can be provided or procured can also be considered early in the process it may take a period of time to organise particularly if it is to be procured externally or with others.

Dependencies

Step 5 is dependent on the work that has been undertaken in Steps 2-4. Steps 6 and 7 are dependent on Step 5.

Key Output

The key output for Step 5 is likely to be:

- Infrastructure delivery schedule
- The adoption of the infrastructure categories to be used as subsets of social, environmental and physical infrastructure requirements
- The adoption of spatial scales within which the infrastructure projects and requirements are to be recorded – may relate to GIS and other data sets or the use of sub authority areas such as parishes or neighbourhoods

Type of preparation likely to be required includes

- Developing an approach and process to stage 5 as part of the overall project planning
- Identifying early on the likely approaches to providing viability advice and working on ways to take this forward. This might be through discussions

with other authorities, developing a consultant brief, having internal discussions with potential providers of this advice

- Developing approaches to recoding information and how the way that this is recorded including categories, addressees etc
- Supporting decisions on what is an agreed scheme including – how is ‘reasonable prospect of funding’ to be defined locally?

Materials and resources

- Templates and materials already provided on www.pas.gov.uk
- Additional materials may be provided if needed
- <http://www.homesandcommunities.co.uk/economic-appraisal-tool>

STEP 6 Validation

General introduction

The validation of the Infrastructure Delivery approach is an important part of the whole process and is critical in ensuring that what has been set out is

- Credible
- Useable
- Inclusive
- Owned by service users and partners
- Sound
- Supports the achievement of the local vision as set out in the SCS, LAA and assessed through CAA

Step 6 consists of three main components. 6.1 reminds you that the infrastructure planning approach and requirements will need to be subject to some form of public consultation that may be part of the LDF process but could also be undertaken as part of an SCS review, specific service reviews or parish/neighbourhood plan approaches.

The development of an infrastructure delivery strategy is an important component of the whole LDF process. The strategy will need to be included in the Core Strategy or any other DPDs, which will all be including a delivery element as shown in 6.2. The key components likely to appear in the Infrastructure Delivery Strategy are set out in the Steps approach and include much of what has been established through the process here. Not all elements may be available but in the Infrastructure Delivery Strategy there needs to be a clear mix of these methods and a narrative of how they will work together including:

- Establishment of infrastructure delivery sub-group
- Links to the LSP
- Approach to strategic sites
- Provision of an evidence schedule for infrastructure which has a ‘reasonable prospect of funding’ in five year tranches – the first five years is expected to be more fully developed
- Provision of an evidence schedule of what is required but not yet funded
- Approach to keeping these requirements up to date and under review

- AMR
- Development management policies set out in an SPD or DPD that can demonstrate how delivery will be progressed
- Policies for developers contributions set out in a DPD or SPD
- Infrastructure delivery officer post
- Major land owners forum

A risk assessment is set out in 6.3 and this is also part of the delivery approach and meeting the Tests of Soundness. In this, the authority needs to consider what would put their delivery approach at risk and then set out a risk assessment using a high/medium/low or RAG (red/amber/green) reporting system. This could all be placed on a risk mitigation table as commonly used in project and programme planning.

Time likely to be taken

With pre-panning as part of the whole project, Step 6 should take up to six weeks.

Dependencies

Step 6 is dependent on Steps 1-5 and is a requirement for Step 7.

Key output

Infrastructure Delivery Schedule

Type of preparation likely to be required includes

- identifying consultation approaches – particularly as part of a more joined up approach with others
- considering the key components of the Infrastructure delivery Strategy
- developing the risk assessment

Materials and resources

- Powerpoint and templates to be provided in addition to existing available material
- The PAS Project Management module might be useful to support this process

See above, Steps Approach and other material on www.pas.gov.uk/infrastructure

STEP 7 Delivery

General introduction

Step 7 describes the outcome of the LDF Core Strategy or DPD and is an important part of the process. As 7.1 sets out, the delivery process needs to be proactive and kept up to date. In some areas it may be adequate to review the infrastructure delivery and any possible change in requirements annually as part of the Annual Monitoring Report (AMR) as set out in 7.2. In other local

authorities where significant growth and change are occurring it may be necessary to have a quarterly process of review.

The approach of Step 7 is also one that promotes transparency and public engagement in the process. The Steps Approach suggests publishing progress on major schemes on the council's web site and also having web cams and viewing points for major schemes which are frequently very popular.

Time likely to be taken

Both the activities in Step 7 are likely to be on-going throughout the whole process although they are likely to receive a considerable boost after a sound plan has been adopted. However, those wishing to develop do not wait for LDFs to be approved and the development of the work in Steps 3, 4 and 5 may support decision making for capital projects from all sectors. There is therefore no specific time allocation for Step 7 and the assumption is that it will be on-going throughout the process.

Dependencies

Step 7 is dependent on the preceding steps

Key Output

- Delivered infrastructure plan
- Demonstrative outcomes for communities
- Understanding of scale of local investment
- Understanding of where more intervention may be required to deliver identified deficits
- Coordinated and aligned public sector investment programmes
- More targeted developers' contribution
- Annual report on infrastructure investment
- Monitored outcomes through AMR
- Updated infrastructure requirements as required to meet flexibility test

Type of preparation likely to be required includes

During the year in which the Steps approach is implemented it is likely that there will be occasions when development or decisions will come forward outside the process that is required for the LDF. The local authority will need to develop a reasonable approach to these situations which are far as possible are consistent with the approaches that the authority is taking on infrastructure planning and delivery

Materials and resources

No specific materials will be supplied for Step 7.