



Successful transport decision-making

A project management and stakeholder engagement handbook

Throughout Europe, there are a number of promising and innovative concepts for sustainable local and regional transport schemes. These concepts range from cycling projects to new forms of vehicle use and ownership, from city wide pricing schemes to innovative 'soft' measures for mobility management. The aim of all these concepts is to achieve a reduction of car trips or a change in the modal split towards sustainable transport modes.

Decisions in transport planning are embedded in a world of various and competing interests and have to address multiple needs. Solutions to these complex and important questions are not easy to achieve. In the future, as the complexity of modern life continues to grow, transportation problems will multiply, the range of technical solutions will increase, and public resources will decrease. As a result, the demands of the public and the various stakeholder groups to become involved in decision-making will become ever more insistent. Public participation in decision-making is increasingly accepted as 'living democracy'.

There is currently a lot of practical experience in developing and implementing sustainable transport schemes and the process of decision-making and implementation sometimes fails, due to the following:

- Politicians may not be willing to support a project, because they have doubts concerning the problems, the impacts and sustainability of solutions or the acceptance by citizens or stakeholders.
- Managerial mistakes (such as an underestimation of the complexity of the project or the running out of resources) may lead to a delay or disruption of the project.
- Citizens, institutions or organisations may start campaigns against the selected concept, the decision process itself or the outcome.
- Local legal provisions may prevent the implementation of an innovative transport measure or complicate its funding.

As a result of this, promising transport projects are often watered down and replaced by less ambitious measures, or they suffer considerable delay or even cancellation.

Thus, sound project management and an engagement strategy are vital and should lead to better decisions. These decisions will meet the needs of more people, last longer and lead to a broad acceptance of local and regional transport schemes. Good project management and stakeholder engagement do not necessarily guarantee overall acceptance of a decision since different groups of stakeholders will still have different priorities and concerns. But involving stakeholders and the public, means that concerns can often be addressed and met early in a project planning process, when changes may be easier to make, rather than later in the process when small changes may cost both time and money.

Interest in improving project management and public participation in transport schemes is apparent all over Europe. Therefore, the European Commission has supported the GUIDEMAPS consortium to identify and study good practices, procedures and tools to improve policy decision-making and achieve sustainable mobility throughout the European Union, by overcoming barriers and delivering better policy outcomes.

This handbook is the main outcome of the GUIDEMAPS project and gives a practical overview of good practice in stakeholder engagement, public participation and project management for local and regional transport projects. Among the tools and techniques presented are those that are already well known and well accepted, but there are also a number of tools that are relatively new for the transport sector in Europe.

The GUIDEMAPS handbook:

- Contains ideas for creating a participation strategy;
- Gives an opportunity to exchange experiences and information in consultation and public participation; and offers an opportunity to build a 'culture of stakeholder engagement and public participation' for the transport sector;
- Paints a colourful picture of the present situation with regard to transport decision-making and offers a wide variety of options for the better acceptance of transport projects; and
- Gives very practical advice with examples from a wide range of projects in Europe.



I hope that this handbook will provide a contribution for a better implementation and acceptance of sustainable local and regional transport schemes.



Eleni Kopanezou
European Commission
Directorate-General for Energy and Transport
Head of Unit 'Clean Transport & Sustainable Development'

This communication does not constitute any formal commitment on behalf of the Commission.

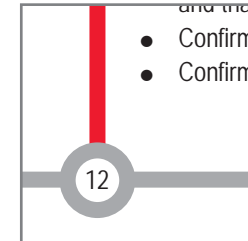
To follow a link:

1. Select the 'hand tool'  a zoom tool, or a selection tool.
2. Position the pointer over the linked area on the page until the pointer changes to the hand with a pointing finger . Then click the link. There are many links located throughout the document so hover the 'hand tool' over the page and when the 'pointer hand' appears, click and you will go to a new page.

To go back to previous view

Where ever there is a page number in a circle, by using the HAND tool, you can click here to 'go back to previous view'.

This will take you to the last screen that you were viewing. Should you become lost, click on the 'Vol Table of Contents' and find your place again from here.



To use the Adobe Acrobat 'Menu Bar'

You can also access this CD by using the menu bar at the top of your screen.

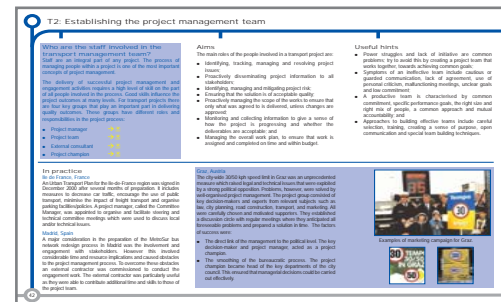
For further instructions for use, go to your menu bar and click:

- Help; then
- Acrobat help; then
- Contents; then click on
- 'Looking at the work area' Page 12, here you will get information on using the menu bar and its tools.

The 2-page layout

All GUIDEMAPS documents are designed as 'facing pages' (see example below). To view the facing page, use the HAND Tool to go to NEXT page.

If you would like to view this in a 'printed version' you can do so from the GUIDEMAPS Library pages of this CD.



Navigating through Volume 1

Next

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Specifically in Section 3 - Tools

The 'fact Sheet' button

T1: Preparing for project management

Preparing for project management

There are many circumstances that can trigger the need for transport project, such as the legal requirement to update a local transport plan, or a particular event (e.g. a new football stadium) that might necessitate new transport infrastructure.

Certain projects can be generated by professionals such as officers (top-down approach), or by other stakeholders such as citizens initiative or a non-government organisation (bottom approach). The first step in the project management process is formation of a group of actors that agree to take appropriate action to address the issue.

- Developing a work plan
- Developing an organisational structure
- Management of information

By clicking on the 'Fact Sheet button', this will take you to specific details about the use of this technique.

The 'In Practice Section'

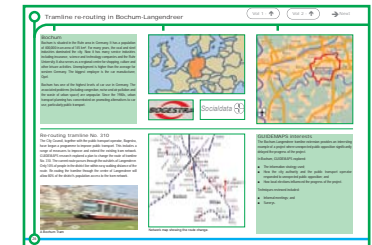
In practice

Brno, Czech Republic

The Department of Land Use and City Development and the Transport Research Centre in Brno have prepared a project strategy for the revitalisation of Mendel Square in Brno. The project strategy involved creating a project team, preparation of background materials, creation of alternative solutions, information and media strategy, engagement strategy, decision-making and project evaluation. This project strategy was helpful to restart the revitalisation project and involve stakeholders in presenting a realistic project to the City Council.

Essex, England

Essex County Council, which borders London, looked at building two new roads on the A120 and A130 to by-pass communities and relieve congestion. The work plan was to compare the effects of varying degrees of engagement and GUIDEMAPS was used to prepare an engagement strategy for the A120. The main aims of the project were to improve the environment for the by-passed communities, slow down traffic, improve safety and improve conditions for other forms of transport.



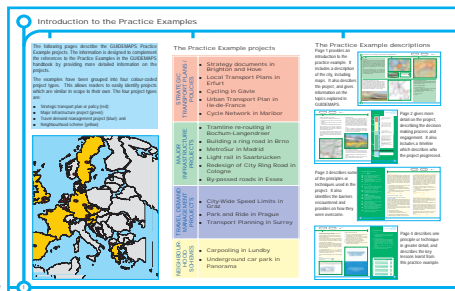
By clicking on the area name that is highlighted in blue, this will link you directly to more details on the Practice Example and how the area has applied the tool.

Navigating through the 'Practice Examples'

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Introduction to Practice Examples

The introduction to practice examples explains the classification of examples. This page also links you to each of the examples by using the HAND tool to click on an area.



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Linking to Tools in Vol 1



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Linking to Fact Sheets in Vol 2



Where ever you see this button, you can link to the 'fact sheet' that is being described.

A summary of the tools and fact sheets used

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| | Engaging selected stakeholder groups | ➔✖ |
| | Marketing strategy | ➔✖ |
| | Printed public information materials | ➔✖ |
| | Information events | ➔✖ |
| Fact sheets | Opponents | ➔📄 |
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| | Institutional/legal/financial barriers | ➔📄 |
| | Questionnaire surveys | ➔📄 |
| | Exhibition | ➔📄 |
| | | ➔📄 |
| | | ➔📄 |

In each of the Practice Example area descriptions, a summary table is provided of all the 'tools' and 'fact sheets' that have been described for this example. You can use the HAND tool to click to each 'tool' or 'fact sheet'.

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- Section 1 - Introduction ➔
- Section 2 - Decision-making concepts ➔
- Section 3 - Tools ➔
- Section 4 - Glossary and bibliography ➔

Volume 2 - ➔ Fact sheets

- Fact sheets - project management ➔
- Fact sheets - engagement ➔

GUIDEMAPS Practice Examples

Here you will find summaries of work undertaken with 16 GUIDEMAPS **areas**. These Practice Examples will 'link' you to theory outlined in Volume 1 and 2.



GUIDEMAP Library

Here you will find three things:

1. Colour copies of Volume 1, Volume 2 and GUIDEMAPS Practice Examples that can be downloaded for printing. ➔
2. Black and white copies of Volume 1, Volume 2 and GUIDEMAPS Practice Examples that can be downloaded for printing. ➔
3. Access Database Reference 'Library' of resources useful in project management and engagement. ➔



- Click on the arrow to be taken to your area of interest

1 - Download Colour documents to print

Volume 1: Concepts and Tools →

Volume 2: Fact Sheets →

GUIDEMAPS Practice Examples →

2 - Download Black and White documents to print

Volume 1: Concepts and Tools →

Volume 2: Fact Sheets →

GUIDEMAPS Practice Examples →

GUIDEMAPS Reference Library

The library includes all literature references collected during the in-depth literature review undertaken as part of the GUIDEMAPS research project. **You will need 'Microsoft Access'.**

Here, these are categorised into country specific examples and are referenced to resources available in different languages.





Successful transport decision-making

A project management and stakeholder engagement handbook

Volume 1: Concepts and Tools

Successful transport decision-making

A project management and stakeholder engagement handbook

VOLUME 1 - Concepts and Tools

Concept and layout:

Jo Kelly (UoW-TSG)

Editors:

Jo Kelly (UoW-TSG)

Tim Grosvenor (UoW-TSG)

Peter Jones (UoW-TSG)

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Handbook prepared by the GUIDEMAPS consortium

Authors:

Jo Kelly (UoW-TSG)

Peter Jones (UoW-TSG)

Franz Barta (Socialdata)

Reinhard Hössinger (Boku-ITS)

Andreas Witte (RWTH-ISB)

André Christian Wolf (RWTH-ISB)

Co-Authors:

Klaus J. Beckmann (RWTH-ISB)

Andy Costain (PTRC)

Erhard Erl (Socialdata)

Tim Grosvenor (UoW-TSG)

Albin Keuc (MCN)

Joanna Machin (UoW-TSG)

Julie Raffailac (DREIF/DIT)

Gerd Sammer (Boku-ITS)

Victoria Williams (UoW-TSG)

With contributions from:

Julian Sastre Gonzalez (SENER)

José Dionisio González (CRTM)

Maria Grigoriadou (AUTH)

Panos Papaioannou (AUTH)

Petr Pokorný (CDV)

Zdenka Šamánková (MMB)

Nigel Green (Brighton & Hove)

The GUIDEMAPS consortium

Project Coordinator:

RWTH-ISB

Institut für Stadtbauwesen und Stadtverkehr, RWTH Aachen (D)

Contractors:

UoW-TSG

Transport Studies Group

University of Westminster (UK)

Boku-ITS

Institut für Verkehrswesen

Universität für Bodenkultur Wien (A)

Socialdata

Institut für Verkehrs- und

Infrastrukturforschung GmbH (D)

PTRC

PTRC Education and Research Services Ltd (UK)

DREIF/DIT

Groupe Etudes et Stratégies des

Transports, Division des infrastructures et des transports (F)

AUTH

Aristotle University of Thessaloniki (GR)

CDV

Centrum dopravního výzkumu, Brno (CZ)

MMB

Magistrat města Brna (CZ)

SENER

Ingeniería y Sistemas S.A. (E)

CRTM

Consorcio Regional de Transportes de Madrid (E)

For more information about the GUIDEMAPS project and the consortium partners, please visit the project's website at www.guidemaps.info

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1. Introduction

1.1 This handbook - what is it for?

Local and regional transport schemes represent large investments for society and can have a significant impact on quality of life, health and the environment. Ensuring their appropriate design and successful implementation is therefore of major importance.

However, in practice the decision-making process may become weakly structured and incremental. For example:

- The idea for a sustainable transport project might emerge as a result of a political pressure;
- At first, politicians, planners and the public are enthusiastic about the idea;
- Then a complex analysis and design process is begun, and a detailed proposal developed;
- The proposal is presented to the public and to other stakeholders;
- Once the idea becomes a concrete proposal, this stimulates many objections and the opponents prepare their own report;
- Lengthy discussions ensue, leading to new proposals and to further rounds of discussion;
- Politicians avoid making a decision;
- The project runs out of time and money; and
- In the end, the project may be considerably delayed, or curtailed, or may even disappear into the waste paper basket - never to be seen again.

Does this scenario ring a bell? There are many such examples of cumbersome decision-making processes, all facing similar 'barriers', and it becomes clear that implementing a successful transport project poses a major challenge for the transportation community. Whether designing a new underground line for a metropolitan region, or a cycling scheme for a neighbourhood - all transport projects involve using a range of tools and techniques, within a given time period and budget, to meet both the general project objectives and the needs and interests of all the different stakeholders involved. Thus, well organised project management and stakeholder engagement are both crucial in making successful transport decisions.

In order to achieve this goal, it is necessary to enhance the knowledge and skills of transport professionals. This handbook seeks to help meet this need, in the areas of project management and stakeholder engagement. It not only presents a number of well-known procedures and methodological approaches, but also some new and innovative ones, which can facilitate the implementation of a good transport decision-making process.

The handbook is intended to encourage those European transport planners, decision-makers and interested citizens who are not familiar with project management and engagement procedures, to try out some of the tools and techniques in their own projects. But, at the same time, the handbook is also aimed at transport planners who already feel confident enough to use such methods, by encouraging them to think about making improvements in the way they run their projects, and further developing their methods.

This handbook is not designed to be prescriptive, but rather to encourage 'individual discoveries' and so enable the reader to apply appropriate project management and engagement tools to their particular situation - since there is no single 'miracle recipe' for successful transport decision-making. Generally, one characteristic of successful transport decision-making and implementation is that it is accepted by a large number of people and by the main stakeholders. Another is that it is completed within the agreed period of time and within budget.

It is therefore important to design a decision-making process in a meaningful and effective manner, supported by timely communication and by an efficient project management system. One that informs stakeholders about intentions, objectives and possibilities, takes account of different interests and perceptions of problems, develops alternative solutions in partnership, mobilises local skills and interests and develops realistic time scales and financial plans.

In order to achieve successful transport decision-making and contribute to sustainable transport in Europe, we not only need a creative approach to innovative concepts, but also to have the courage to try appropriate new methods for decision-making, implementation and stakeholder engagement.

1.2 Target groups - who is the handbook intended for?

The GUIDEMAPS handbook is designed to support transport decision-makers and designers in European cities and regions. It is primarily addressed at transport professionals working in local authorities or transport companies, but it is also aimed at other persons, groups and institutions who are directly involved or who participate in some way in the planning process associated with a particular transport project. All these groups comprise the various stakeholders of the transport decision-making process and include, for example, elected officials, community leaders, public transport operators, and also campaign groups, NGOs and interested citizens.

Transport professionals

The GUIDEMAPS handbook covers the core aspects of coordinating a transport project, from basic project management skills through to more complex and less familiar tools, such as how to run a community planning workshop. It outlines new tools and techniques, and explains which ones are best suited to different types of projects. It is illustrated with lessons learnt from the GUIDEMAPS Practice Examples from several European countries.

Elected officials

The handbook provides local politicians with an understanding of the complexity of issues faced when managing a transport project or running an engagement event. It also suggests how they could act as the 'project champion' for a promising sustainable transport project.

Elected officials may also gain inspiration from the descriptions of the Practice Examples given on the accompanying CD-ROM. These highlight innovative transport projects from cities and regions around Europe, outlining their successes and their failures. They show how local politicians can be crucial to the success of a scheme - and how, conversely, political apathy or disagreement can be major obstacles.

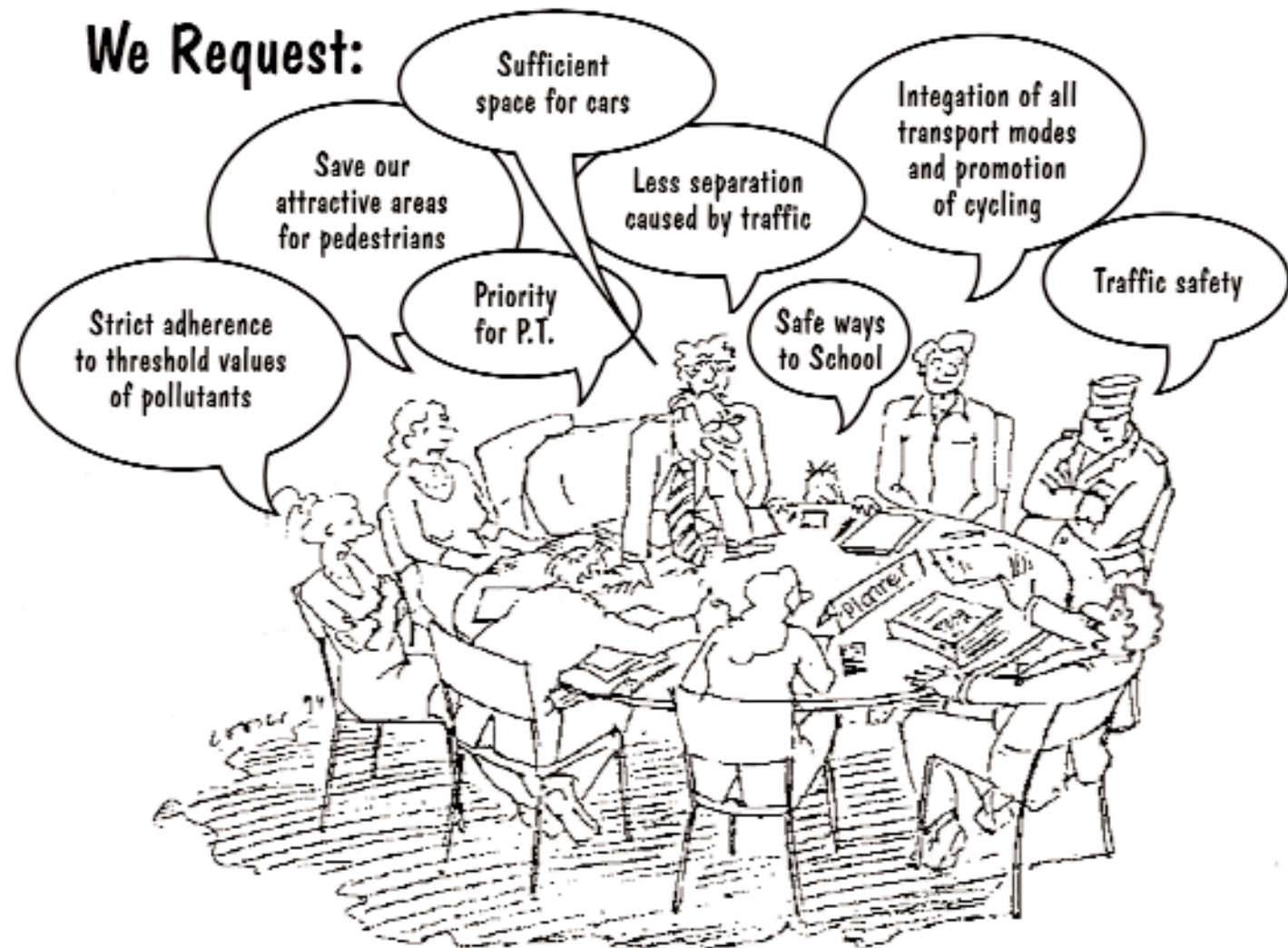
Business and community groups

These include public transport operators, businesses, community leaders, representatives of specialist interest groups, etc. They might have experience of transport projects, but be ready to learn something new; or they could be engaged for the first time in a decision-making process, and be keen to understand it better.

Campaign groups, NGOs and interested citizens

The handbook introduces 'non-experts', such as campaigning groups, NGOs and interested citizens to the concept of public engagement in the decision-making process. It illustrates what kinds of projects invite which types of input from members of the public. It also highlights ways in which people who are concerned or affected by a project can work with the local authorities, to make a positive difference to the future of their area.

This handbook shows how the inputs from these various stakeholder groups can be fed into the decision-making process, and how their comments and suggestions can contribute to transport policies and schemes, whether using a 'Planning for Real'™ exercise or by running a citizen jury. It explains the principles behind different project management and engagement tools, and outlines the benefits of each one.



Source:

Dietiker J. (1996): Auf dem Weg ins dritte Jahrtausend - gewandelte Rollen für Planerinnen und Planer. In: K. Selle: Planung und Kommunikation. Gestaltung von Planungsprozessen in Quartier, Stadt und Landschaft, Bauverlag GmbH, Wiesbaden & Berlin: S. 189-197.

1.3 The benefits of the handbook

- what does it include?

The handbook is designed to provide an easy-to-read, yet detailed guide to current practice and the latest research into decision-making and engagement processes in transport planning. It is a practical guide drawn from real life case studies, with tips on how to apply the lessons learnt.

To be useful and relevant to a wide variety of transport projects, the handbook offers a choice of methods and approaches, in the context of the objective of promoting sustainable transport. A particular emphasis of the handbook is on using stakeholder engagement tools and techniques to overcome communication barriers in the transport decision-making process.

Included in the handbook are:

- General principles for improving transport project management and stakeholder engagement;
- Descriptions of the most essential project management techniques;
- Descriptions of commonly used stakeholder engagement tools;
- Leading practice examples, giving advice on the application of the various tools and techniques;
- Indications of the relative costs of different tools and techniques;
- Suggestions about how to overcome problems and restrictions that might arise in the course of applying tools and techniques;
- Practical information on suitable combinations of tools and techniques, at different stages of the decision-making process; and
- Definitions of the most commonly used terms in a glossary.

In this way, the handbook aims to be easily accessible, relevant to most stakeholders, and adaptable to different situations and types of projects.

- what is not included?

Given the vastness of the subject area, the handbook is inevitably selective in its coverage. It is practice-oriented and does not, for example, concentrate on more theoretical analyses of topics such as new governmental styles, or social inequality. The handbook also excludes information about the classic and more 'technical' decision-support tools, such as benchmarking, cost-benefit analysis, multi-criteria analysis, and forecasting of future transport demand, as these subjects have been extensively documented elsewhere.

1.4 How has this handbook been developed?

The handbook is the main output of the GUIDEMAPS project, which was a three-year European research project that ran from 2002-2004. It had eleven partners from seven European countries, including both 'old' and 'new' Member States.

The researchers surveyed local authorities across Europe to identify problems and barriers, and the ways in which project management and stakeholder engagement are currently practiced. Next they examined a wide range of tools and techniques that might help improve project management and engagement, including an assessment of recent developments. They also studied what potential barriers stand in the way of an efficient and effective decision-making process, from legal to financial factors.

The handbook also draws on examples of good practice from twenty Practice Examples in sixteen European cities or sub-regions. These projects have been grouped into four broad categories:

- Strategic city-wide schemes;
- Major transport infrastructure projects;
- Major travel demand management schemes; and
- Local neighbourhood schemes.

For each Practice Example, four core areas were explored:

- How decisions were made;
- What barriers and factors for success were encountered in the decision-making process;
- How projects were carried out effectively in terms of project management; and
- How stakeholders were engaged in a successful way.

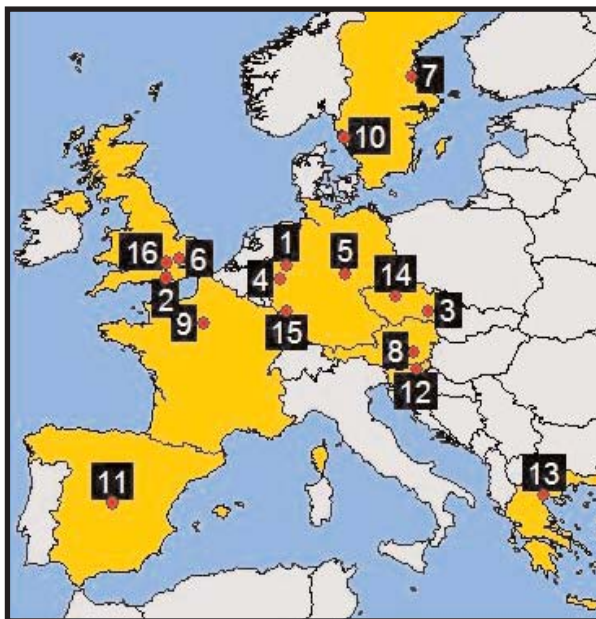
These form the basis of the GUIDEMAPS 'decision-making concepts'.

A draft of the handbook was then tested on six of the Practice Examples. These projects covered a variety of transport projects, at different stages in decision-making process.

In addition, the draft guidelines were also piloted, discussed and evaluated at a GUIDEMAPS workshop, to test the initial findings among transport practitioners. During this workshop, the draft handbook underwent a broad review by sixty participants, including members of the GUIDEMAPS consortium, GUIDEMAPS Practice Example Partners, and other researchers, consultants and members of local authorities in the field of transport planning from both 'old' and 'new' EU Member States.

As a result of this process, we have attempted to ensure that the handbook is based on broad practical knowledge and experience. We hope that it will be taken up more widely and that it will simplify and improve the handling of complex decision-making processes for sustainable transport projects in Europe.

GUIDEMAPS 'Practice Example' sites



- | | |
|-------------------------|--|
| 1. Bochum (D) | Tramline Re-routing |
| 2. Brighton & Hove (UK) | Strategy documents |
| 3. Brno (CZ) | Building a Ring Road Reconstruction of a square |
| 4. Cologne (D) | Redesign of a city ring-road |
| 5. Erfurt (D) | Local Transport Plans |
| 6. Essex (UK) | Newly by-passed roads |
| 7. Gävle (S) | Cycling Strategy |
| 8. Graz (A) | City-Wide Speed Limit |
| 9. Ile-de-France (F) | Local Transport Plan Improvement of Bus services |
| 10. Göteborg (S) | Carpooling |
| 11. Madrid (E) | MetroSur Redesign of bus network |
| 12. Maribor (SLO) | Cycling Network - Improvement of cycling plan Cycling Promotion |
| 13. Panorama (GR) | Underground Car Park |
| 14. Prague (CZ) | Park and Ride |
| 15. Saarbrücken (D) | Light Rail |
| 16. Surrey (UK) | Transport Planning |

1.5 Finding your way around the handbook

This handbook is divided into 2 Volumes and each different section of the document is colour-coded to help you find the information that you need. Volume 1 contains:

- Section 1 - Introduction (coloured yellow)
- Section 2 - Decision-making concepts (coloured red)
- Section 3 - Tools for 'project management' & 'engagement' (coloured blue)
- Section 4 - Glossary & references (coloured green)

Volume 2 contains 'Fact sheets' for 'project management' & 'engagement'. These are more detailed explanations of the tools in Section 3 and are colour-coded with orange and blue.

Additional information is provided on the CD-ROM which accompanies this handbook (see section 1.6 for more details).

This handbook is not designed to be read from cover to cover - you should be able to access the handbook according to your interest area and enter it at almost any page. Each topic area is cross-referenced to other sections which will direct you to related areas of interest. However, to gain easy access to the wide range of information presented in this handbook, it is suggested that you should:

- Read Section 2 - before tackling any of the practical detailed sections;
- Have a look at Section 3 - Tools for 'project management & engagement' which provides a more general overview of the detailed 'fact sheets' contained in Volume 2; and
- Use the 'Practice example summaries' provided in the accompanying CD-ROM as examples of tools and techniques that have already been applied.

1.6 What is on the CD-ROM?

This handbook is accompanied by a CD-ROM, on which you will find the following documents:

GUIDEMAPS handbook

The CD-ROM contains an electronic PDF-version of Volume 1 and 2 of the handbook. The handbook on the CD-ROM is linked both within the Volumes and to additional background information. For example, this will allow you to easily access detailed information on a certain 'Tool' or a 'Practice example' illustrating how this tool has been used in practice.

Practice examples

'Practice example summaries' of projects that have been involved in GUIDEMAPS are outlined on the CD-ROM. By clicking on the name of a project in Section 3 - 'In Practice' on the 'Tools' page, you can access more information on the example, including maps and photographs and a full description of the project and the way key decisions were managed. This description also includes more information on the tools and techniques used, any barriers which were encountered and a timeline of activities for the project.

GUIDEMAPS library

The GUIDEMAPS library is a database of resources providing relevant information on project management or certain engagement tools in more detail. It also provides relevant resources on project management and stakeholder engagement in other European languages.

Further information regarding the GUIDEMAPS project can be found on the following website:

www.guidemaps.info

Introduction

1.7 Structure of this handbook

Volume 1 - Concept and tools

Section 2 - Decision-making concept

This section is the starting point for improving your transport planning process. It explains the three concepts of the GUIDEMAPS handbook (barriers, project management and engagement) and describes how these concepts interrelate. It also places these concepts in a European context, by outlining the results of work undertaken in the GUIDEMAPS project.

This section of the handbook will give you an insight into why you should seek to improve the transport decision-making process and how you can begin to do this. It also outlines the key principles which define good project management and good engagement practices.

Section 3 - Tools

Each page in this section 'Tools' describes a group of related techniques - both for project management and engagement. These pages provide information which is common to the group of related techniques, such as aims and useful hints, and the barriers which may be encountered along with suggested solutions.

These pages also provide details of the different techniques within the group, giving brief details of any unique characteristics and providing links to Volume 2 - Fact sheets and to the CD-ROM for more information. The layout also includes an 'In Practice' section, which draws directly on the GUIDEMAPS practice examples to illustrate the use of the different techniques. A more detailed description of each 'Tools' page is provided at the beginning of the 'Tools and Techniques' sections.

Section 3.1 and 3.2

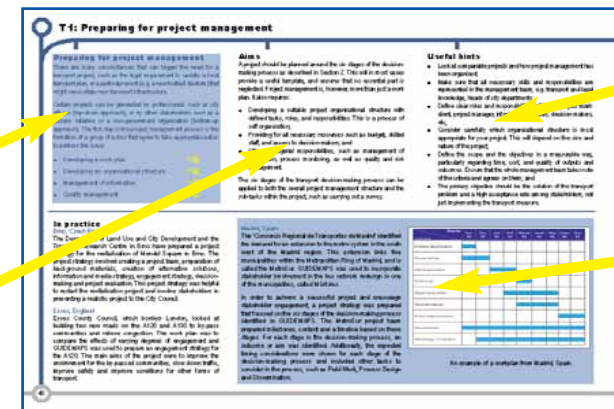
Project Management & Engagement Tools in closer detail

Example pages from Section 3 - Tools

Introduction to the group of techniques, including links to Volume 2 - Fact sheets and CD-ROM

Aims

Descriptions of individual tools and techniques



Useful Hints

'In Practice' outlining lessons learnt from GUIDEMAPS Practice examples



Problems which may be encountered when using this type of technique, and how to overcome them

Volume 2 - Fact sheets For Project Management & Engagement

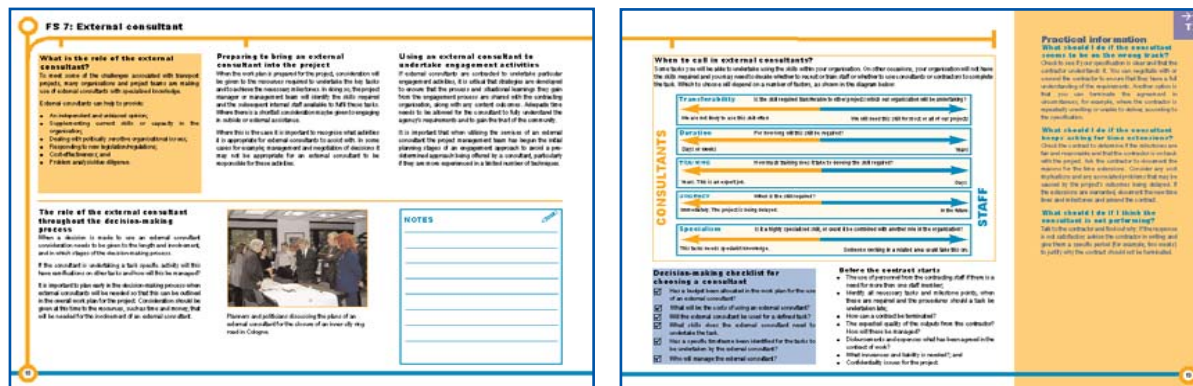
Fact sheets

You can link to a fact sheet for more information whenever you see this symbol 

Each fact sheet contains more information on an individual technique including:

- a description of the technique and the alternative ways in which it can be used;
- advice on when it is appropriate to use the tool and how it will affect the way you use the tool and the results you can expect;
- practical guidance on how to plan your use of the technique; and
- advice on how to evaluate that technique before, during and after it is used or a check-list of the key points to remember.

A more detailed description of the 'Fact sheet' layout is available in the introduction pages to Volume 2.



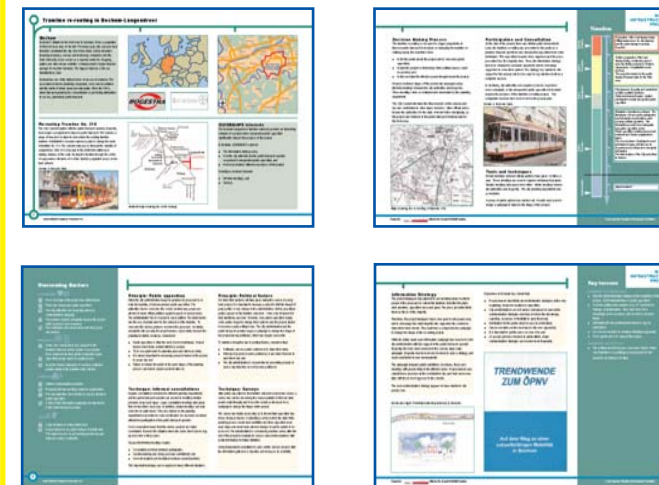
Example pages of 'Fact sheets'

More details contained on the CD-ROM

In Practice: Descriptions of the projects studied in GUIDEMAPS

On the CD-ROM, by clicking on the name of a city in the 'In Practice' section of the 'Tools' page in the handbook, you can link to more information on the example, including maps and photographs and a full description of the project and the way key decisions were managed. This description also includes more information on the tools and techniques used, any barriers which were encountered and a timeline showing how the project moved between stages.

A more detailed description of the practice example layout is available on the CD-ROM.



Example pages from the practice example descriptions.

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Section 2

Section 2 - Decision-making concepts

| | | |
|-------|---|----|
| 2.1 | Transport decision-making in Europe | 10 |
| 2.2 | Stages of the transport decision-making process | 12 |
| 2.3 | Key components of the transport decision-making process | 16 |
| 2.3.1 | Barriers in the transport decision-making process | 18 |
| 2.3.2 | Project management in the transport decision-making process | 22 |
| 2.3.3 | Engagement in the transport decision-making process | 26 |
| 2.4 | Elements of good transport decision-making | 30 |

2.1 Transport decision-making in Europe

Approaches to transport decision-making across Europe

The 'EU PROSPECTS' project has explored the use of different approaches to transport decision-making in Europe. Historically, these have varied across a broad spectrum, from the very informal to the highly rational/formal; the study team characterised these extremes as:

- The 'muddling through' approach, in which objectives are not formally specified, and decisions are only taken when necessary; or
- The 'rational/analytical' approach, which places an extreme reliance on data and formal analysis, often ignoring practical realities.

Neither of these extremes has proved very effective, and in more recent years has led to the development of a number of structured but more pragmatic approaches to decision-making:

- Vision-led decision-making: this is normally closely associated with an individual who has a clear view of the future for their city or region, and how this can be achieved.
- Plan-led decision-making: this is usually led by transport planning professionals. It follows a formal set of procedures, and can become divorced from the concerns of many stakeholder groups.
- Objectives-led decision-making: here the focus is on achieving high level objectives, and identifying problems and barriers that need to be addressed.
- Consensus-led approach: this involves the active involvement of various stakeholders, in an effort to reach agreement at each stage of the decision-making process.

In practice, most cities in Europe use a combination of these approaches, partly by intention and partly in response to changing circumstances.

Source: May, A.D. (2003) A Decision Maker's Guidebook from the PROSPECTS project.

The changing context of transport decision-making in Europe

The way transport decisions are made in different European countries is changing. While there remain important political and cultural differences, there is a tendency for more groups to become involved in the transport decision-making process.

These days, fewer decisions can be made exclusively by government agencies, and less public money is available for local authorities to implement transport projects. Private investors and operators are becoming more involved in public transportation projects, in new road construction, and in land use planning and building design. At the same time, the users, businesses and residents that are affected by these various projects demand a greater involvement in the decision-making process, as part of a move towards societies that are based on governance models of participatory democracy.

This has two general implications for the way in which transport decision-making is approached.

First, due to the growing complexity of the issues to be addressed in the course of designing and implementing transport projects, there is a requirement for improved and more flexible project management techniques.

Second, there is a growing belief that communities would support transport schemes more readily if they were more actively involved in designing them. They would better understand the need for the project and perhaps be more willing to accept compromises, and they would be able to suggest ways in which the proposals could be better adapted to meet their local needs. In short, they would 'own' the scheme, instead of regarding it as having been 'imposed' on them from above.

The underlying premise of this handbook is that there are a number of benefits to be gained if a transport project is well managed, and the relevant stakeholders appropriately engaged throughout the decision-making process.

The benefits of improved project management

Improved project management can help to achieve successful transport decision-making, by:

- Defining clear goals for a strategy or scheme;
- Establishing project priorities;
- Defining a realistic time schedule, helping to avoid costly unscheduled delays;
- Identifying in detail the resources required;
- Providing a clear organisational structure for the project and the responsible unit or department;
- Monitoring and evaluating both progress in the project's process and the project's outcome;
- Anticipating events and influences that could throw a project off course, such as local elections;
- Dealing with barriers that can arise during the lifetime of a strategy or a project; and
- Incorporating procedures for continuous dialogue between the project team and other stakeholders.

The benefits of stakeholder engagement

Stakeholder engagement can help to:

- Promote local solutions to local challenges;
- Uncover the 'hidden' knowledge of the community and identify their needs and key concerns;
- Provide new perspectives on the issues and problems that are revealed;
- Avoid legal action against a project by residents or other people with concerns;
- Reduce costs and delays to a project;
- Identify stakeholder concerns early in the planning process when changes may be easier to make;
- Create productive partnerships between the project team, local community, businesses, government and other stakeholders;
- Empower stakeholders and create a sense of 'ownership';
- Improve public acceptance of the project; and
- Create political credibility.

Who is involved in decisions?

In addition to the project team, there is a wide range of people and organisations that have an interest in a particular project and become involved, to varying degrees, in decision-making. These are known collectively as 'stakeholders'. They may have a professional interest in the project, they may be potential users of a scheme, or their environment or livelihood may be affected in some way by the implementation of the scheme; their opposition may make it very difficult to proceed with the project. Given the broad range of stakeholders involved, they are likely to have conflicting interests; this needs to be recognised and carefully managed as part of the engagement process. Stakeholders can be grouped under three broad categories: government/authorities, businesses/operators and communities/local neighbourhoods. Examples of each are shown in the table below.

| Government / Authorities | Businesses / Operators | Communities / Local Neighbourhoods |
|------------------------------|----------------------------------|------------------------------------|
| European Union | National Business Associations | National Environmental NGOs |
| Ministry of Transport | Major Employers | Motorist Associations |
| Other National Ministries | Regional and National Businesses | Trade Unions |
| Regional Government | Private Financiers | Media |
| Local Authorities | Local Business Associations | Local Authority Forums |
| Neighbouring Cities | Town Centre Retailers | Local Community Organisations |
| Local Transport Authority | Small Businesses | Local Interest Groups |
| Other Local Transport Bodies | Transport Operators/providers | Cycle/Walking Groups |
| Other Local Authority Bodies | Transport Consultants | Public Transport User Groups |
| Politicians | | Transport Users |
| Other Decision-Makers | | Citizens |
| Partnership bodies | | Visitors |
| Project Managers | | Citizens in Neighbouring Cities |
| Professional Staff | | Disabled People |
| | | Landowners |
| | | Transport Staff |

Table 1 - Typical stakeholders involved in transport projects

What are the different roles stakeholders play in decision-making?

Stakeholders can play one of three broad types of roles:

Decision-maker: this stakeholder makes the formal decisions regarding the project.

Technical expert: this stakeholder plays a part in the project design or delivery, perhaps providing resources, or a direct input to key stages (e.g. providing ideas for option generation).

Outside influencer: this group of stakeholders is diverse, and can influence opinion (e.g. the media) and often the consent of much of this group is required if the project is to be completed successfully.

Making good decisions

There is no simple recipe for making good decisions. The appropriate style of decision-making varies according to the particular situation. Experienced managers and teams know when and how to make decisions, based on a set of general principles and applying these in the context of an understanding of the local environment, the people and the priorities.

Decisions can be made by a variety of methods, which take into consideration such issues as time and other resource constraints and information availability.

To make more informed decisions regarding transportation issues, there is a need both for good project management and also the careful management of stakeholder relations.

Later in this section, principles for good decision-making are provided. By using these principles as a guide when managing a project, a more successful outcome should result.

A framework needs to be developed for each project to work within and one that provides a clear outline of how, when and who will make key decisions. Using this as a guide, both project team members and stakeholders can follow the process, being clear about the activities to be undertaken and the subsequent decisions that are made.

Based on experience drawn from a range of transport projects, GUIDEMAPS has defined a general six-stage transport decision-making process, that covers the main stages from project conception to completion. This process is outlined in the following pages.

2.2 Stages of the transport decision-making process

Stages of the process

The way in which transport decision-making is managed can be characterised as a six-stage process, from the identification of the problem or issue to be addressed, through the generation and assessment of options, and formal decision taking, to the implementation and subsequent monitoring and evaluation of the project (Figure 1).

These stages represent specific periods during which pre-defined types of work take place on the project. In each case, appropriate information is collected, resources are employed and outputs generated.

The activities associated with each stage of the project should not be undertaken in isolation, but in the context of the whole project, recognising the requirements of future stages and thus enabling the best overall solution to be developed.

By using such pre-defined project stages, it is possible to plan the current stage in detail, while taking into account linkages with remaining stages that are described in an outline plan of the whole project.

What will differ from one project to another is the kind of work undertaken for each stage, the nature and extent of the activities, the resources required and the types of stakeholders and decision-makers that are appropriate.

During each stage it is essential for the project management team to continuously review project resource requirements and costs. At the end of each stage, a key milestone is reached. Unless the agreed outputs have been achieved, usually in the form of certain key deliverables, the project team should not move on to the subsequent stage.

These key decision points serve to:

- Check that the project is still appropriate in its current form and that any possible risks are acceptable;
- Confirm its priority relative to other transport projects;
- Confirm the plans for the remainder of the project;

- Check that the project is meeting stakeholders needs; and
- Make a final decision about whether to continue with the project.

Particular types of projects may require the use of specific methodologies and the stages may vary in their detail. In transportation, such differences are particularly related to whether we are dealing with a strategy or a scheme.

This staged approach to the transport decision-making process provides a framework for the management of any type of project. As such it is flexible and provides project managers with the opportunity to tailor the process to suit the requirements of each individual project.

Any modifications to the generic, six-stage process should be justified at the outset of the project, in the project management plan.

Moving between the six stages of a transport decision-making process

The transport decision-making process does not usually follow the idealised linear sequence shown in Figure 1. In the course of a single project, it may be necessary to repeat one or more of the stages. There may be fewer, or in some cases more, stages to the project process.

In some situations, particularly for longer-term strategies and plans, the process will be cyclical; with monitoring and evaluation feeding back to a new stage of problem definition, to identify options to contribute to further improvements.

Examples of how these different project stages may be followed in practice are provided on the next page.

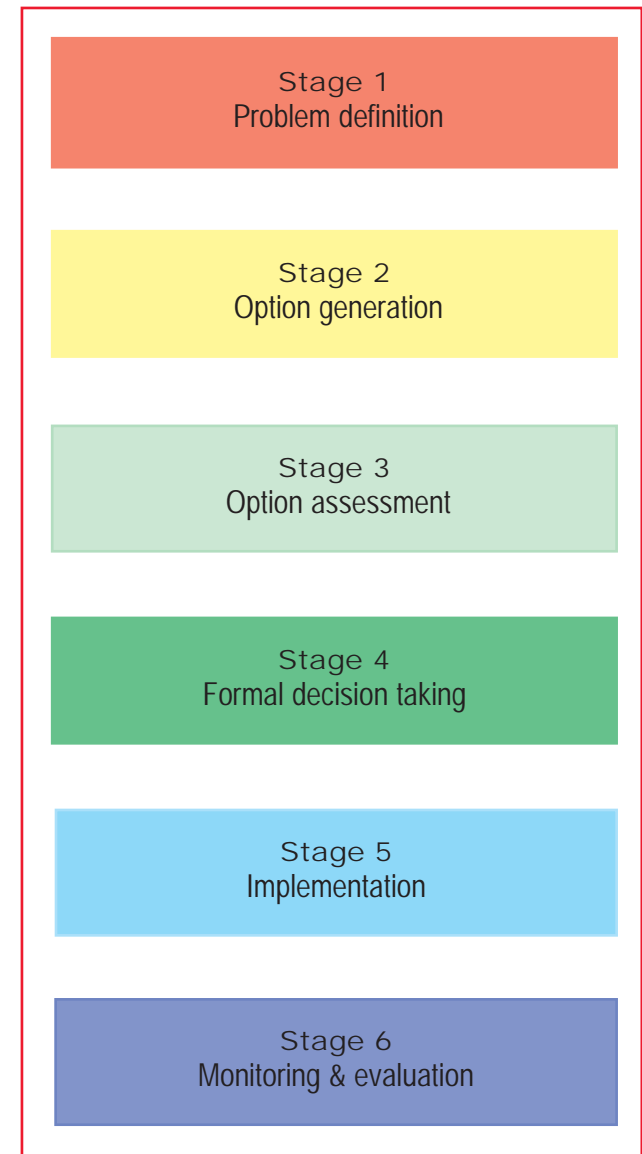


Figure 1 - The six stage process

DIFFERENT TYPES OF TRANSPORT DECISION-MAKING PROCESS



Linear process

A linear process is one that progresses through the six stages as previously described, in order, without repetition or overlap. It is a useful model, but in practice the project decision-making process is often more complicated, showing one or more of the characteristics described below.



Repetition of stages

It may be necessary to repeat stages in the project decision-making process. For example, failure to reach agreement at the final decision-making stage can make it necessary to undertake further Option Generation. This will also require further assessment of the strategies or schemes generated.



Parallel stages

In some cases, a project may involve several decision-making stages simultaneously. This is often the case for the final two stages, with Monitoring and Evaluation of the strategy's impacts being undertaken during Implementation. In the [Île-de-France](#) region, for example, a mid term evaluation of the Urban Transport Plan is planned while implementation of the various elements of the strategy continues.

Other stages can also be undertaken in parallel; for example, if the Option Assessment of some policies begins while other policies are still being developed.



Triggering a second process

Sometimes the development of one strategy will reveal the need for another related strategy. In [Erfurt, Germany](#), for example, the need for a second Local Transport Plan was identified before the first one had been implemented. This first plan, produced soon after reunification, established the general aims for urban transport planning in the city, while the second plan provided more detailed strategies covering different types of sustainable transport.



Cyclical or helical process

This is a continuous process, in which the outcomes of Monitoring and Evaluation are directly fed back into Problem Definition, highlighting the issues to be addressed by future policies and strategies. In GUIDEMAPS, we have focused on single projects, so the cyclical or helical nature of the decision-making process is not evident in the project timelines; but many of our practice examples illustrate strategies that are part of long term planning processes which build on past experience. Even where there is not a formal feedback process, lessons learnt by the project team will guide future decisions.

Relationship to project management

The introduction of a staged process or framework for carrying out a project can help to systematically identify all the necessary activities and project resources. It provides project managers with the opportunity to closely define key activities to be undertaken throughout the project's life.

The project management plan will be closely aligned to this framework. It will identify where key decisions need to be made and outline clear roles and responsibilities.

Relationship to engagement

The objectives and outcomes of engagement activities will depend on the project stage and on the techniques that are chosen. Engagement can have a significant influence on the project decision-making process. It can result in suggestions or solutions which enhance the ability of the project to proceed to the next stage, or it could require other stages to be repeated.

Certain barriers to the project decision-making process can be anticipated, avoided, alleviated or overcome by successful engagement with those who may be affected by the project. This is particularly true where there is a high level of public interest in the project.

Engagement may identify a potential barrier to the implementation of a planned project; for example, by revealing a high level of public opposition to an option preferred by planners or politicians. While this can significantly delay the project decision-making process, and increase the development costs by forcing a return to the Option Generation stage, it can avoid the higher longer-term costs of attempting to implement an unpopular, inappropriate or ineffective scheme.

The stages applied to transport strategies and schemes

Achieving the objective of providing sustainable urban transport first requires the development of appropriate policies and supporting implementation strategies, followed by the design and introduction of a number of schemes 'on the ground'.

Policy/strategy formulation entails a high-level decision-making process that in turn generates a series of scheme-specific processes, the outcomes of which collectively contribute to the success of the strategy as a whole.

The six-stage project decision-making process previously outlined is applicable at both policy/strategy and scheme levels, though with slight modifications.

A policy/strategy comprises a comprehensive programme of schemes and actions that are designed to achieve a set of agreed high-level objectives and targets. It might consist of a transport plan developed by a local authority (e.g. a 'Local Transport Plan') or a strategy for a particular transport mode or issue (e.g. a cycling strategy, or an air quality strategy).

A scheme involves the implementation of a measure 'on the ground', and can include:

- Major construction works, relating to the basic facilities and equipment needed for transport systems (e.g. light rail in a particular corridor or part of an urban area).
- Schemes that are both local in their extent and in their impact: for example, a traffic calming scheme or a roadspace re-allocation project along a shopping street.
- A scheme designed to reduce the volume or impact of motor vehicles over a significant part of an urban area. This could include major road closures and access restrictions, congestion charging, area-wide reductions in speed limits, and network measures to improve public transport.

An illustration of how the six stage process can be applied at both the policy/strategy and scheme levels is provided.

Stages in a transport policy/strategy

The next column describes the six stages in the decision-making process for transport policies/strategies, in the sequence in which they are generally undertaken. Most decisions or actions associated with developing a transport policy/strategy will fall into one of these six stages; as previously noted, some of these may be repeated.

There will generally be a progression from the first stage, when problems and issues are defined, through to the last stage, when the implemented strategy is monitored and evaluated; but the details of the project process can vary significantly from a simple linear model. Some examples of common deviations from this simple linear model have been provided in the previous pages.

Identifying the current stage that has been reached in the formulation of a policy/strategy can be a useful aid to identifying appropriate tools and techniques, for both project management and engagement, and can help to focus activities on the desired outcomes.

In practice

The GUIDEMAPS practice examples include five strategies:

- Strategy Documents in Brighton and Hove, UK;
- Local Transport Plans in Erfurt, Germany;
- Cycling Strategy for Gävle, Sweden;
- Urban Transport Plan in Ile-de-France, France; and
- Cycling Promotion in Maribor, Slovenia.

More information on the decision-making process for each of these policies/strategies is available in the Practice Example summaries on the CD-ROM. This information includes a timeline which illustrates the process that has been followed using the six stages described on this page.

Transport policy/strategy

Stage 1

Problem definition - This stage identifies a problem and defines the objectives of the policy/strategy designed to resolve it. It considers: what the problem is, where it is, what causes it, who is affected by it, what should be achieved and who has the responsibility to deal with it. Key performance indicators should be established, so the effectiveness of the strategy can be assessed.

Stage 2

Option generation - This stage involves the design and development of the policy/strategy, including generation of options (e.g. as part of a Strategic Environmental Assessment). It will include inputs from key stakeholders, organisations, local authorities and governments.

Stage 3

Option assessment - After alternative policies/strategies have been developed, a technical analysis should be undertaken of each option (e.g. using multi-criteria analysis) to determine to what extent each option meets the stated objectives and the targets set for the key performance indicators.

Stage 4

Formal decision taking - The decision is taken by the responsible institution (e.g. city authority), taking into account the views of stakeholder groups. This stage includes sign-off by the stakeholders, the provision of financial resources, and an implementation timetable.

Stage 5

Implementation - This will include a project management plan that sets out the detailed programme of activities and schemes, the profile of costings and other resources needed, as well as communication and marketing plans.

Stage 6

Monitoring and evaluation - This assesses the outputs and outcomes of the implemented policy/strategy. It includes procedures to monitor the technical success of schemes and their wider effects, any changes in public perception and travel behaviour, and evaluation of the strategy against objectives. Findings provide feedback on strategy performance and input into future policy/strategy development.

Stages in a transport scheme

This page describes the actions and decisions associated with a 'typical' transport scheme, under the six stages of the transport decision-making process.

Most schemes will pass through each of the six project stages at least once. The process begins with the detailed definition of the scheme, in terms of the problems it is designed to address, and ends with monitoring and evaluation, which in turn contributes to a broader assessment of the strategy or policy. Each stage varies in its requirements for project management, the nature of the key stakeholders and how best they can be engaged.

As previously noted, progress through the six stages may not be linear; stages may be repeated or the scheme may be in several stages at the same time. In other cases, a proposed scheme may be entirely rejected at the decision stage and never reach implementation.

In practice

The GUIDEMAPS practice examples include fifteen transport schemes:

- Tramline re-routing in Bochum, Germany;
- Building a Ring Road in Brno, Czech Republic;
- MetroSur in Madrid, Spain;
- Light Rail in Saarbrücken, Germany;
- City-Wide Speed Limits in Graz, Austria;
- Park and Ride in Prague, Czech Republic;
- Transport Planning in Surrey, UK;
- Carpooling in Lundby/Gothenburg, Sweden;
- Underground Car Park in Panorama, Greece;
- Improvement of Bus services in Ile-de-France, France;
- Reconstruction of Mendel Square in Brno, Czech Republic;
- Redesign of the Inner Ring-Road in Cologne, Germany;
- Improved By-passed Roads in Essex, UK;
- Redesign of Bus Network in Madrid, Spain; and
- Improvement of Cycling Plan in Maribor, Slovenia.

Transport scheme

| | |
|---------|--|
| Stage 1 | Scheme definition - This stage involves the detailed definition of the scheme, either based on the objectives and programme set out in a strategy, or from the direct identification of the problems or issues to be addressed. It includes the specification of requirements and the identification of constraints, as well as the selection of performance indicators. |
| Stage 2 | Option generation - Several options (e.g. different features or routes) need to be prepared in order to find an effective and efficient scheme, which maximises stakeholder support. Various tools can be used to aid professional creativity and stakeholder involvement in the option generation process. |
| Stage 3 | Option assessment - This involves the appraisal of options with regard to their potential impacts and cost effectiveness. Typically, this process assesses many characteristics, covering impacts on the local economy, environment and society. It includes a technical analysis of each option and an assessment of likely public acceptance. |
| Stage 4 | Formal decision taking - The decision is taken by the responsible institution (or delegated body for smaller schemes), taking into account the findings of the option assessment stage. It includes agreement on the preferred option, arrangements for when the project will be implemented and by whom, and the allocation of resources. |
| Stage 5 | Implementation - This includes all necessary preparatory and site work to bring the scheme to the point of operation. For infrastructure projects, final details regarding the phasing of construction must be agreed and authorisation for construction obtained. This stage can also include other tasks, such as the recruiting of operating staff, the promotion of the scheme, or an information campaign. |
| Stage 6 | Monitoring and evaluation - Data on the performance of the scheme is collected and analysed to determine whether the objectives have been met. This can lead to improvements in future scheme design and contribute to the evaluation of the strategy of which it has formed one part. |

Interaction between different policies/strategies

For any transport policy or strategy, it is likely that there will be some interaction with other strategies or policies, for example:

- Transport policies or strategies relating to the same area on a different geographical scale (local, municipal, regional or national strategies);
- Transport policies/strategies relating to other modes; or
- Policies/strategies relating to other issues, such as land use, the environment, energy use or social exclusion.

This interaction between policies/strategies is likely to influence the transport decision-making process.

Interaction between strategies and schemes

Most schemes form a part of a wider transport strategy or policy plan. The incorporation of a scheme within a larger, well-designed strategy or plan can ensure that individual measures are not duplicated or contradict one another, and can improve the likelihood of developing an integrated approach to transport. Also, finance for transport schemes is often allocated at a strategic level, and even separately financed schemes are likely to need to demonstrate their contribution to meeting strategic objectives in order to gain support.

As a result, the decision-making process of many schemes will be closely affected by any strategies to which they are associated. It may be that the influence of the strategy is only in the initial stage, in which the need for the scheme is identified. If the links are more extensive, for example if the scheme is to be financed through the strategy, then the relationship will be ongoing and will influence the timing of the progression between project stages.

Key components

Figure 2 illustrates the primary components that influence and facilitate the transport decision-making process, and the key linkages between them.

Project Management comprises the procedures and tools that are used to plan and administer each stage of the project process, from initial project conception through to implementation and project completion, including transitions between stages. Although - because of their importance to the process - Engagement and Process Barriers are identified as separate components, in practice they are subsumed within the overall project management process.

Engagement covers a wide range of tools that can be used to ensure appropriate stakeholder involvement in all stages of the project decision-making process. It includes deciding with whom to engage, when and how.

Successful transport project management recognises the potential barriers that may restrict the scope of the project or hinder project completion, and takes steps to minimise, avoid or mitigate their effects.

Barriers are of two types:

- Contextual barriers: which set constraints on the whole transport decision-making process, particularly at the definition stage, through institutional, legal and financial restrictions; and
- Process barriers: which arise in the course of progressing through the various stages of the transport project.

Both have repercussions on project management and engagement. They commonly arise as a result of conflicting interests.

The remainder of this section of the handbook examines each of these components in turn, and describes the various tools that are available to assist with each aspect of the transport decision-making process.

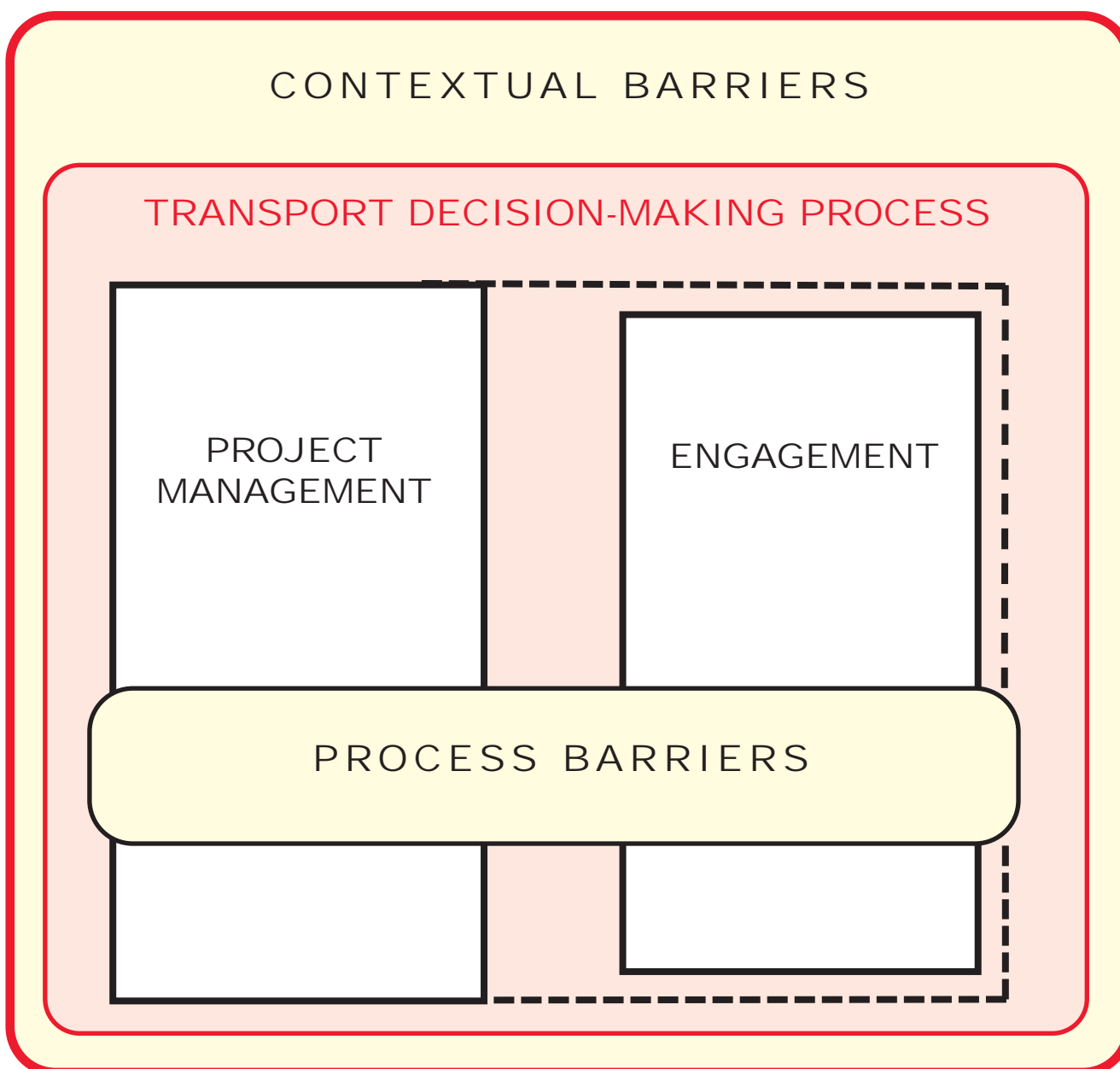


Figure 2 - The GUIDEMAPS transport decision-making process

(1) BARRIERS

The term 'barrier' is used to describe anything which restricts or causes the delay or cancellation of a project. Barriers can occur at any stage in the project process.

Some potential barriers can be avoided or accommodated through appropriate planning in the early stages; others will require intervention of some kind to enable the project to proceed to the next stage. The type of intervention will depend on the local context, the nature of the project and on the type and severity of the barrier encountered. The 'typical' barriers facing transport projects in Europe can be grouped into two broad categories:

- Contextual, which usually determine the 'initial conditions', and so set limits or constraints on what can be achieved (e.g. regulatory requirements or budget limitations); and
- Process, which arise in the course of the project and can be overcome by using appropriate project management or engagement tools.

CONTEXTUAL BARRIERS

Institutional  Legal 
Financial £ €

The means to overcome these types of barrier are beyond the scope of this handbook, and will generally be heavily dependent on the regional or national political context. However, this handbook does offer some suggestions for avoiding these barriers and for limiting their impact on the decision-making process.

PROCESS BARRIERS

Management  Communication 

This handbook provides more detailed advice on identifying, avoiding and overcoming barriers affecting management and communication, using project management and engagement tools and techniques. Similar types of barriers are often encountered in different parts of Europe.

(2) PROJECT MANAGEMENT

Through following systematic and organised procedures, project management seeks to accomplish a specific (and usually one-off) objective; for example, to solve a congestion problem where solutions such as improved public transport or schemes to manage vehicular traffic are introduced.

Project management requires the development of various sub-plans, which include defining project goals and objectives, specifying tasks or how goals will be achieved, and what resources are needed, with associated budgets, staffing and timelines for completion. It also includes implementing the project plan, along with careful mechanisms to ensure the plan remains on course.

(3) ENGAGEMENT

Engaging stakeholders in transport decision-making enables the project team to draw on specialised and local knowledge when defining a specific transport problem and generating suitable solutions. In addition, engagement is particularly valuable in ensuring that the implemented strategy or scheme delivers popular and sustainable solutions that will improve local quality of life.

The objectives and outcomes of the engagement exercises will depend on the project stage, the target stakeholder groups and on the techniques chosen.

Engagement exercises can be designed primarily to provide or collect information, or as an interactive, two-way engagement process.

2.3.1 Barriers in the transport decision-making process

Why are barriers important?

A barrier is any obstacle which prevents a project from being implemented, or limits the way in which it can be implemented. Barriers often arise as a result of conflicting interests. In the extreme, such barriers can lead to certain options being excluded and the resulting projects being less effective.

Five common types of barriers can be grouped for transport projects, and can be further grouped under two broad categories (illustrated in Figure 3):

Contextual barriers

- Institutional: problems arising from the distribution of competencies among institutions and administrative bodies.
- Legal: lack of legal powers to implement a particular measure, or constraints on how it can be accomplished.
- Financial: budget restrictions that can limit the amount and type of expenditure.

These barriers are heavily dependent on regional and national circumstances. Because of this, the handbook cannot provide detailed advice on techniques to overcome these barriers; it can only provide suggestions about ways to avoid and control potential impacts. It is important to identify contextual barriers at an early stage, and to limit their impacts through appropriate design of the project (e.g. contents of the project, project management structure or engagement strategy).

Process barriers

- Management: problems due to limited staff resources and skills, or unexpected delays experienced on a daily basis.
- Communication: problems associated with achieving acceptance by stakeholders, and with communication issues/challenges.

The project management and engagement tools described in this handbook offer a range of possibilities for handling these various types of barriers.

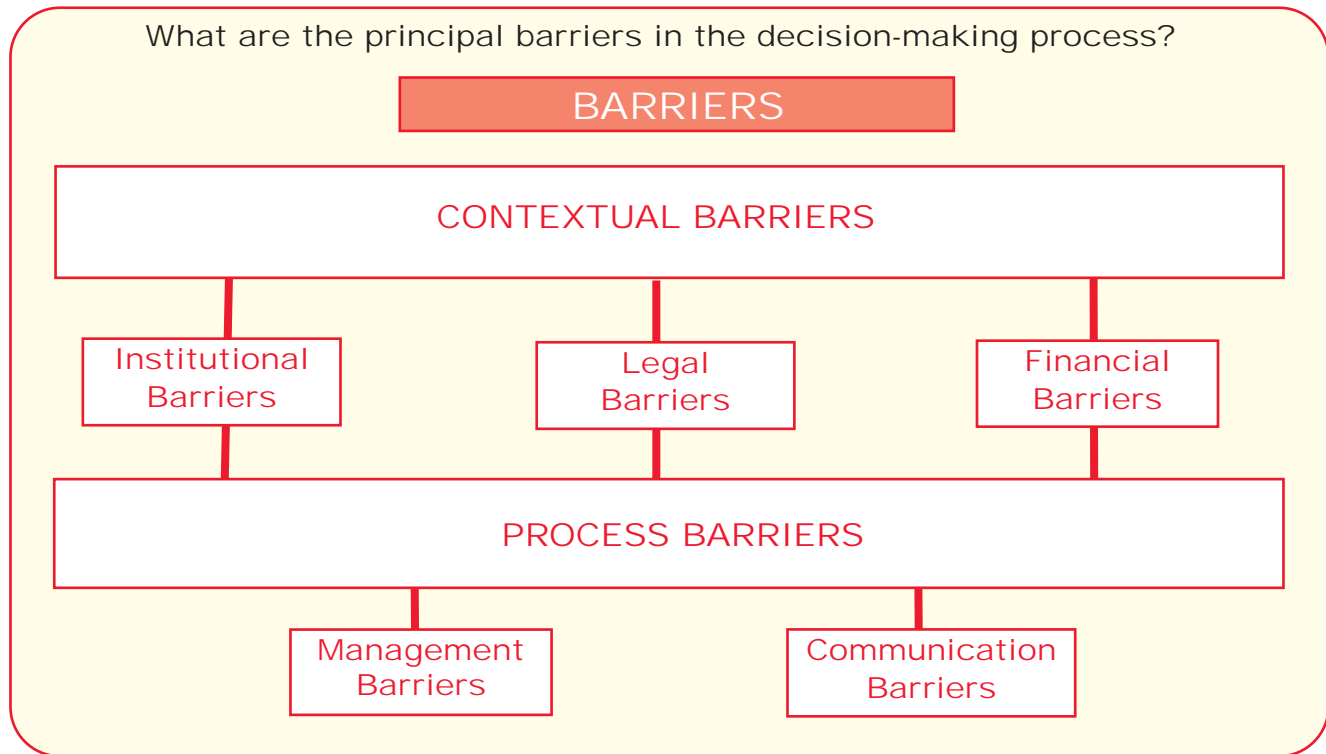


Figure 3 - Barriers to the transport decision-making process

Barriers can occur at any stage in a project and there is no universal approach to their resolution. Addressing barriers as a theme throughout this handbook allows a particular tool to be selected in the knowledge of the types of barriers that might be encountered during its use, and the ones which the tool might help to overcome. Thus, the role of each project management and engagement tool in addressing barriers and allowing a project to continue successfully is emphasised.

How can barriers be identified?

During the initial stages of planning a transport project, it is important to establish the constraints and context within which the project is designed and implemented:

- How much funding is available?
- Are there timing constraints?
- Do regulations limit how the task can be approached?

Once the project has begun, well designed monitoring should assist in identifying process barriers, such as: the work is behind schedule or over budget; the project is experiencing strong adverse media reaction, etc.

Conflicting interests between project partners, or with external stakeholders, can lead to management and communication problems. Understanding the objectives and concerns of stakeholders can help to identify such issues at early stage, or even avoid them.

INSTITUTIONAL BARRIERS

Institutional barriers affect the relationships within and between the institutions involved in a project, including:

- The distribution of competencies among institutions and administrative bodies;
- Changes in decision-makers during the project process;
- Internal conflicts; and
- Relationships between partners delivering the project.

Checklist for avoiding institutional barriers

- ☒ Have you identified which organisations will take responsibility for each task?
- ☒ Have you identified the individuals in each organisation who will be involved in the project? How will you contact them?
- ☒ Have you agreed how often meetings will be held and how they will be organised?
- ☒ Have you determined how each organisation will monitor its own progress? Who will monitor the progress of the project as a whole?
- ☒ Have you identified any differences or conflicts in working practices between organisations?
- ☒ Are you familiar with any procedures or processes which will influence your project?
- ☒ Have you identified who is authorised to make project decisions, to ensure that minor issues don't cause bureaucratic delays?

LEGAL BARRIERS

This category relates to barriers concerning regulations and legal decision-making processes, including:

- The lack of legal powers to implement a particular scheme; and
- Division of legal powers between agencies.

Checklist for avoiding legal barriers

- ☒ Are you familiar with the legal regulations associated with a project of this type?
- ☒ Have you checked the legal requirements for engagement or notification?
- ☒ Have you included any legally prescribed waiting periods in your project plan?
- ☒ Do you know when legal or political decisions on your project will be made? And who will make them?
- ☒ Have you ensured that decision-makers have all the information that they need to make an informed decision?
- ☒ Have you remembered to apply for any temporary permits required (e.g. for construction)?
- ☒ Before you submit your proposals, have you checked that they conform to all the latest planning guidance and building regulations?

FINANCIAL BARRIERS £ €

This category describes barriers relating to the funding of a project, including:

- Budget restrictions limiting overall expenditure;
- Financial restrictions on specific measures; and
- Limitations on the flexibility with which revenues can be used to finance the full range of measures.

Checklist for avoiding financial barriers

- ☒ Have you estimated the budget of the project in detail?
- ☒ Have you determined how you will monitor expenditure throughout the process?
- ☒ Have you planned what will happen in the event of over-spending? Will it still be possible to complete the project? Have you agreed who will meet additional costs if a contractor or supplier does not deliver on time?
- ☒ Have you checked all contracts carefully? Are all delivery or extra costs or charges included?
- ☒ Do you have sufficient funds to implement an appropriate engagement strategy?
- ☒ Have you ensured that funds will be available to cover the total cost of the project?
- ☒ Have you planned the cash flow, to ensure that the project will be able to meet costs as they arise?
- ☒ Have you met any conditions attached to the funding of the project?
- ☒ Have you established who will be responsible for meeting any extra costs incurred?

MANAGEMENT BARRIERS



This category includes any barriers relating to the way the project decision-making process is managed. This includes delays or difficulties associated with management of staff resources or skills, and general delays associated with day-to-day management of the project. Management is about ensuring that objectives are met effectively and efficiently, and many management barriers can be avoided or overcome through thorough planning and regular communication between project staff. Other management barriers, such as difficulties working with large groups and diverse organisations, are perhaps better treated as challenges. This situation requires special consideration, but with careful detailed planning and good coordination, the process can benefit the project by drawing on a wide range of skills and knowledge.

Checklist for avoiding management barriers

- ☒ Do you have clearly defined project aims and objectives?
- ☒ Have you identified the skills and experience required for your project?
- ☒ Do your staff have the skills and experience required? If not, have you determined whether you will need to train existing staff, recruit new staff or use consultants?
- ☒ Have you divided the work into smaller discrete tasks?
- ☒ Have you identified which organisation, department or individual will take responsibility for completing each task?
- ☒ Have you identified how long each task will take?
- ☒ Have you identified any tasks which must be completed before another can start?
- ☒ Have you determined what will happen in the event of a delay?
- ☒ Has your project plan been agreed with those responsible for individual tasks?
- ☒ Have you established a procedure for monitoring the progress on tasks, so that any problems or delays can be identified quickly?

COMMUNICATION BARRIERS



This category describes any barriers relating to communication, including delay or disruption to the project caused by; stakeholder or public opposition, by any communication, engagement problems or challenges. Public opposition can quickly threaten political and financial support for a project, as many politicians will be unwilling to be seen to support a project unpopular with their electorate. Public opposition can be worsened by unfavourable media coverage, so it is important to have a strong media strategy in place, and to be aware of any key issues which are likely to be raised by interest groups. Many communication barriers can be avoided or overcome by the appropriate use of the engagement tools and techniques described in this handbook. Early stakeholder engagement can help to ensure that the project design reflects their concerns, priorities and can improve acceptance of the project. It is important to manage stakeholder expectations of project outcomes and of the engagement process, or participants will feel that their views have simply been ignored, causing resentment towards the selected strategy or scheme.

Checklist for avoiding communication barriers

- ☒ Have you identified who your stakeholders are for your project?
- ☒ Do you know what the level of opposition is for your project? Do you know all of the reasons for opposition?
- ☒ Have you designed an engagement strategy for the lifetime of the project?
- ☒ Have you remembered to plan your communication with stakeholders such as politicians and interest groups, not just residents or users?
- ☒ Have you decided how you will encourage people to get involved or take an interest in the project?
- ☒ Have you decided how you will communicate technical information effectively to different groups?
- ☒ Is it clear how the outputs of engagement will influence the decisions which are made?
- ☒ Have you planned how you will manage people's expectations of the engagement process and of the project itself?
- ☒ Have you developed a media strategy? Have you got media skills in-house? Have you planned its timing and cost?
- ☒ Is there a single person responsible for contact with the media, to avoid contradictory statements? Have you established contact with the local media to make sure they know who to contact for accurate and up to-date information on the project?

Overcoming process and contextual barriers in practice

Contextual barriers

INSTITUTIONAL BARRIERS

In [Erfurt, Germany](#), authorities preparing the first Local Transport Plans after reunification were faced with unfamiliar planning procedures, legal uncertainty and new administrative structures. Sharing skills and learning from other cities helped these institutional problems to be addressed or avoided.

LEGAL BARRIERS

The project to complete the ring road in [Brno, Czech Republic](#) was delayed due to differences in the interpretation of the legal requirements involved in the Environmental Impact Assessment process. Communication with the Ministry of the Environment helped to clarify the regulations, allowing the project to proceed.

FINANCIAL BARRIERS

In [Maribor, Slovenia](#), a cycling interest group campaigned for a cycle network for the city and the issue won political and popular support. The city authorities were unable to finance the project. Instead, funding was sought from other sources, including local societies, tourist organisations and international organisations.

Process barriers

MANAGEMENT BARRIERS

In [Ile-de-France](#) an ambitious engagement strategy was put in place for the development of the Urban Transport Plan. Staff lacked experience in the new procedures and the large working groups presented a managerial challenge. Training workshops for managers and careful management of the process helped to overcome these barriers.

COMMUNICATION BARRIERS

In [Bochum, Germany](#), there was unexpected public opposition to the plan to divert the tram route to serve the centre of the district of Langendreer. This was worsened by unfavourable media coverage. The city and the public transport operator carried out a marketing strategy and revised the scheme in response to complaints.

How to overcome contextual barriers in practice

Institutional and political barriers

It is likely that elections will take place during the course of a long-term transport project. It is important to manage a project to limit the impact of party politics or any change in the administration; legal agreements can ensure stability, in some situations.

In Bochum, Germany at first, all political parties supported the tramline extension - some even included it in their manifesto, and were elected. However, once public opposition began to grow, some parties began to change their opinions and the project started to become a party political issue. The city administration and the public transport operator began a campaign to change the image of the project among politicians, which was largely successful. To minimise disruption due to political factors, remember that:

- Politicians can capitalise on public controversy to benefit their political situation;
- If transport projects become politicised, it can be harder to carry them out; and
- The city administration should present projects in such a way that they do not become politicised.

Legal and communication barriers

Lundby/Gothenburg, in Sweden, experienced barriers due to the term 'car share' not being defined in Swedish law. In practical terms, that means there can be no dedicated provision of parking space for car share vehicles. The project managers looked for an interim solution to this problem at the local level. A change in the law is needed for a long-term national solution, and lawyers are currently working on the issue, though progress is slow.

Legal issues can pose major barriers to projects. Innovative projects can lead to outdated laws being overturned, but changing the law takes a great deal of time. So it is important to explore alternative solutions.

What is project management?

Project management is concerned with the overall planning and coordination of a project, from inception to completion. It ensures that requirements of the decision-maker or commissioning body are met, by achieving completion on time, within budget and to the required quality standards.

Project management covers the whole transport decision-making process, and usually structures the project plan according to a six-stage project process outlined earlier (i.e. problem definition, option generation, option assessment, formal decision-taking, implementation, monitoring and evaluation).

The broad phases involved in implementing project management are summarised in Figure 4, and explained in more detail in the following three pages. At the outset of planning a project, it is important to begin with a scoping phase (A), in which the whole decision-making process is mapped out, starting with agreeing the project brief and objectives. Once the nature, scale and staging of the process have been determined, it is then time to establish and resource the core project team (B), who then carry out a more detailed planning and preparation phase (C), that includes the development of a series of specific plans and strategies. Only then is the project team ready to move into the active phase of running the project (D).

If these preliminary phases are skipped or abbreviated, it is likely that the decision-making process will not be organised in a very efficient or effective manner, and that process barriers are more likely to be encountered which will delay or disrupt the project.

Project management is often regarded as a specialist discipline requiring specific highly skilled professionals to undertake it. While this is true to a certain extent, a scarcity of 'project managers' should not be a barrier to any organisation in following the basic project management principles outlined in this handbook.

Broad phases in undertaking project management

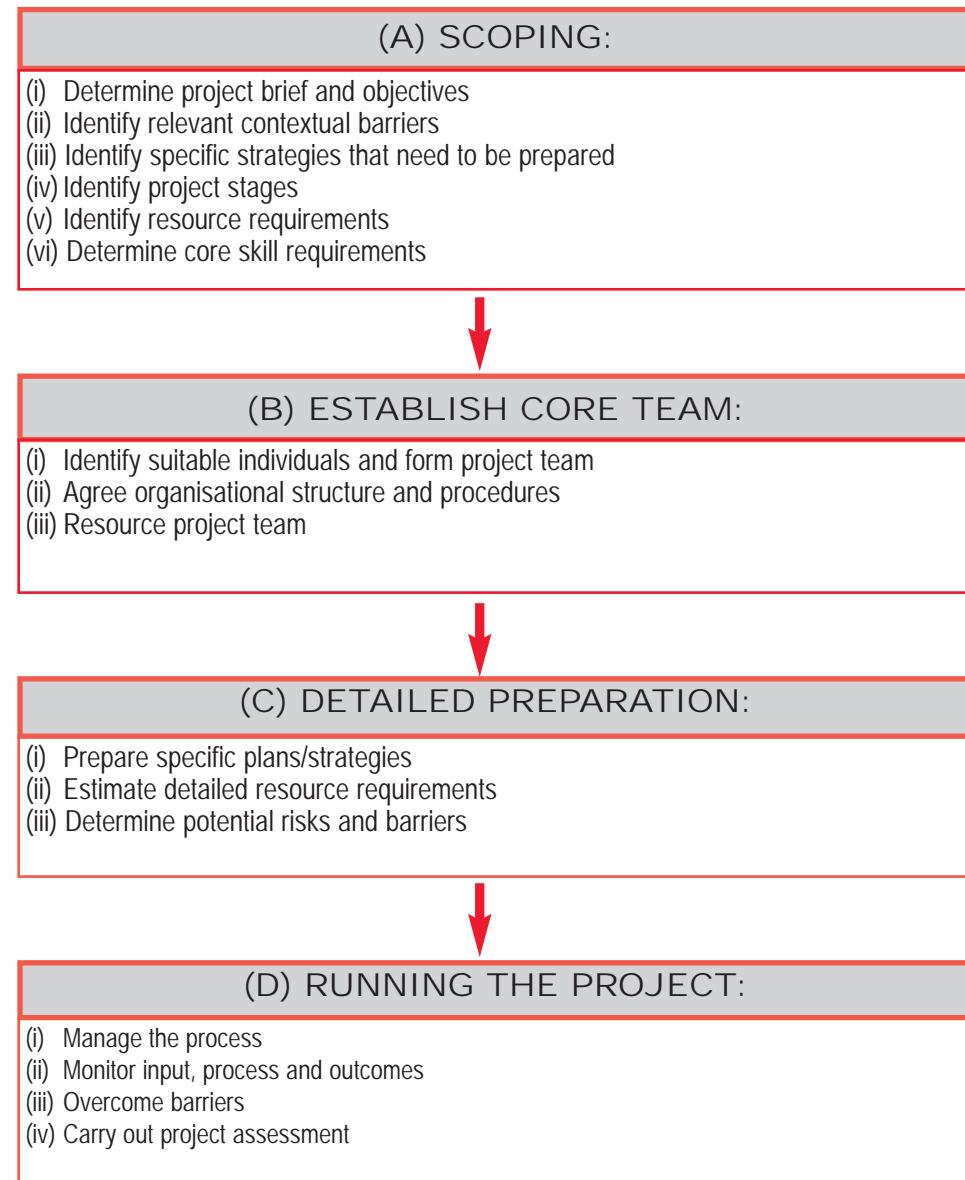


Figure 4 - Project management approach

(A) SCOPING**(i) Determine project brief and objectives**

The starting point is to determine the scope of the project and to turn broad goals and aspirations into a set of specific objectives and targets. This involves being clear about why the project is being established and what it seeks to achieve for various stakeholder groups. Where appropriate, this includes taking account of other projects (i.e. strategies or schemes) that are related in some way to this one.

Armed with this information, it is possible to prepare an initial project brief, that provides the framework for more detailed project preparations. This outlines the nature of the project, its objectives, required outputs and outcomes, and any general constraints (e.g. on timing) or requirements.

(ii) Identify relevant contextual barriers

Contextual barriers have a significant influence both on what can be achieved and the manner in which it can be achieved. Budget limits, for example, can determine the type of solution that is practical (e.g. traffic signal control versus grade separated junction), and may also determine the timing and phasing of the project (e.g. money must be spent within a given time).

Different countries will have different legal frameworks that determine how permission needs to be obtained for implementing certain types of regulation (e.g. access restrictions) or physical infrastructure (e.g. light rail scheme). Varying organisational structures can also affect how a project operates and determines what is simple or difficult to achieve.

(iii) Identify specific strategies that need to be prepared

In addition to organising internal project management, there will be a need to prepare a number of strategies that deal with relationships external to the project team:

- Engagement strategy: setting out the objectives and limitations of engagement, which stakeholder groups should be involved, how they will be contacted and the appropriate tools for engagement;
- Media strategy: good relations need to be established with the various media, with procedures in place to provide regular briefings and respond to any incidents or issues that may arise; and
- Marketing strategy: involving both promotion of the project (in terms of gaining support for the project and informing people of progress) and, where appropriate, encouraging use of the facility once it has been constructed.

(iv) Identify project stages

This handbook has characterised the transport project process as involving six stages, from problem definition through to implementation. While most projects are likely to include each stage in some form, the degree of effort and emphasis on each will vary according to the type of project. Each stage will place different demands on project management and engagement.

It will be quite rare for a project to proceed in a simple, linear fashion from one stage to the next, and an appropriate progression path needs to be designed for each project. In addition, it is important to be flexible, recognising that stages may need to be repeated, or will overlap, as the project proceeds (see Section 2.2 for more detail).

(v) Identify resource requirements

An initial assessment of resource requirements is best obtained by looking at the needs of each stage of the project, in turn. This can be achieved in two ways; firstly by understanding the total resource restrictions and then planning the stages accordingly or secondly by identifying the needs of each stage and understanding the total projected resources required.

There will be some fixed costs associated with administration and running the core project team, most resources will be consumed in delivering the different project stages.

Resources include all types of input required to achieve the objectives of each stage of the project (materials, skills, etc), though most can be secured through a combination of time and money. However, these requirements need to be carefully investigated, as shortages and associated delays can result in significant cost increases.

(vi) Determine core skill requirements

Each type of project will need to bring together particular sets of skills. Some will be needed throughout the project (e.g. project managers, financial planners, administrators), and others will be associated with particular stages of the work (e.g. planners, modellers, site managers).

It is important at the start of the project to prepare job specifications that set out specific skill requirements, identify how these will be applied and at which stage(s) of the project process they will be required.

(B) ESTABLISH CORE TEAM**(i) Identify suitable individuals and form project team**

Once job specifications have been prepared, the core project management team and the specialists required at the early stages of the project can be appointed.

Particularly for the core team, it is important to consider not only the technical requirements of each task, but also the overall mix of skills across the team, and the ability of appointed members to work together as a group - and with key officials and local politicians.

The specialists that are appointed should have previous experience of similar projects, particularly for the more senior posts, although in some cases it is useful to include expertise from other project areas, in order to benefit from new skills and different experiences from other areas.

(ii) Agree organisational structure and procedures

At the start of the project, one of the first priorities is to agree a detailed organisational structure, covering both the project team and its formal relationships with other key individuals and organisations.

The core team needs to be clear about their individual responsibilities and reporting lines. The latter covers not only whom they report to within the project team, but under what circumstances external approval needs to be obtained (e.g. for particular expenditure or a course of action) and how this is to be obtained.

It is also important to set up administrative procedures, covering the commissioning of work, the payment of invoices, and the monitoring of progress - including procedures for handling any problems that may arise.

(iii) Resource project team

Contracts need to be signed with each member of the core project team, and ancillary staff recruited.

Before the project team can begin work effectively, they need to be provided with office space and facilities, computer equipment and communications, administrative back-up, and authorisations to procure necessary services and products.

In some cases, organisations provide funding one year at a time. This is potentially very inefficient, as it leads to uncertainty and low morale among the project team, and to inefficiencies in the procurement process. To avoid this, a commitment of funding in principle should be obtained for the duration of the project at its outset.

(C) DETAILED PREPARATION**(i) Prepare specific plans/strategies**

Once the core project team has been established and funding secured for the project, it is necessary to prepare a series of more detailed plans and strategies, in the form of a master Project Management Plan and a series of Topic Plans and Strategies.

These should itemise, for each topic, what needs to be done at each stage of the project, by when and by whom.

In addition to the detailed planning of the project itself (e.g. traffic calming scheme, bus priority scheme), detailed plans need to be prepared for various aspects of external relations, covering the fuller development of the engagement, media and marketing strategies that were prepared in outline form as part of the Scoping stage.

(ii) Estimate detailed resource requirements

Having prepared detailed plans for the key topics at each stage of the project decision-making process, the next step is to prepare detailed estimates of resource requirements. This is necessary both to confirm the total project resource requirements, and to ensure that external products and services are ordered in sufficient time to guarantee their delivery at the point they are required.

This, therefore, requires a fine disaggregation of the various types of resource inputs required at each stage of the project, including different type of materials and services, and the various professional skills required (e.g. legal specialists, quantity surveyors, site contractors, construction firms).

(iii) Determine potential risks and barriers

All projects involve certain potential risks and uncertainties, both in relation to the broader environment in which the project operates (e.g. financial markets, political situation) and the execution of the project itself (e.g. unexpected problems arising from ground conditions, or adverse media reactions).

Some of these can be minimised by the way in which the project is managed and financed, while in other cases the best solution is to prepare contingency plans, so that any problem can be addressed with minimum delay.

Risk management procedures should be applied to identify potential sources of uncertainty and risks as well as their likely causes, and then prepare countervailing or contingency plans, as appropriate.

(D) RUNNING THE PROJECT**(i) Manage the process**

Once the main project is underway, successful achievement of project objectives at each stage, within the agreed budgets, is dependent on careful management of the project decision-making process. This requires a regular and on-going assessment of the activities that have been accomplished against the agreed project plan and topic specific plans.

Where any discrepancies are identified, it is important to act quickly to deal with the problem, in an appropriate manner. This may involve diverting resources temporarily from one activity to another, or rescheduling the timing and sequence of activities. Depending on the nature and extent of the problem, procedures should have been agreed to determine whether the necessary actions can be taken or authorised internally by the project management team, or require external authorisation.

(iii) Overcome barriers

Barriers can - and are likely to - arise at any point during the course of project implementation, either due to changes in external conditions (e.g. local election), or due to difficulties encountered during the execution of the project. Some can be anticipated, while others cannot.

Effective project management can deal with such problems in a number of ways. First, by having procedures in place to quickly identify problems; second, by having developed a number of contingency plans; and, third, by having in place flexible and adaptable procedures that can respond quickly to changed circumstances.

In some cases to respond to certain barriers fast access is needed to senior decision-makers (e.g. local politicians) outside the project team.

(ii) Monitor input, process and outcomes

Monitoring of resource inputs, project outputs and the process of project management is crucial to efficient and effective management, since up-to-date information is needed, both to identify problems and establish the appropriate response.

Here a wide variety of data is needed, covering various types of resource use and interim outputs, to be compared against the project plan. This data will be drawn from a wide range of sources, both internal and external to the project team.

At later stages of the project, monitoring is also an important input to determine whether the overall goals of the project have been achieved, in terms of final project outputs and intended outcomes.

(iv) Carry out project assessment

This task is more focused on outcomes than processes, and is concerned with identifying whether project outputs and expected outcomes have been achieved, by referring back to the project's objectives.

It relies on the collection of appropriate monitoring data. Identifying project impacts and establishing causation can be problematic, and requires a well designed data collection strategy (e.g. before and after studies, use of control areas) and data analysis.

Various techniques are available to assist with project assessment, and in some cases governments may require the use of a particular form of technique (e.g. cost benefit analysis). Stakeholder input should form an important part of the project assessment process, rather than it being treated simply as a technical exercise.

Tips for successful project management

1. A project needs to have both project output and project outcome objectives.
2. Clearly define project tasks and responsibilities.
3. Use a simple defined project process (or framework), with a staged approach.
4. Re-evaluate the operational and technical viability of the project throughout all stages.
5. Incorporate and understand the current and future needs of key stakeholders.
6. Build excellence in project management techniques across the organisation.
7. Use multi-skilled project teams.
8. Secure dedicated resources for each stage of the project.
9. Place a high importance on the early stages of project planning.
10. Always consider potential risks and devise a contingency plan.
11. Use a 'project champion' to act as the figure head and public face of your project.
12. Be aware of the difference between the management and engagement process and its intended transport outcome.
13. Use measureable criteria (e.g. indicators) to help establish the success of the project.
14. Monitor and evaluate, so that lessons learnt can be used for future projects.
15. Be aware that, on a day-to-day basis, some project processes operate on an informal basis; this can be a great strength.

2.3.3 Engagement in the transport decision-making process

Introduction

Involving stakeholders in the transport decision-making process, and reconciling their views with the judgements of key decision-makers can be a challenging and difficult task. At the same time it can be a rewarding experience, which enhances the decision-making process and the value of what is produced or implemented. Effective engagement can bring about better policy directions, improved local services, possibly new ways to initiate or plan for a particular situation and a better understanding of the local situation by technical experts and community members. Yet, even with these clear benefits, engagement processes can often become controversial and contentious. The primary issue for decision-makers is to ensure that the engagement process is undertaken effectively.

To understand the contribution that engagement can achieve is necessary to consider 'why is engagement important?', 'what is engagement' and 'what lessons have been learnt from past and present practice'. These issues will be considered on this page; before looking in more detail at the key elements of successful engagement.

What is engagement?

Engagement is the process of identifying and incorporating stakeholder concerns, needs and values in the transport decision-making process. It is a two-way communication process that provides a mechanism for exchanging information and promoting stakeholder interaction with the transport project team. The overall goal of engagement is to achieve a transparent decision-making process with greater input from stakeholders and their support of the decisions that are taken.

Traditionally, it has been the role of the project team to initiate the engagement process, by informing or promoting feedback from the community and other key stakeholders. However, some stakeholders may choose to initiate engagement with fellow stakeholders, or with the project team, with the intention of identifying and negotiating particular issues and concerns associated with the transport project.

The importance of engagement

Some administrations pay little attention to stakeholder engagement, either in the belief that professionals are best placed to make transport decisions, because they are essentially technical in nature, or because local politicians believe that they best represent stakeholder interests.

As communities and other stakeholder groups become more diverse and increasingly demand a greater involvement in decisions affecting their lives, the whole transport decision-making process becomes more complex. Effective engagement can help to decrease stakeholders' sense of alienation. There are many benefits to be gained from conducting a meaningful engagement exercise. These include:

- Better quality transport strategies and schemes;
- Reductions in costs and delays to a project; and
- Smoother implementation of the transport project.

Lessons from past and present engagement practices

In the past, the most commonly used engagement tools were designed to provide information, through public meetings, press releases, letters, notices and signs; in most cases, these actions were a legal requirement. It was also common practice to progress relatively far into the option selection process before gauging public reactions and soliciting input into the transport decision-making process.

It has only been in more recent years that stakeholders have become engaged in the earlier stages of the process in some countries, and invited to give their ideas and aspirations for possible project options. However, there are still major differences in the levels of stakeholder engagement throughout Europe:

- Greece: early involvement is minimal with approximately one in five projects consulting members of the public.
- Czech Republic: is now progressing towards a higher degree of engagement (e.g. through focus groups).
- Germany: more comprehensive engagement processes, covering most stages of the process.

Where have things gone wrong?

The most notable omission in past and present engagement practices is neglecting to involve stakeholders throughout the transport project, right from the inception to the implementation of the project. Consideration is rarely given to early or continual stakeholder involvement. This can lead to opposition in later project stages, with adverse implications for budget and timing.

Another common limitation is to provide information to stakeholders without any encouragement to respond. In some cases, only minimum procedures are followed in order to satisfy local legal requirements for stakeholder engagement; little consideration is given to the methods used or to how the responses will be considered by the project team.

The main problem with typical engagement practices has been the lack of a systematic and high-level approach to developing an engagement strategy, to be implemented throughout the six stages of the project decision-making process.

Why have they gone wrong?

In the past, the potential value of stakeholder engagement has been underestimated, mostly due to the project team's lack of skills in this area, and a failure to appreciate the useful role that stakeholders can play in the transport decision-making process. Usually budgets and resources are limited, and this is seen as a low priority activity; therefore, only minor consideration is given to engagement and stakeholder involvement.

Another problem with engagement practices has been the use of inappropriate tools or techniques to undertake the engagement process. When a technique is used in the wrong context, two kinds of problem often occur; firstly, the project team has difficulty in utilising the information and input gained from stakeholders; and, secondly, stakeholders will question whether they have been listened to and their opinions incorporated into the decision-making process.

As a consequence, there is a lack of credibility and the whole transport decision-making process may be called into question.

Planning for engagement

Situation analysis

Preparing an engagement strategy requires that a careful analysis is made of how engagement will fit into the decision-making process, which stakeholders are likely to be concerned, and how their involvement or comments can be most effectively incorporated into the project process. Preparing a strategy provides a structure that in turn encourages better analysis.

Integration with decision-making

One of the most important characteristics of effective engagement is that it forms an integral part of the decision-making process; that is, there are clear connections between engagement activities and key decisions. Preparing a strategy ensures this integration occurs.

Internal coordination

Implementation of an effective engagement strategy often requires the involvement of a variety of staff from different departments within an organisation. An engagement strategy clarifies who needs to do what, by when and how.

Management review

An engagement strategy gives the management team information needed to set aside the necessary resources, to understand potential significant issues, and to identify any likely problems, from the beginning of a project.

Stakeholder review

A way of gaining credibility for a potentially controversial decision-making process is to provide opportunities for stakeholders to review the engagement strategy.

Documentation and monitoring

If there are challenges to the adequacy of any engagement activities, the existence of a documented strategy sets out the rationale for the activities undertaken to engage with the public and other stakeholders.

Preparing an engagement strategy

An engagement strategy (or plan) defines the processes that will be undertaken during each stage of a project, and at the interfaces between stages (including key decision points). It specifies who will be engaged in the decision process, how participants will be identified and the way in which engagement will be undertaken.

The strategy should identify the roles and responsibilities of all parties or stakeholder groups to be involved in the decision-making process, including members of the project team. The plan should clearly outline the type of engagement activities that are to be implemented. This may include, for example, workshops, community events or a mail out letter.

Typically, preparing an engagement strategy should address the following issues:

- Define the aims and objectives;
- Prepare a statement identifying what it is that engagement will deliver to the project and when;
- Identify the key stakeholders;
- Prepare a budget for all engagement activities and resources required including catering and printing;
- Co-ordinate with the timing of other project activities and prepare an engagement timeline;
- Identify key messages and issues to be addressed, these should then be a key component of both media and marketing strategies if these are planned for the project;
- Choose a mix of appropriate techniques and tools to engage all stakeholders that maximises participation;
- Incorporate a feedback loop into the engagement activities and identify how and when you will keep stakeholders informed of key project stages, activities and milestones; and
- Specify how evaluation of the strategy will be undertaken during and after the engagement process. Evaluation should consider both the process (i.e. use of techniques) and the outcomes (i.e. information gained from the process).

Illustration of good practice

Brighton and Hove provides a good example of successful engagement activities. In 2000, the City Council carried out extensive engagement to develop a Local Plan that set policy guidelines for appropriate land use development proposals. The policies in the Local Plan were also intended to influence the formulation of the Local Transport Plan, and specific development policies for the re-development of the Brighton Station Site.

Part of the City Council's engagement strategy involved:

- Focus groups with stakeholder organisations;
- Community visioning workshops, with groups and individuals not normally represented ('hard to reach groups');
- Face-to-face meetings; and
- Leaflets about the plan asking for people's views.

The City Council Officers prepared a Draft Local Plan (Technical Report) based on comments and responses obtained as a result of the engagement strategy, and conducted further engagement on two versions of the draft reports.

One of the key successes of this engagement strategy was the feedback of stakeholder inputs. The project management team provided detailed analysis of individual comments and issues received throughout the process. By doing so, stakeholders could see how their views, opinions and issues were carried forward into the strategic plan for their area.

This method of feedback demonstrated the transparency of the engagement process to stakeholders. Finally, they prepared and issued their Local Plan.

Questions to be addressed by an engagement strategy

There are four main questions that need to be considered about the process when preparing an engagement strategy.

Why?

Why is the engagement process being undertaken?

How will it influence the strategy/scheme?

Who?

Who should be involved in the decision-making process?

How can such people be identified?

How?

How will engagement be undertaken?

What tools and techniques should be used?

When?

When should different activities take place?

When is it not appropriate to engage?

Why engage?

Increasingly, some form of engagement is a legal requirement in most countries, both for transport strategies and at least for larger transport schemes. If inappropriate tools are used, it is possible to waste large sums of money with little benefit and to stir up greater public opposition. However, viewed as an opportunity rather than as an obligation, there are many benefits to developing a comprehensive stakeholder engagement strategy.

Engagement enables the active involvement of stakeholders in decision-making, as well as creating partnerships between the project team, community, businesses, government and other stakeholders that can assist in the implementation process. Stakeholders can contribute positively to the transport decision-making at all stages of the process, from the ways in which problems and objectives are defined, to the generation and assessment of options. A comprehensive engagement strategy:

- Demonstrates commitment to accountability, democracy and transparency;
- Fosters democratic dialogue among stakeholders and can help to revitalise civic culture;
- Empowers stakeholders, creating a sense of ownership;
- Assists Governmental decision-making;
- Provides the opportunity for stakeholder input on issues at times other than local elections;
- Assists in the initial planning of a transport project;
- Creates new perspectives and solutions on actual issues revealed or problems arising; and
- Provides direct information on the needs and wants of different sections of the community.

A criticism of the engagement process is often that stakeholders feel their views are not heard or taken into consideration in the decision-making process. To avoid this, it is important to identify within the engagement strategy WHAT ISSUES and aspects of the transport project can be INFLUENCED by stakeholder views/inputs. When this is established, this should then form a key component of the content of the engagement strategy and planned activities. A useful activity for the project team, is to hold an internal planning session to discuss these issues.

Who to engage?

Determining who the relevant stakeholders are for a particular transport project is critical to successful development of an engagement strategy, and will also affect the smooth progression of the whole transport decision-making process. The mix is likely to vary considerably, particularly in contrasting projects of local and strategic importance.

Stakeholders comprise the groups, organisations and individuals affected by, or in a position to affect, a project and its implementation, whether directly or indirectly. The typical stakeholders for transport projects have been outlined earlier in this section, in Table 1.

It is essential that a preliminary set of stakeholders is identified at an early stage, to help contribute to the engagement strategy.

Communicating with stakeholders from the early planning of engagement activities can be very effective. Stakeholders may have a certain way they would like to be consulted. Knowing this from the outset can avoid disappointment from low participation levels at planned activities and also not 'wasting' any unnecessary resources (i.e. time and costs).

It is important to review the definition of the transport project and the priority issues to be addressed throughout the decision-making process. In some cases certain stakeholders, such as local residents, may only be identifiable once preliminary design options have been developed.

It is thus important to review the range of stakeholders involved in engagement throughout the process, as this may change as the details of the project are refined.

Once stakeholders have been identified, it is then important to establish 'How' and 'When' they should become a part of the transport decision-making process.

How to engage?

In the past, the major emphasis in the engagement process was on simply informing stakeholders about what the project team intended to do, and the decisions that they had reached. However, as stakeholders are becoming more actively interested and influential in decision-making, there is a movement towards a more proactive exchange of information and viewpoints, through the greater use of interactive engagement tools and techniques.

Section 3 of this handbook provides details of the many tools and techniques for engaging successfully with various groups of stakeholders, under different circumstances, covering both information giving and gathering, and more interactive engagement methods.

To fully benefit from stakeholder engagement, it is recommended that the project team not only assesses the influence of the engagement strategy on the final project outcome, but also on the different stages of the project decision-making process.

When to engage?

As a starting point, consider engaging stakeholders during all the six stages of the transport decision-making process. The best outcomes are likely to result from involving stakeholders in the development of the engagement strategy at the outset of the project.

In terms of the appropriate level of engagement, this is likely to differ according to many aspects of the transport project, such as the size and impact of the completed project, the likely degree of controversy and the time-frame.

While consideration should always be given to comprehensive stakeholder engagement, it may sometimes be appropriate to limit this process. This would include cases where a decision has already been made (where it is more appropriate to inform stakeholders about the timetable for implementation), or when the final decision cannot be influenced, or perhaps when there is insufficient time and/or resources.

In some situations, such as when involving the private sector, the information that can be provided to stakeholders about some aspects of the scheme may be limited because it is commercially confidential.

To determine whether or not a comprehensive engagement strategy is the right option consider the following questions and tips:

Key questions:

- Are there opportunities for communities to influence the decision-making process?
- Is engagement necessary? Or is another approach more appropriate (e.g. a marketing campaign)?
- How confident are project managers that they know what are the concerns of stakeholders?
- What level of engagement is necessary and/or desirable?
- What resources exist to support the engagement strategy?
- How can the community itself have input into deciding what level and form of engagement is appropriate?

Tips

Consider the situation from the stakeholder's perspective:

- What interest would different stakeholders have in the project?
- What is being asked of them and how will their contribution/involvement be used?
- What information does each stakeholder need?
- Does the organisation have the time, motivation and resources to fully carry out and complete an engagement exercise (no matter how large)?

Tips for successful engagement

1. Agree a common understanding with stakeholders about what can be achieved from the process.
2. Be open and straightforward about the nature of any engagement activity, so that people know the outcome that will result from their involvement.
3. Define roles and responsibilities of all stakeholders and the project team members.
4. Use a range of techniques to communicate the project to different stakeholder groups at each stage of the project, bearing in mind how their responses can influence the project decision-making process.
5. Use non-technical language when communicating with stakeholders.
6. Be prepared to modify the project in response to opinions and feedback received from stakeholders.
7. Be sure to stay in contact with participants. Keep them informed, so that they can input throughout the entire project decision-making process.
8. Make the process fun. Working together with people can be very enjoyable; where appropriate introduce games, cartoons and humour into your engagement activities. This can also be a way of diffusing the situation and improving the atmosphere.
9. Remember to identify all your stakeholders carefully, including any hard to reach groups.
10. Design a process that suits the situation. Every situation will require a different approach, as local conditions vary, and also actors involved/concerned.
11. Don't forget that effective engagement takes time and money, so plan from the beginning how to include stakeholders throughout the decision-making process.
12. Monitor and evaluate, so that the lessons learnt can be incorporated into future projects.

2.4 Elements of good transport decision-making

Introduction

The following figure and accompanying text set out nine elements of good engagement and project management practice, and the range of factors that support such practices; these elements are applicable throughout all the stages of the transport decision-making process. They are based on experiences gained from working with European practice examples in the GUIDEMAPs project.

The presentation of these elements in the form of the spokes of a wheel symbolises the inter-connected nature of their influence, the equal importance to be placed on each in contributing to good transport decisions, and in some contexts the cyclical nature of their application.

In short, the recipe for successful transport decision-making includes:

- A flexible project management structure that is responsive to changing circumstances as they arise;
- A clear focus at the outset and at each stage of the project;
- An approach to engagement that is inclusive and accessible to all key stakeholders;
- The provision of information communicated in an appropriate format and timely manner;
- Careful attention to the work plan and the timing of all activities throughout the project;
- Sufficient resourcing of all activities, including staffing and materials;
- Being aware of stakeholder views and providing them with feedback on how concerns have been addressed;
- Monitoring project processes and project outcomes, using appropriate indicators and data sources; and
- A careful assessment of project progress and eventual outcomes.

These elements apply both to project management and to stakeholder engagement. There is an increasing expectation that project managers will have high-level stakeholder engagement skills, particularly in contexts where they are working closely with stakeholders.

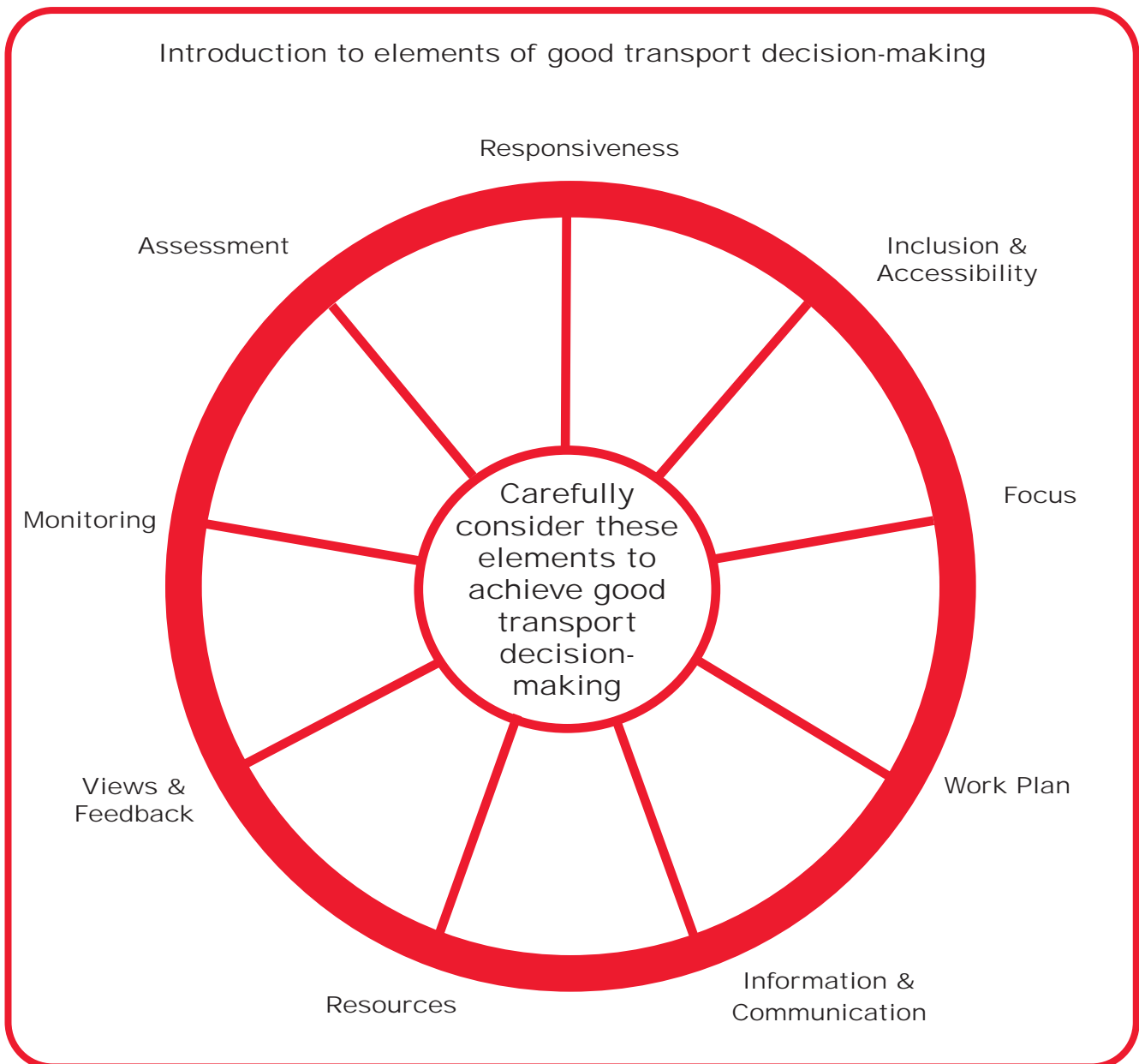


Figure 5 - Elements of good transport decision-making

RESPONSIVENESS

Any decision-making process is likely to encounter difficulties or changing circumstances during its lifetime, no matter how carefully the project has been planned from the start. The key to successfully dealing with such challenges is to adopt a flexible and responsive approach to project management during all stages of the process.

This requires both an ability to quickly identify the various kinds of problems that might arise, and to have in place procedures to rectify the situation.

Checklist for project management

- ☒ What procedures are in place to alert managers to problems as they arise?
- ☒ Have contingency plans been prepared to deal with the most likely situations?
- ☒ Have clear responsibilities been assigned to deal with specific kinds of problems?
- ☒ Have you built in period reviews, to take a more strategic look at how the project is progressing?
- ☒ Is the option generation according to the six stages of decision-making an integral part of your project?

Checklist for engagement

- ☒ How will you alert stakeholders to any changes in the project?
- ☒ How are stakeholder views being fed into the decision-making process?
- ☒ Are you able to adjust plans and procedures to reflect these views?
- ☒ How will you provide feedback to stakeholders?
- ☒ Are engagement activities sufficient and early enough for stakeholders to understand their added value?
- ☒ Is engagement being undertaken throughout the project process to make it possible to alter and improve the project outcomes?

INCLUSION & ACCESSIBILITY

Being inclusive and accessible to the diverse parties affected by the outcome of the decision-making process is a principle that needs to be followed throughout the management of the project.

There is likely to be a diversity of stakeholders and opinions, and different kinds of tools and techniques will be required to successfully engage with different groups in a manner that is inclusive and accessible to all.

Checklist for project management

- ☒ Who are the affected stakeholders?
- ☒ Who is responsible for managing inclusivity and accessibility?
- ☒ How will the diverse nature of the community be taken into consideration?
- ☒ Have procedures for this been identified throughout the project process?
- ☒ Is the project properly resourced in this regard?

Checklist for engagement

- ☒ Who are the stakeholders with regard to the various issues of your project?
- ☒ Are there any groups of stakeholders which are 'hard to reach' (i.e. ethnic groups, different aged groups etc)?
- ☒ What needs to be done to ensure not only these people but all people have the opportunity to be heard?
- ☒ How will stakeholder aspirations be managed?
- ☒ How can the engagement activity be delivered?
- ☒ Are the selected engagement techniques best suited to encouraging responses from specific groups?
- ☒ If a venue is involved, is it suitable and accessible?

FOCUS

Focussing on what is required of the project, in all its stages, will enable it to be achieved efficiently and effectively. This includes determining the scope of the project, its broad aims and specific objectives, and expected outcomes.

All team members need to be made aware of the many aspects of the decision-making process. By focusing on the project's core elements, the outcomes will be achieved in an efficient and timely manner, that takes note of the requirements of the stakeholders.

Checklist for project management

- ☒ What is the project vision?
- ☒ What are the required outcomes of the project?
- ☒ Have clear project aims and objectives been identified?
- ☒ Are all staff aware of project aims and objectives?
- ☒ Have all elements of the project been identified (i.e. risk management, cost benefit analysis etc)?
- ☒ Does everyone share a common understanding of the focus of the project?
- ☒ How will the project be managed?

Checklist for engagement

- ☒ Why is engagement being undertaken?
- ☒ What techniques will be used to access your stakeholders?
- ☒ What is the required outcome of each engagement activity?
- ☒ How will these outcomes be used to inform/change the project?
- ☒ What are stakeholders being asked to contribute at each stage (e.g. to generate ideas about an issue)?
- ☒ Is the start and finish of the engagement process clearly defined and agreed early in the process?

WORK PLAN

Throughout the decision-making process it is essential to have a clear work plan against which to measure progress; the realistic scheduling of certain key milestones can directly influence the project's success. The work plan must be deliverable and take into account any likely disruption where this can be identified in advance. Timing is particularly important for the interactions between different activities.

A consideration of how the timing of a project affects cost, and therefore how it is financed, should be made at an early stage in the process.

Checklist for project management

- ☒ Has a project schedule been prepared for your project?
- ☒ Have key milestones been identified that impact on deliverables?
- ☒ Have activities been identified that are on the critical path?
- ☒ Have key risks been identified that could disrupt the programme deliverables?
- ☒ How does funding affect the timing of the project programme?

Checklist for engagement

- ☒ At what stage of the process is engagement occurring?
- ☒ Are engagement activities early enough to help identify all issues relating to the project?
- ☒ Is engagement sufficient early in the process for stakeholders to see that the project team are genuinely interested?
- ☒ Or is engagement being undertaken mid-way through the project process and therefore merely seeking comment on already identified issues?

INFORMATION & COMMUNICATION

Good information and communication is an essential element of any successful project. The principle of providing relevant information in a timely and understandable manner must be established early in the project's planning.

Good information enhances the effectiveness of the management process, by providing necessary knowledge to the project team. Similarly, by communicating relevant information to interested stakeholder groups at the right time, the project will progress with less delay and better focus.

Checklist for project management

- ☒ How has the provision of information throughout the project process been ensured?
- ☒ How will information be disseminated to the right people?
- ☒ What format will the information be provided in?
- ☒ How will the project team respond to any conflicting information arising from both technical analysis and wider stakeholders views?

Checklist for engagement

- ☒ What information is being provided to those people who are being consulted?
- ☒ Is the information adequate to ensure that stakeholders can express an informed view?
- ☒ Is the information being provided in a way which is easily understandable, meaningful and fun?
- ☒ Are people being given an adequate opportunity to receive the information for providing answers/ comments, or was it a one off activity ?

RESOURCES

At the earliest stages of a project an outline budget must be prepared to provide information as to the expected costs and other resource requirements. The budget outline should include estimates of staff time, consultants' time, expenses, materials, upcoming events, etc.

The estimated cost of the project will need to consider all the funds required for the full life-time of the transport decision-making process. This should also include time for stakeholder engagement and responding and/or dealing with feedback.

As part of the budget preparation, clear lines of responsibility must be established. Those tasked with day-to-day project management must be allowed to progress the project with minimal interference, while enabling senior managers to review progress at key milestones.

Checklist for project management

- ☒ Has a budget been prepared?
- ☒ Have all resources been identified (staff, materials)?
- ☒ Have the project sponsors agreed the budget?
- ☒ What about resource requirements for engagement?
- ☒ Have clear lines of responsibility been identified?
- ☒ What resourcing allocation decisions are the responsibility of different members of the project management team?

Checklist for engagement

- ☒ Have resources required for your engagement strategy been considered as part of project budgeting?
- ☒ Have all necessary materials been identified that are needed for your engagement activities (i.e. venue, printing costs, catering etc)?
- ☒ If using a external consultant for engagement activities, has a clear project brief been prepared including budget considerations.

VIEWS & FEEDBACK

Developing effective methods for stakeholders to feed into the various stages of the decision-making process is fundamental to successful stakeholder engagement. Formal and informal techniques should be established.

How stakeholders are asked to respond will have a direct impact on the quality of the feedback. Therefore, suitable techniques must be selected for each of the project tasks.

The response and feedback process should be transparent so as to provide reassurance to the stakeholders that their views are being considered seriously. This engagement process may introduce issues that had not been previously addressed, and the project team may need to consider changes to the project requirements as a result of points raised by stakeholders.

Checklist for project management

- ☒ Has a response and feedback format been agreed by the management team?
- ☒ What are the formal and informal mechanisms?
- ☒ How will stakeholders be asked to respond?
- ☒ Where in the project process does response and feedback take place?
- ☒ How will stakeholders views be considered throughout the project process?

Checklist for engagement

- ☒ Is the decision-making process clear and has this been communicated to stakeholders?
- ☒ How will the engagement techniques proposed ensure feedback is received from stakeholders?
- ☒ Is there a plan for how feedback is to be provided to stakeholders at various stages of the process?

MONITORING

Monitoring is a crucial element of successful project management and engagement, as this provides the means of estimating progress - whether work is going to plan, meeting agreed objectives and is within agreed budget limits. Hence a wide variety of data is required, covering resource consumption (hours, materials, time sheets, etc.), monitoring of project outputs (e.g. kilometres of cycle lane constructed), through to project outcomes (e.g. increase in cycle lane), collecting stakeholders views about aspects of the engagement process itself.

It can involve both the collection of new data, and the collation of existing data sources. It is important to ensure that the data is accurate, timely and representative. Data needs to be brought together, analysed and presented in such a way as to provide useful and understandable information to all relevant parties. Some of this information may then feed into a formal assessment process.

Checklist for project management

- ☒ Is monitoring included in project management plan?
- ☒ Is it properly resourced?
- ☒ What types of new data will be collected? How?
- ☒ Where sources of existing data are being collated have relevant permissions been obtained?
- ☒ What data will be provided continuously or on a periodic basis? How does the latter tie into key project milestones?
- ☒ Who is responsible for ensuring data delivery, analysis and presentation?

Checklist for engagement

- ☒ How will different stakeholder groups be approached for their views on the engagement process?
- ☒ Which methods will be used to record their views?
- ☒ How will the findings feed into the project management process?

ASSESSMENT

Throughout a project's life there will be a need to assess its performance against milestones and required outcomes. From this process, key lessons learnt can be applied to the project in later stages, and used in future projects where relevant.

Assessment will be on-going and should adopt the principle of continuous improvement. This involves analysing a range of qualitative and quantitative information and will result in: improved management, maintained/raised motivation of staff, increased efficiency in project delivery, to achieve a better quality outcome. Agreeing the assessment tools and criteria (e.g. indicators) for judging success is important, so that the project management team is aware of the key performance standards required to meet the project's objectives.

Checklist for project management

- ☒ What are the required outcomes of your project?
- ☒ What are the key performance standards ?
- ☒ Have assessment tools been identified?
- ☒ Have resources been identified to carry out assessment?
- ☒ Has the management team agreed on the assessment process?
- ☒ How will lessons learnt be fed back into the project?

Checklist for engagement

- ☒ Is assessment a continuous part of the engagement strategy?
- ☒ Is there a commitment to undertake assessments?
- ☒ How will participants contribute to the assessment process?
- ☒ How will the organisation use outcomes from the assessment to ensure better engagement practices in the future?

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Section 3

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What is the Tools section?

The 'Tools' section of this handbook provides guidance on the practical tools and techniques available for managing a transport project and for engaging stakeholders in the decision-making process.

Each 2 page spread (outlined in the opposite pages), in this section describes a group of related tools or techniques. Provided in more detail in Volume 2 - 'Fact sheets' are the practical descriptions on how you would USE the tools or techniques for a transport project.

The Tools have been further divided into two categories, the focus of the key decision-making concepts (outlined in Section 2 of this Handbook):

- Project Management; and
- Engagement.

Barriers to the decision-making process have been considered for both categories.

Project Management Tools

Project management is a very important aspect of transport planning and in order to undertake this well, there are many tools and techniques available to you. As the focus of GUIDEMAPS has been predominantly stakeholder engagement, this handbook outlines those tools and techniques most relevant to project management where stakeholder engagement is an integral part of the decision-making process.

Engagement Tools

More and more stakeholder engagement is positively influencing the transport decision-making process. As this is so, more transport practitioners are becoming aware of the need to develop the skills required to manage the engagement process for their project/s. In this handbook practical tools and techniques are provided for engagement activities. There is a comprehensive listing and you will need to review each of these in light of the project you are undertaking and the stage in the decision-making process. The table on page 65 will guide you.

An example of Page 1 of the 2-page Tool Sheet

T8: Managing contentious issues

What is management of contentious issues?

Every transport project impacts on the local community in many ways. When people consider the possible impacts of a project, they may be detrimental to themselves or to others, this can generate opposition to the project as a whole or to certain aspects of it. Consensus on all aspects of a transport project is unlikely. Developing a method of dealing with opposing views, and providing guidance on how to balance these different inputs, is the objective of this section of the handbook. The management of contentious issues can include:

- Identifying issues that require engagement → 1
- Managing outputs → 2
- Third party negotiation and mediation → 3

Aims

Management of contentious issues aims to improve the delivery of projects, by ensuring that they reflect the needs and priorities of the community by:

- Targeting engagement activities to focus on priority issues;
- Improving the design of projects using the feedback from engagement;
- Identifying measures which can mitigate the real or perceived negative impacts of a project; and
- Avoiding the commitment of financial and other resources to projects that do not meet the needs of the people they are intended to serve.

The key aim in addressing contentious issues is to provide methods of communication that minimise delays and lead to better outcomes. This means that, throughout the life of a project, from problem definition through to implementation, engagement tools will be needed to meet these needs and aspirations.


Useful hints

- The conventional model of planning which goes through the phases of 'plan, announce, defend' is not always appropriate or desirable. Engagement should be a continuous, defensive process, and means tackling conflict and contentious issues;
- For issues where attitudes are strongly polarised, it may be worthwhile to bring these groups together in order that opinions can be heard and shared. Do not necessarily expect them to reach consensus, but this might improve mutual understanding and will certainly provide information that will be useful in the project planning and
- The earlier in the project life that some form of engagement takes place the better. If any conflicting issues are clearly recognised early on, there is more scope for finding appropriate strategies for dealing with them.

In practice

Maribor, Slovenia

The actions of a stakeholder group, the Maribor Cycling Network, identified cycling provision as an important issue to be addressed in Slovenia, and generated pressure for the Municipality to take a number of actions to improve conditions for cyclists. A group staged a number of protests, produced leaflets and had an effective media strategy that raised the profile of the issue.




Above: Leaflet produced by the action group, Maribor Cycling Network, drawing attention to the issue of parking on cycle lanes.

Bochum, Germany

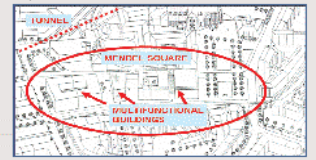
In Bochum, the apparent level of public opposition to re-route a section of the tram network in order to connect with the centre of the district of Langendreer posed a threat to the progress of the project. One of the main issues raised was concern over the use of private land for the construction of the new section of the tram-line. This was addressed through amendments to the plans that increased the use of publicly-owned land.

Obtaining feedback from the public through a survey revealed that there was a majority in favour of the project. Conducting a survey before the start of the planning process would have allowed to identify any likely opposition issues and to address them at an earlier stage.



Brno, Czech Republic

Part of the project management in realising a portion of Mendel Square in Brno, involved the early identification of issues and problems. These issues and problems included how to change the image of the square quickly, cheaply, not upsetting the public, co-operating with experts from other departments and continually communicating with the public. This was done to maximise the effectiveness of the engagement by identification the key outputs early on.



Issues identification for Mendel Square, Brno.

| | | |
|---|---|--|
| 1 | <p>What is.....??</p> <p>For each tool a short explanation is provided of what this tool is and in what circumstances it may be used. The techniques associated with this tool are also outlined here.</p> | |
| 2 | <p>Aims</p> <p>The main aims associated with using this tool are listed here. This summarises the main benefits associated with using this tool.</p> | |
| 3 | <p>Useful hints</p> <p>Here we share with you some key practical lessons learnt from the research undertaken in the GUIDEMAPS project.</p> | |
| 4 | <p>In practice</p> <p>In the GUIDEMAPS project we have worked with twenty Practice Examples in sixteen European cities or sub-regions. Here we share details of the experiences that a particular city or sub-region has had in working with this tool or technique.</p> <p>Information about these examples is provided in more detail on the GUIDEMAPS CD-Rom in the 'Practice Example Summaries'. There you will find comprehensive information on the decision-making and stakeholder engagement process used for their transport related project.</p> | |

An example of Page 2 of the 2-page Tool Sheet

The spectrum of issues

Identifying issues that require engagement

At a very early stage in the project life it is important to undertake a review of the issues that are likely to be contentious and to identify the stakeholders that will be most affected by the project. This information can help to define the objectives of the engagement strategy. Focus groups are a useful technique for exploring the range of issues that a project might generate. For some projects, one or two issues might dominate the public, political or media debate.

This may arise where the project will affect an area of particular cultural, historical, economic, social or environmental importance. Where this occurs it is desirable to undertake engagement activities focussed on that issue. This can perform many functions, including demonstrating that the importance of the issue has been recognised by the project team and allows those concerned by the issue to contribute their ideas to the identification of ways to reduce or mitigate the impact.

While it is important to anticipate issues from the start of the project in order to develop appropriate engagement activities, it is also essential to be prepared to adapt the process when new or unexpected issues arise. A successful engagement process can identify new issues by including a diverse range of groups and individuals and enabling them to make their contributions.

Managing outputs

Applying the outputs of engagement can inform and enhance the project process. Analysis of the outputs of engagement can improve the understanding of issues and the motivation for public opposition. It can aid in the identification of measures to mitigate the negative impacts of the project. It can also improve general understanding of stakeholder priorities, which can guide future projects. Beyond the direct contribution of the suggestions and opinions of participants, the wider outcomes of engagement can include an improved perception within the community that their concerns and interests have been recognised, providing a sense of ownership of the project.

Third party negotiation and mediation

In a situation where a conflict of interest occurs between two (or more) parties, a good method to achieve a compromise is negotiation and mediation. Negotiation is the process of bargaining between two (or more) interests. This method provides a structured, semi-formal and orderly way for people to find agreement.

The main consideration in arranging a negotiation/mediation event is to decide if it should be conducted by the concerned parties (negotiation) or be facilitated by a trained impartial mediator (mediation). This mediator would be a third party and listen to both cases and propose a possible solution to issues of disagreement among conflicting parties in public involvement.

Participation is achieved by stating the issues, concerns and promoting discussion or debate. There would usually need to be a considerable compromise by the parties involved, if a positive outcome is to be achieved.

Potential problems

Every unresolved issue represents a potential barrier. However, dealing with contentious issues can be one of the most difficult aspects of project management. The following should be taken into account to avoid or overcome potential problems:

- Difficult issues rarely disappear if they are not addressed. Failure to identify and respond to issues will only store up problems for the future, and inevitably lead to barriers that become more difficult to overcome.
- Be clear about those issues you can address and those you cannot. Some issues cannot be resolved, and some external actors will take issue with a project as a point of principle, so you are unlikely to be able to resolve their opposition. Be direct when unable to respond positively, and don't prevaricate.
- The difficulties of dealing with contentious issues where there are strong feelings should never be underestimated. Only those with the requisite skills or resolution to cope with difficult situations. Make sure that the person responsible for addressing issues is able to act firmly, but with understanding. A feeble response to a contentious issue will only heighten the barrier.
- Make sure from the beginning that the work plan has allocated adequate resources for managing and mitigating concerns. Make sure that the mitigation is appropriate to the problem; inadequate or inappropriate mitigation measures are a fundamental cause of barriers.
- Ensure that the engagement process identifies all potential issues, and is responsive to issues as they arise. But, at the same time, the engagement process should try and provide a balanced overview and should not become dominated by a narrow set of interests.

Tools and techniques

For each tool that is outlined in Section 3 of this handbook there is a comprehensive list of specific techniques that can be used to undertake the particular project management or stakeholder engagement activity.

There is a brief explanation of how this technique is used and its main contribution to the transport decision-making process.

Each technique is then described in more detail as a 'Fact sheet' in Volume 2.

Potential problems

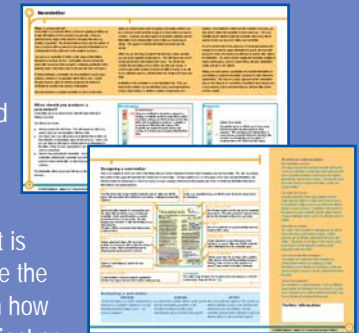
Potential problems may arise when using project management and stakeholder engagement tools and techniques, here we provide some tips on how to avoid common problems. These problems are similar to 'barriers' as outlined in Section 2 of this handbook and can be either process (ie communication or management) or contextual (ie institutional, legal or financial) problems. The focus here is on tips for avoiding process related problems for your project.

In Volume 2 - 'Fact sheets'

When using the Cd-Rom you can link to a fact sheet for more information whenever you see this symbol →

Each fact sheet contains more information on an individual technique including:

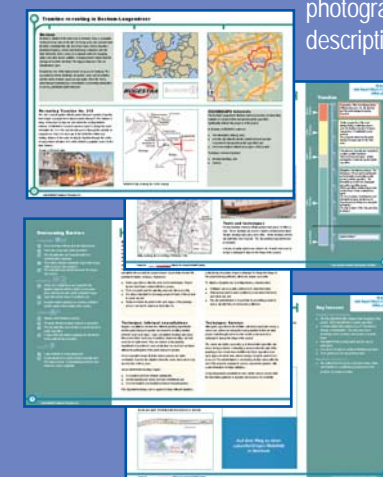
- a description of the technique and the alternative ways in which it can be used;
- advice on when it is appropriate to use the technique and on how the stage the project or strategy is at will affect the way you use it and the results you can expect;
- practical guidance on how to plan your use of the technique; and
- advice on how to evaluate that technique before, during and after it is used.



On the CD-ROM... Practice Examples

By clicking on the name of a city in the 'In Practice' section of the 'Tools' page in the handbook, you can link to more information on the example, including maps and

photographs and a full description of the project and the way key decisions were managed. This description also includes more information on the tools and techniques used, any barriers which were encountered and a timeline showing how the project moved between stages.



3.1 - Introduction to project management tools

What are project management tools?

The 'Project Management Tools' in this handbook are a few of the many tools designed to provide guidance for managing and achieving a successful transport decision-making process.

As a project can never be too well structured, it is recommended to incorporate as many of the project management tools as possible into your work plan.

Where it is recognised that change is required, project management has been identified as the key method to its successful delivery. By identifying each transport project as an individual process and applying project management skills and knowledge the decision-makers should be able to deliver a project on time, to budget and at the required quality.

Most projects require some degree of coordination and unless this is carefully planned either things will be done in the wrong order or there will be constant conflict and crisis. It is with these aspects in mind, that the 'Project Management Tools' in this handbook have been broadly defined.

The four broad phases involved in implementing project management are summarised in Figure 6. These phases are outlined in detail in Section 2 of this handbook. In summary these are:

(A) Scoping: is the initial stage of planning a project, where the whole decision-making process is mapped out by the project manager and the decision-making authority/organisation;

(B) Establish core team: is the identification of suitable individuals to form a project management team, that agree the decision-making process, the procedures to be utilised and the resources required;

(C) Detailed preparation: is the phase where detailed consideration is given to preparing specific plans/strategies and understanding potential risks and barriers; and

(D) Running the project: is the active phase of management within the running of the project.

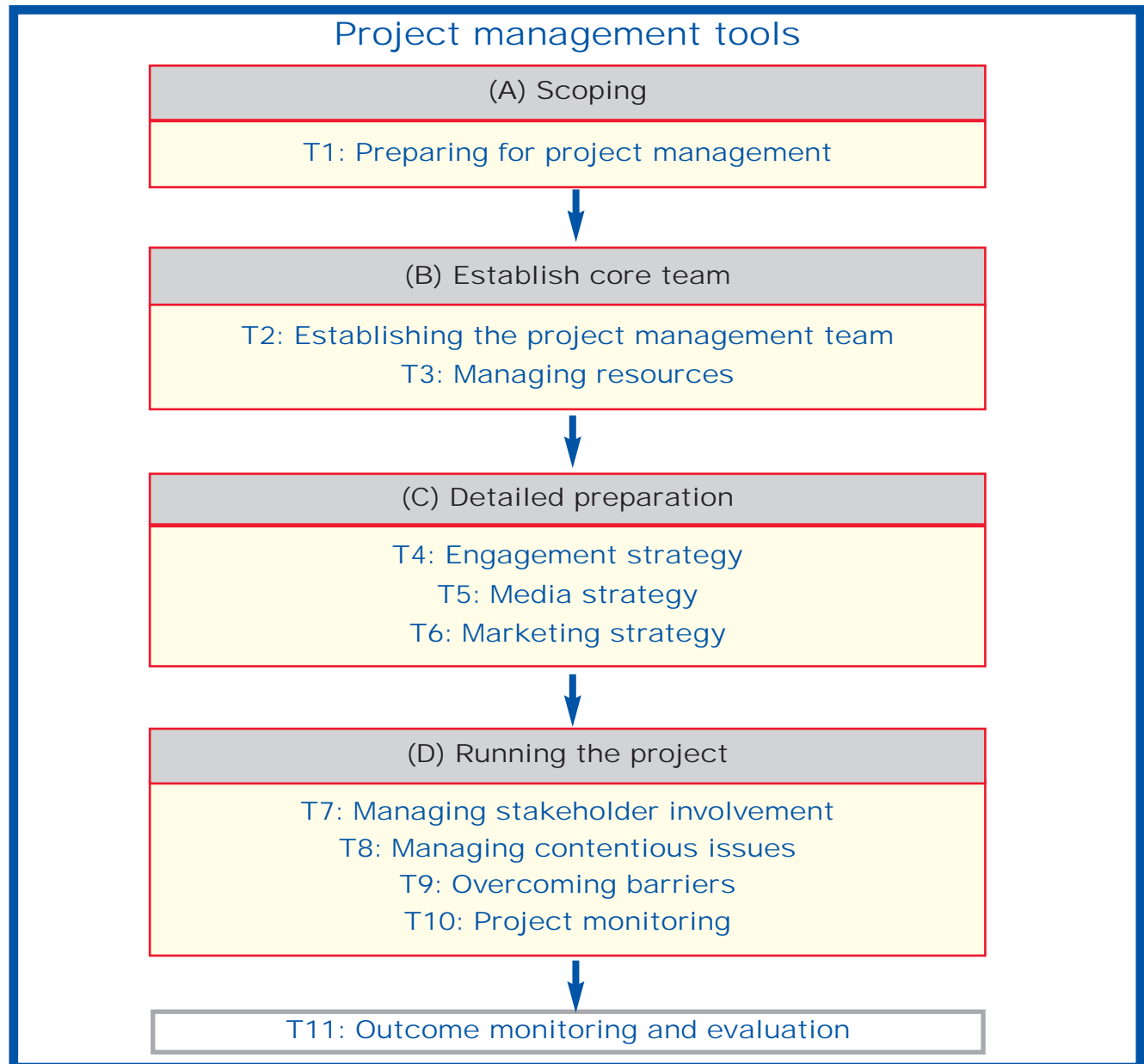


Figure 6 - Project management approach and related 'Tools'

Selection of project management tools and fact sheets

Project management is multi-faceted in nature and requires a range of specific tools to assist in successfully carrying out different parts of the transport decision-making process. Thus, unlike engagement, where the tools offered in this handbook provide a menu from which to select, nearly all the project management tools described here are relevant to each type of transport project. Larger projects may devote more resources to certain tasks (and appoint a dedicated person), but most of the tasks will still have relevance to the smaller projects.

Many books have been written on project management, and this handbook does not pretend to be fully comprehensive. Rather, it concentrates on those project management tools that have been found to be particularly relevant by the GUIDEMAPS project

partners to the development and implementation of transport strategies and schemes. In particular, the handbook focuses on those tools which help to avoid or overcome barriers that may be encountered during one or more stages of the transport decision-making process.

Each double page in this section is devoted to one of the eleven project management tools. The first page briefly summarises what that tool covers, what it aims to achieve and provides some useful hints about how it can be applied, based on our partners experiences. It also illustrates the application of the tool, by reference to one or more of the GUIDEMAPS Practice Examples.

Each tool covers several more specific topics. For example, in the case of 'Managing Resources' (T3), there are three kinds of resources that are of particular importance: time, skills and costs.

Whereas for the tool 'Managing stakeholder involvement'(T7), five broad types of stakeholder have been identified, ranging from elected officials to expert advisors.

These more detailed aspects of each tool are outlined on the second of the pair of pages, and linked to a set of 'Fact sheets - contained in Volume 2, which elaborate on each of these topics in much greater detail.

(A) Scoping

| | |
|---|---|
| T1: Preparing for project management | FS1: Developing a work plan |
| | FS2: Developing an organisational structure |
| | FS3: Management of information |
| | FS4: Quality management |

(B) Establish Core Team

| | |
|---|--------------------------|
| T2: Establishing the project management team | FS5: Project manager |
| | FS6: Project team |
| | FS7: External consultant |
| | FS8: Project champion |

| | |
|------------------------|--------------|
| T3: Managing resources | FS9: Time |
| | FS10: Skills |
| | FS11: Costs |

(C) Detailed preparation

| | |
|----------------------------|--|
| T4: Engagement strategy | FS12: Preparing an engagement strategy |
| | FS13: Identifying stakeholders |
| | FS14: Managing the engagement process |

| | |
|--------------------|---|
| T5: Media strategy | FS15: Feature article |
| | FS16: Press releases and news conferences |
| | FS17: Press pack |

| | |
|---------------------------|---------------------------------------|
| T6: Marketing strategy | FS18: Institutional marketing |
| | FS19: Information and image campaigns |
| | FS20: Awareness campaigns |
| | FS21: Individualised marketing |

(D) Running the project

| | |
|---|-------------------------------|
| T7: Managing stakeholder involvement | FS22: Elected officials |
| | FS23: The media |
| | FS24: Special interest groups |
| | FS25: Opponents |
| | FS26: Expert advisors |

| | |
|------------------------------------|---|
| T8: Managing contentious issues | FS27: Identifying issues for engagement |
| | FS28: Managing outputs |
| | FS29: Third party mediation & negotiation |

| | |
|----------------------------|--|
| T9: Overcoming barriers | FS30: Institutional / Legal / Financial (contextual factors) |
| | FS31: Management (process barriers) |
| | FS32: Communication (process barriers) |





| | |
|-------------------------|--|
| T10: Project monitoring | FS33: Measuring indicators |
| | FS34: Tracking progress |
| | FS35: Data collection and data storage |

| | |
|---|--------------------------------------|
| T11: Outcome monitoring & evaluation | FS36: Measuring outcome indicators |
| | FS37: Post-implementation evaluation |

Preparing for project management

There are many circumstances that can trigger the need for a transport project, such as the legal requirement to update a local transport plan, or a particular event (e.g. a new football stadium) that might necessitate new transport infrastructure.

Certain projects can be generated by professionals such as city officers (top-down approach), or by other stakeholders such as a citizens initiative or a non-government organisation (bottom-up approach). The first step in the project management process is the formation of a group of actors that agree to take appropriate action to address the issue.

- Developing a work plan → 
- Developing an organisational structure → 
- Management of information → 
- Quality management → 

Aims

A project should be planned around the six stages of the decision-making process as described in Section 2. This will in most cases provide a useful template, and ensures that no essential part is neglected. Project management is, however, more than just a work plan. It also requires:

- Developing a suitable project organisational structure with defined tasks, roles, and responsibilities. This is a process of self organisation;
- Providing for all necessary resources such as budget, skilled staff, and access to decision-makers; and
- Other managerial responsibilities, such as management of information, process monitoring, as well as quality and risk management.

The six stages of the transport decision-making process can be applied to both the overall project management structure and the sub-tasks within the project, such as carrying out a survey.

Useful hints

- Look at comparable projects and how project management has been organised;
- Make sure that all necessary skills and responsibilities are represented in the management team, e.g. transport and legal knowledge, heads of city departments;
- Define clear roles and responsibilities within the project team: client, project manager, information providers, decision-makers, etc;
- Consider carefully which organisational structure is most appropriate for your project. This will depend on the size and nature of the project;
- Define the scope and the objectives in a measurable way, particularly regarding time, cost, and quality of outputs and outcomes. Ensure that the whole management team takes note of the criteria and agrees on them; and
- The primary objective should be the solution of the transport problem and a high acceptance rate among stakeholders, not just implementing the transport measure.

In practice

Brno, Czech Republic

The Department of Land Use and City Development and the Transport Research Centre in Brno have prepared a project strategy for the revitalisation of Mendel Square in Brno. The project strategy involved creating a project team, preparation of background materials, creation of alternative solutions, information and media strategy, engagement strategy, decision-making and project evaluation. This project strategy was helpful to restart the revitalisation project and involve stakeholders in presenting a realistic project to the City Council.

Essex, England

Essex County Council, which borders London, looked at building two new roads on the A120 and A130 to by-pass communities and relieve congestion. The work plan was to compare the effects of varying degrees of engagement and GUIDEMAPS was used to prepare an engagement strategy for the A120. The main aims of the project were to improve the environment for the by-passed communities, slow down traffic, improve safety and improve conditions for other forms of transport.

Madrid, Spain

The 'Consortio Regional de Transportes de Madrid' identified the demand for an extension to the metro-system in the south west of the Madrid region. This extension links five municipalities within the Metropolitan Ring of Madrid, and is called the MetroSur. GUIDEMAPS was used to incorporate stakeholder involvement in the bus network redesign in one of the municipalities, called Móstoles.

In order to achieve a successful project and encourage stakeholder engagement, a project strategy was prepared that focused on the six stages of the decision-making process identified in GUIDEMAPS. The MetroSur project team prepared milestones, content and a timeline based on these stages. For each stage in the decision-making process, an outcome or aim was identified. Additionally, the expected timing considerations were shown for each stage of the decision-making process and included other tasks to consider in the process, such as Field Work, Process Design and Dissemination.

| Months | Nov 03 | Dec 03 | Jan 04 | Feb 04 | March 04 | April 04 | May 04 | June 04 | July 04 |
|-------------------------|--------|--------|--------|--------|----------|----------|--------|---------|---------|
| Activities | | | | | | | | | |
| Problem identification | | | | | | | | | |
| Process design | | | | | | | | | |
| Option generation | | | | | | | | | |
| Field work | | | | | | | | | |
| Impact assessment | | | | | | | | | |
| Decision making | | | | | | | | | |
| Policy implementation | | | | | | | | | |
| Dissemination | | | | | | | | | |
| Monitoring / Evaluation | | | | | | | | | |

An example of a workplan from Madrid, Spain.

Developing a work plan

The development of the work plan starts with the definition of the problem and the desired outcomes. The work required to achieve these outcomes is then subdivided into smaller manageable units (work packages), preferably by following the six stages of decision-making. The work packages are further subdivided into tasks, each of which is planned separately, in terms of quality, time, and cost. A detailed and continuously updated work plan provides the key management instrument throughout the project. It sets out the reference points for tracking progress (comparing actual with planned) and provides criteria for quality management. The work plan is also an important means of communication within the project team, and is used at project meetings to track progress and to make sure that everyone is focussed on the key issues.

Developing an organisational structure

After a group of actors has agreed to initiate a transport project, one of the first steps is to establish a project team and to give the team a suitable organisational structure with defined roles, responsibilities, and decision-making powers. As the team needs access to resources (money, knowledge, staff, formal political decisions), the project organisation is usually linked to a permanent organisation, such as to the city administration. One of the first critical issues is the degree of independence of the project, in terms of leadership and staff resources. After this has been agreed, the project organisation can be established by undertaking some preparatory steps (definition of roles, responsibilities and procedures) and the development of an organigram. This is the responsibility of the project manager, as the project organisation has to be customised to the specific needs of the project.

Management of information

The management of information concerns the handling of all the information available and required within the project, and is coordinated by a project team member. This might be a dedicated information officer (in a large project) or a role assigned to a member of staff. Centralised handling is important to maintain an overview and to identify and capitalise on synergies from all the different information flows. Particular attention should be paid to information needed for formal decision-making in the project, and also to the links between the decision-making and engagement processes: what planning information should be shared with external stakeholders, and how will the input from stakeholders inform the planning process? The establishment of an information management system should be one of the first tasks in a project, as some information will already be required as input to detailed planning.

Quality management

A well planned quality management system is a key component of project planning, to help ensure a high quality output; it can also help to avoid some barriers in the project and to identify others early on. It should be implemented by a commissioned evaluator external to the management team, in order to ensure impartiality. The main principle behind quality management is to define core performance criteria at the beginning of the project, and to check the progress against these criteria on a regular basis. This task should be embedded in an overall project management strategy that also includes preventative actions such as quality training. Quality management will also assist in finding solutions for problems that occur during the project. It provides several instruments to help identify the causes of a problem, and to reach a solution on a collaborative basis, without blaming and de-motivating staff members.

Potential problems





All transport projects are likely to encounter problems. Successful project planning will try to avoid as many problems as possible and from the outset will try and identify potential barriers. The following should be taken into account to avoid or overcome potential problems:

- From the start, the work plan should attempt to list all potential problems and categorise them into those that might be avoided and those which will need to be overcome.
- Even the best prepared work plan will fail to identify all potential problems, but the plan should contain a clear strategy showing how the project will deal with unforeseen barriers.
- Some unforeseen barriers will not be easy to overcome without a radical re-think of the project. A good work plan will be responsive to unforeseen problems and be flexible enough to accommodate any necessary changes.
- Transport projects usually take time to implement, and for the larger ones, changes in key elements such as the political/institutional, legislative or financial situation, will inevitably occur over time. Problems will sometimes occur because changes in circumstances have not been recognised in time. A work plan should identify and benchmark the existing political, legal and financial situation and establish a review process for each key element.
- There might be several partners responsible for delivering a project. Not only should the work plan identify respective roles and responsibilities, but it should ensure that each partner is explicitly signed up to the plan.
- Once a work plan is completed and before it is implemented, it should be rigorously tested against various scenarios designed to anticipate potential barriers, to assess the plan's responsiveness and ability to accommodate changing circumstances.

Who are the staff involved in the transport management team?

Staff are an integral part of any project. The process of managing people within a project is one of the most important concepts of project management.

The delivery of successful project management and engagement activities requires a high level of skill on the part of all people involved in the process. Good skills influence the project outcomes at many levels. For transport projects there are four key groups that play an important part in delivering quality outcomes. These groups have different roles and responsibilities in the project process:

- Project manager → 
- Project team → 
- External consultant → 
- Project champion → 

Aims

The main roles of the people involved in a transport project are:

- Identifying, tracking, managing and resolving project issues;
- Proactively disseminating project information to all stakeholders;
- Identifying, managing and mitigating project risk;
- Ensuring that the solution is of acceptable quality;
- Proactively managing the scope of the works to ensure that only what was agreed to is delivered, unless changes are approved;
- Monitoring and collecting information to give a sense of how the project is progressing and whether the deliverables are acceptable; and
- Managing the overall work plan, to ensure that work is assigned and completed on time and within budget.

Useful hints

- Power struggles and lack of initiative are common problems; try to avoid this by creating a project team that works together, towards achieving common goals;
- Symptoms of an ineffective team include cautious or guarded communication, lack of agreement, use of personal criticism, malfunctioning meetings, unclear goals and low commitment;
- A productive team is characterised by common commitment, specific performance goals, the right size and right mix of people, a common approach and mutual accountability; and
- Approaches to building effective teams include careful selection, training, creating a sense of purpose, open communication and special team building techniques.

In practice

Ile de France, France

An Urban Transport Plan for the Ile-de-France region was signed in December 2000 after several months of preparation. It includes measures to decrease car traffic, encourage the use of public transport, minimise the impact of freight transport and organise parking facilities/policies. A project manager, called the Committee Manager, was appointed to organise and facilitate steering and technical committee meetings which were used to discuss local and/or technical issues.

Madrid, Spain

A major consideration in the preparation of the MetroSur bus network redesign process in Madrid was the involvement and engagement with stakeholders. However this involved considerable time and resource implications and caused obstacles to the project management process. To overcome these obstacles an external contractor was commissioned to conduct the engagement work. The external contractor was particularly useful as they were able to contribute additional time and skills to those of the project team.

Graz, Austria

The city-wide 30/50 kph speed limit in Graz was an unprecedented measure which raised legal and technical issues that were exploited by a strong political opposition. Problems, however, were solved by well-organised project management. The project group consisted of key decision-makers and experts from relevant subjects such as law, city planning, road construction, transport, and marketing. All were carefully chosen and motivated supporters. They established a discussion circle with regular meetings where they anticipated all foreseeable problems and prepared a solution in time. The factors of success were:

- The direct link of the management to the political level. The key decision-maker and project manager, acted as a project champion.
- The smoothing of the bureaucratic process. The project champion became head of the key departments of the city council. This ensured that managerial decisions could be carried out effectively.



Examples of marketing campaign for Graz.



Who is involved in the project team?

Project manager

In general, the project manager is responsible for the overall success of the project. In some organisations, this person might be called a Project Coordinator, or a Team Leader; however, the key aspect is that this person is responsible for ensuring the success of the project. The work involved in defining the project means that there is an understanding and agreement on the overall objectives, scope, risk, approach, budget, etc. It also includes defining or adopting the specific project management procedures that will be used to manage the project. This does not mean that the project manager must do all this work him/herself. There may be an entire team of people to help deliver the work plan. However, the project manager is ultimately accountable.

Project team

The project team is a group of individuals with appropriate and complementary professional, technical or specialist skills who, under the direction of the project manager, are responsible for carrying out the tasks detailed in the work plan. The size of the team will, of course, depend on the nature of the work being undertaken.



External consultant

Often a project team will find that they are unable to fully staff a project with available internal resources. This may be due either to a shortage of people with the required skills or simply a shortage of people with the time available to undertake the task/s required. Either way, a portion of the project may need to be undertaken by external consultants.

An external consultant can often be involved in transport projects for a number of different tasks, from a specialist facilitator for a visioning workshop, to a specialist transport engineer for the design of solutions to complex transport problems.

Project champion

A project is often initiated and carried out as a result of the actions of individuals. The common characteristic of these people is that they hold some kind of key position, and have a personal commitment to the project. The support of a project champion can smooth the path of a project significantly. A lack of a project champion can be a major obstacle if barriers occur.

In many cases, project champions are already involved at the start of a project, as they often play the role of the initiator. If this is not the case, project partners should try to convince senior figures in their organisation, key political players and others to take on this role.



Project champion at radio show in Brno, Czech Republic.

Potential problems

Project management that is inadequate or even absent is a frequent cause of barriers. It will fail to identify and respond to potential barriers quickly enough, leading to serious delays and in severe cases the failure of the project. The following should be taken into account to avoid or overcome potential problems:

- There are two aspects to project management, one is to manage the process, which is a largely administrative task. The other is more technical, managing resources, dealing with contractors etc. Projects can fail if they are too obsessed with process, but barriers will occur where projects are focused on technical issues ignoring process.
- Crucial to the success of a project is ensuring that the role of the project manager is clearly defined. Where a wide range of competencies are required, consideration should be given to splitting the role.
- A frequent cause of problems is lack of clarity as to the role and responsibilities of the project group and the roles and respective responsibilities of the various members within the group. Therefore:
 - a) The role of the project group must be clearly spelt out from the beginning. What level of decision-making does it have? Is its remit wider than just managing the project? Does it have a role in championing the project? If so, are all the group equally committed to the project?
 - b) If external bodies are represented, will there be potential conflicts of interest by being a member of the project management team?
 - c) It is, therefore, important that the interests and level of commitment of each member of the project management team are clearly understood at the beginning of the project, and agreement reached on the degree of collective ownership and responsibility.
- The development, decision-making and implementation stages of a project might require different management skills. A good work plan will recognise this and ensure that there is sufficient flexibility to ensure that the correct leadership is in place for each stage of a project, and that continuity is maintained.

What is resource management?

Resource management is about determining what resources are available for the project and how these resources can be used most effectively, at each stage of the decision-making process.

Here, we consider three resources that are essential to the progress of a project:

- Time → 📅
- Skills → 👤
- Costs → 💰

Aims

It is important to manage resources effectively for the following reasons:

- Good management of resources is important to ensure that the project is completed on time and to budget;
- Many barriers to projects occur because the necessary time, skills and finances are not available to complete a task well - these barriers are often avoidable;
- Good management of resources should make it easier to find a quick and effective solution to any unexpected problems which may arise;
- Effective resource management can reduce the overall cost of the project, by using the available resources more efficiently; and
- Good management of resources is important in ensuring that all partners in the project work to their maximum capability.

Useful hints

- Think about the long term. If you are likely to require someone with specific skills, it may be cost-effective to recruit someone full-time or to train an existing staff-member, rather than relying on ad hoc consultants;
- Be aware of the timing of other projects in your organisation, particularly if the same staff will be involved;
- If you are relying on an individual within your organisation to perform a particular task, make sure that they are aware of what will be expected of them and when;
- Don't expect everything to go to plan. Circumstances beyond your control may affect the resources required for your project, so be prepared to adapt your plan;
- Think about the timing, costs and skills required for individual tasks as well as for the project as a whole; and
- Good planning can save time and money. But don't spend too long planning minor details where this is unnecessary.

In practice

Gävle, Sweden

A key factor in the success of the cycling project in Gävle was the appointment of the project manager, whose extensive communication skills were employed throughout the project. These skills, along with his knowledge of local businesses and his background in marketing, helped to secure additional funding for the project from the local business community. Therefore, when appointing people to key roles in a project, such as project management, look for extra skills and experience, which might prove valuable.

Brno, Czech Republic

The need to complete the final sections of the ring road for Brno was a long-established problem for the city. Once plans had been approved, it was necessary to secure financial support. As the ring road was recognised as a priority issue, it was possible to gain funding from the Directorate of Highways and Motorways of the Ministry of Transport. This massively reduced the amount of money that had to be contributed from the city budget.

Madrid, Spain

For the planning and implementation of the new MetroSur underground ring line a special company MINTRA (Madrid, Infraestructuras del Transporte) was created. This public company took care of the funding of the project and also assumed debts. Besides the financing of the project the new company's small management board with absolute power of decision-taking in a technical and economic way allowed fast decision-taking and also a quick construction.

The clear division of responsibilities, the fact that the management team for the project (MINTRA) was quite small and had effective power for decision-taking and the overall political support of all political parties allowed a fast planning and implementation of the new underground line. Unexpected problems during construction work were solved within a 24 hours timeframe in order to keep to the scheduled timetable.



Construction of a station of the new MetroSur Underground.



New train for MetroSur Underground.

Time

Time management is an essential part of good project management. It is required for the project as a whole, as well as for the individual elements of the project, which include the decision-making framework and the engagement activities. Time management needs to take account of the fact that a delay to what might appear to be a minor task may have a significant impact on the overall progress of the project. For example, where legislation is required to gain permission for a scheme, but the inputs to this process have not been provided in time, a substantial delay might result.

Time management needs to take account of the costs associated with a lengthy planned decision-making process, as against the external economic, social and environmental costs of a delay in the delivery of the project. This means achieving a balance between a sufficiently well planned project and making sure that the project proceeds as quickly and efficiently as possible.

Costs

Managing financial resources is crucial to the successful delivery of a project. It is important to consider all associated costs (internal and external) and when these are likely to occur in a project's lifetime.

For most projects, it is necessary to have a plan in place for meeting unexpected costs. This should identify potential sources for additional funds and/or any aspects of the project which could be reduced in scale or cost, if necessary. Be careful not to use budget allocated to later stages of a project on earlier stages. For example, using the monitoring and evaluation budget in an earlier project stage. Seek extra funding if necessary.

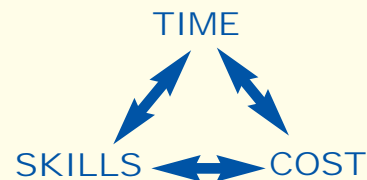
Include the costs for the engagement strategy and be clear about the commitment you are making to stakeholders. Costs can escalate unless you have a clear engagement strategy. Remember also that a well executed engagement strategy can save money in the long term.

Skills

Transport projects require a wide range of skills and specialist knowledge. The skills required to produce a technical scheme design are very different to those required to develop an engagement strategy. Identifying appropriately skilled people for each task is an essential part of project management. Some skills will be available within your organisation; others will need to be identified among project partners or be obtained by using external consultants.

Where certain skills are lacking within a project team, consideration should be given to specific training of less skilled or more junior members of staff. Investing in training can result in cost savings and major benefits for future projects where these new skills can be applied again.

Don't forget that resources of time, skills and cost are inter-related. For example, finding a person with specialised skills can be time consuming and expensive, but proceeding without the appropriate skills can lead to poor results which can take extra time and investment to correct.



Potential problems

Few transport projects will actually start with inadequate resources to complete them. Many problems associated with the lack of resources are actually caused through poor management of the resources committed to a project. The following should be taken into account to avoid or overcome potential problems:

- One of the biggest barriers to effectively managing resources is the failure to ensure that all the necessary resources are identified at the outset of the project and are constantly monitored. Many project management tools will monitor costs and critical dates, but ignore the skills element. Transport projects, in particular, can run into difficulties through the inability to anticipate and recruit the right skills at the right time.
- Key partners in a project will bring with them a range of resources, not all of which will be immediately obvious. At the start of the project it is good practice to audit and agree the range, extent and timing of the resources a partner is able to commit to a project.
- Formal project management tools and computer software are available to help manage resources. However, to avoid the tools themselves adding barriers, ensure that they are fit for the purpose, and that the 'in-house' preferred project management tools are not uncritically used on every project without rigorously testing their suitability. Where a project management tool has been frequently and successfully used in the past, it is not uncommon to attempt to develop the new project to fit the tool.
- Over-long and unstructured meetings are a common waste of scarce resources and result in the unproductive use of professional skills. Mandatory attendance at badly organised meetings will cause resentment, creating internal barriers. It is, therefore, sensible to review the format and frequency of project meetings to ensure that they are focused and well structured meetings, with only essential personnel attending.

What is an engagement strategy?

An engagement strategy is about ensuring that public engagement is an integral part of the decision-making process. It provides the opportunity for stakeholders to make an input into the process and allows for early awareness and ownership of the process. An engagement strategy is not a cosmetic exercise, as this can lead to alienation from the decision-making process, create increased opposition, is a waste of resources and will not provide better outcomes. There are different aspects of engagement planning that are essential for a well integrated stakeholder engagement and decision-making process:

- Preparing an engagement strategy → 📄
- Identifying stakeholders → 📄
- Managing the engagement process → 📄

Aims

An engagement strategy has the following aims:

- To establish early in the project process how stakeholders will be involved in all stages of the decision-making process;
- To establish how the involvement of stakeholders might affect the decisions made throughout the project process;
- To identify the relationship between stakeholder engagement activities and project decisions; and
- To clarify the roles and responsibilities of project staff, with respect to engagement activities.

Useful hints

- Be clear about the scope and objectives of the engagement strategy;
- The focus of the engagement strategy should be a description of the stakeholder engagement activities proposed to take place, showing the sequence of activities, and how these are interrelated;
- A detailed engagement strategy can save time and money. It also provides a framework for the identification of stakeholder groups that will be involved and a checklist against which it is possible to identify gaps in the groups selected; and
- A documented plan is helpful for all staff, including those who will be directly involved in the engagement activities and also for other project team members who will not be directly involved. A documented plan is also valuable evidence if there are challenges to the engagement process.

In practice

Surrey, England

The engagement strategy in the Eco-Logica project was planned in two phases. In the first phase a series of meetings with councillors, environmental groups, businesses and public transport operators took place to identify key transport issues - problems and opportunities. In the second phase many of the stakeholder groups were revisited to explain the findings of the first phase and to identify agreement and disagreement around issues and solutions.

Essex, England

Essex County Council ran two similar transport improvement schemes in parallel, one with an innovative engagement strategy (the A120) and one without (the A130). Evaluation has shown success and stakeholder support of the A120 proposals, compared to the A130 which lacked a formal engagement strategy. Among other techniques, the engagement strategy for the A120 involved using interactive techniques, such as an exhibition, active selection of options using stickers, informal discussions with staff, computer presentations and a technical working party.

Brno, Czech Republic

The need for a ring road to ease congestion in Brno was a long established problem. By 1990, several sections, already built, needed to be linked. However, the proposal to knock down 95 residential buildings to make way for a key section faced strong public opposition.

Residents were informed about the scheme through the local newspaper, exhibitions, talks, leaflets and displays on official notice boards. The Municipality also developed a strategy to gauge public opinion of the ring road proposals through a survey and an opinion poll. The Institute of City Development produced and printed questionnaires and leaflets, while the Municipality of Brno-Nord provided the rooms for the exhibitions and helped distribute the questionnaires.

The strategy was deemed a success. Local residents played a very active role in the decision-making process. For example, the residents of nine streets carried out a petition and held a demonstration in support of the proposals.



The new section of ring road in Brno.

Preparing an engagement strategy

An engagement strategy is a management document that brings together the information that will inform the project team and others as to the objectives and approach for the engagement activities.

There are several important reasons for preparing an engagement strategy:

- It provides a preliminary indication of the range of stakeholders that need to be involved;
- It ensures that careful consideration is given to how stakeholders can be involved in the decision-making process;
- It represents a statement of how the outputs of the engagement activities link with the decision-making process; and
- Coordinates who does what, when and how, leading to well structured engagement activities.

Managing the engagement process

It is important to plan in detail how you will communicate your transport project and its expected outcomes.

The engagement strategy should be linked with the media strategy, as an essential part of the engagement process is about communication with stakeholder groups. Once these plans and strategies have been developed, it is very important to monitor and review each planned activity in line with the developments of your project.

On-going management of the engagement process is as important as the initial planning stages.

Identifying stakeholders

Often the most difficult activity in engagement planning is identifying who should be involved in the decision-making process for a transport project. Deciding who the relevant stakeholders are varies for individual projects. A stakeholder can generally be defined as a group, organisation or individual affected by, or who can affect, a project and its implementation, whether directly or indirectly.

To help identify the potential list of stakeholders that should be involved in the engagement process, it is first necessary to consider the geographic and demographic impact of the proposed scheme or policy.

It is then important to extend the thought processes beyond the direct impact to possible indirect impacts. A scheme may have very confined geographic boundaries, but the indirect impacts may extend well beyond this area.

Prepare strategies and plans to engage widely with public and technical audiences

Implement activities following the engagement strategy

Monitor and review engagement activities as technical knowledge develops

Potential problems

Effective engagement with stakeholders is crucial to the success of any transport decision-making process. Projects where the engagement process has been successful should encounter fewer barriers, and will have become better projects through the process of engagement. But failures in the engagement process will create problems, which otherwise might have been avoided. The following, therefore, should be taken into account:

- An engagement strategy should be prepared at the beginning of the project as an integral part of the work plan. It should have explicit links with the project management and decision-making process, and it should be part of the process of defining and overcoming problems.
- In preparing a work plan, sufficient resources must be allocated to developing and implementing the engagement strategy. Engagement with key stakeholders on a major transport project cannot be undertaken cheaply. Lack of resources, or a clear strategy will create barriers through a failure to properly engage with stakeholders from the outset, which might be difficult and costly to correct later in the project life.
- Rarely will one engagement tool be effective with all the sections of a diverse community. Taking shortcuts in the engagement process is not a desirable approach as this can be a false economy, leading to project delays and increased opposition to a project.
- Engagement is an on-going process and not something that has to be 'endured' at the start of the project. To avoid problems, effective engagement will occur at all stages of project development and implementation, and will be the subject of a systematic review to ensure that it continues to engage with all stakeholders and that newly identified stakeholders be brought into the process.
- Problems will be created where participants are not clear as to what their role is and the degree of influence they can exert. The engagement strategy should spell out the ways stakeholders can influence project development and the decision-making process, and how and when feedback will be given.

What is a media strategy?

A media strategy is a plan designed to manage the relationship between the project team and a wide range of media organisations. It includes arrangements for controlling the release of information, for liaising with media organisations and for responding to inaccurate or unfavourable coverage.

There are a number of key tools that combine to form a media strategy. For most projects, the most commonly used tools relate to:

- Feature article → 
- Press releases and news conferences → 
- Press pack → 

Aims

A good media strategy aims to:

- Control what information is released and when;
- Encourage the media to report on the project;
- Reduce the likelihood of inaccurate media coverage;
- Respond effectively to unfavourable coverage to minimise damage to the project; and to
- Use the publicity provided by news media as an integral part of the project.

Useful hints

- Identify the media organisations you wish to work with; some transport projects will be of interest only to local media, while other large-scale, controversial or innovative projects may receive wider media attention;
- Think about the audience you wish to reach. This will influence the way in which information is presented and to which types of media;
- Appoint a member of staff to deal with media queries. This person must be very familiar with the project and be able to explain technical issues clearly;
- Be aware of the media organisation's deadlines and the format they require for the information;
- Advertisements in the media can be an effective way to communicate information to certain target groups (see marketing strategy); and
- Newspapers can provide a low cost method for delivery of leaflets to many households.

In practice

Maribor, Slovenia

The idea of cycle network paths in the Slovenian city of Maribor came from a campaign group. The council approved the proposals - but there was little enthusiasm for them from either policy-makers or the public. Work on the paths stalled. The campaign group responded by launching a series of high-profile protests, such as clearing snow from the paths to show they were not being properly maintained. For each protest, they sent out a press release. Campaigners also learned how to talk to journalists. The protests gained widespread media coverage, and gradually gained more public and political support.

Maribor, Slovenia

The authority in Maribor prepared a press kit to promote cycling. This 'press kit' consisted of a, clear and expressive title, set of sub-titles, state of affairs, city commitment to sustainable transport, short presentation of the study, list of Maribor Cycling Network demands, excerpts from the LA21 and long-term strategy, list of contacts and graphics.

Gävle, Sweden

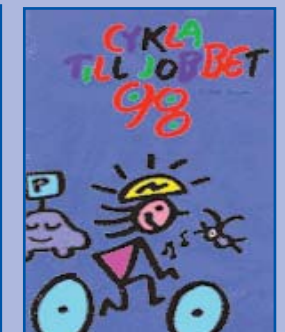
Plans to turn the Swedish town of Gävle into a 'cycling city' depended on getting the maximum people on their bikes. To achieve this a widespread publicity and media strategy was needed.

The project manager was very important in this, because of his marketing and media backgrounds in raising awareness, and formed a partnership with a city newspaper.

One campaign that attracted great media interest was the Health Pedallers initiative. Eight motorists cycled to work for a year, and their health was monitored. The newspaper followed their progress with regular updates.

The project manager also ran a competition for businesses, and all those who took part were given free adverts in the newspaper. Another technique used was to write letters for the newspapers countering any public criticism.

Overall, the Gävle campaigns attracted enormous media interest - including at the national level - and today, 20% of all trips in the city are done by bike.



Above: The campaign logo. Left: A flyer inviting people to participate in the Health Pedallers campaign.

Feature article

A feature article will generally provide a broader overview of the project than that provided in a news story produced from a single news announcement. Unlike the release of news information, where a range of media organisations receive identical information, work on a feature article is likely to be negotiated between the project team and a single newspaper or magazine, or television or radio programme. For television or radio a transport project may be featured as an extended item on a local news programme or documentary. The organisation is likely to ask to film or record at relevant locations and interviews with project team members and stakeholders. A written feature report may be written by a journalist, or by a member of the project team.

Press releases and news conferences

When designing a media strategy, it is important to plan how you will release information to the media. This applies both to general information on the progress of the project and to any breaking news stories. The main tools for delivering new information directly to news media are press releases and news conferences. Press releases and news conferences must be carefully managed to ensure that they deliver the information in a way that allows journalists to use it effectively as a source for an interesting news story. This information provides the raw material on which a news story can be based. Both these tools are targeted at the news sections of the media and are only appropriate where there is new information that has not previously been published. It is essential that the information provided is accurate, timely and interesting.

It is important to remember that these techniques give no direct control over the material that the public will eventually see. The same information is provided to a range of news organisations and each journalist will contribute other knowledge or experience to the story and focus it on the aspects most likely to be of interest to their audience. This can lead to a focus on negative issues associated with the project. However, it is also important to remember that controversial or negative issues associated with a project are likely to become news whether or not the press are formally provided with information. A press release or news conference can be used to address misconceptions or to clarify issues at an early stage, and can improve journalists' knowledge and understanding of the project and so improve the accuracy of published material.

Press pack

A 'press pack' or 'media kit' is a useful tool for communicating important information to the public via the media. For a transport-related project, media kits might include a collection of information about the project, issue or decision which is presented to journalists for inclusion in a newspaper article, journal or website.

A press pack is very useful at a press release or news conference where it will help to provide information, giving a broad overview of the project and its objectives that establish the context for the new developments.

Potential problems

Adverse media coverage of a transport project will create major problems. Once a media source has adopted a negative editorial position it will be extremely difficult to change it or obtain positive coverage. The following, therefore, should be taken into account to avoid or overcome potential barriers of this kind:

- To avoid communication problems between the project and the media, it is advisable to make early contact with the media, and to try and consult the media in shaping the strategy to ensure that information is issued in a timely and media friendly format.
- A media strategy that is not properly resourced is more likely to encounter barriers than overcome them. Resources include adequate funding to run campaigns or disseminate information, but also to ensure that the project has the services of someone skilled in dealing with the media.
- The media will rarely be interested in technical information, so make sure that any press release has an 'angle' that will attract the attention of the media. Failure to provide an interesting angle, could result in the media putting its own spin on a story.
- Opponents of schemes will also use the media, so the media strategy should be clear on when to respond to adverse criticism. Being drawn into a protracted argument through the media is more likely to create barriers than overcome them.
- It is not always necessary to respond to every bit of criticism, or to have the last word. Where opponents are making wild and unsubstantiated claims, be careful on when and how you respond. By replying to outrageous criticisms, it will frequently appear to give substance to them. Problems can be avoided by ignoring such claims, and making it clear that you do not feel they are worthy of comment.

What is a marketing strategy?

Rather than using a random set of communication tools and techniques, it is much more effective to create a comprehensive marketing strategy. The strategy should define the range of communication tools that will be used, as well as market research techniques needed to measure attitudes before and after communication activity takes place. The main objective of the marketing strategy should be to provide core information about a project. In general, the provision of objective information about a transport project should precede efforts to improve the image of the project.

The most common used marketing tools are listed below:

- Institutional marketing → 
- Information and image campaigns → 
- Awareness campaigns → 
- Individualised marketing → 

Aims

A marketing strategy should aim to:

- Provide information about a project;
- Gather political support for a project;
- Gather public support for a project;
- Reduce political and public opposition against the project;
- Increase public awareness about a project;
- Improve the image of a project; and
- Influence the public in favour of sustainable transport projects.

Useful hints

- Provide sufficient basic information on a project before you try to improve its image;
- Be clear about the target groups for the marketing strategy as different groups require different approaches;
- Keep in mind that all information intended for the public has to be easy to understand;
- Check that everybody involved in the project knows about the marketing strategy, and that they support the strategy;
- Use market research to prepare your marketing strategy, to modify it and to measure its success; and
- If you do not have the skill or experience to develop and implement a comprehensive marketing strategy do not hesitate to involve external expertise.

In practice

Bochum, Germany

There was an unexpected level of opposition to a proposed tramline extension project following an initial stakeholder presentation. Complaints from individuals soon developed into a more organised opposition. The press took up the issue and presented the opposition as the majority view. To counter this, a marketing strategy was developed. Its main aims were to inform the public about the proposals, to change perceptions of the project among those affected, and to prompt the silent majority in favour of the project to speak up.

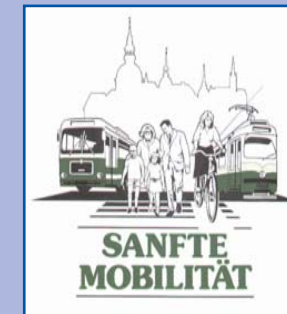
Saarbrücken, Germany

The construction phase of the new tramline was accompanied by an intensive marketing campaign to inform the public about the tram and possible obstructions caused by building works. Later, the campaign aimed to improve the image of the tram, and one aspect was a competition to let the public decide about some design elements (colour scheme, etc). The strategy was an important factor in reducing the number of public complaints during the construction phase, and, therefore, significantly advanced the project progress.

Graz, Austria

A marketing strategy accompanied the planning stages and implementation of city-wide 30/50kph speed limits. This strategy comprised institutional and public communication levels. The institutional level consisted of two-way communication throughout the lifespan of the project. The aim of the 'institutional marketing process' was to gain allies, convince opponents and isolate the remaining opponents. The public communication strategy was not very interactive and concentrated on information provision. Some public meetings took place during the preparations for the project.

Controversial press coverage generally helped the process of reflection. A graphic artist was commissioned by the city council to carry out professional marketing. The first stage was to increase awareness of the problem. The next stage was to provide car drivers with information about the new regulations. The entire campaign was based on a holistic concept, customised for the field of transport policy and for specific conditions and needs.



Marketing materials produced for the Graz speed limit restrictions.



Institutional marketing

Institutional marketing is a tool used to influence and win the support of groups mainly responsible for strategic decisions about a project and the distribution of resources, for example, politicians, authorities and municipal administrations. These stakeholders sometimes have conflicting, or even opposing, views with regard to transport projects. Therefore, institutional marketing promotes the benefits of a project in order to reduce internal opposition within authorities and municipal administrations. It also aims to create a common attitude towards a project resulting in a more consistent portrayal of the project to the stakeholders that will be affected by it.

Information and image campaigns

Product marketing does not generally include the provision of a lot of information. It concentrates on the development of a certain image or brand value. For marketing campaigns associated with transport projects a different approach is necessary, as it is not sensible to create a new image for a project as long as the public does not know what the project is about.

Market research surveys to identify behaviour and attitudes of the public are an important input for marketing campaigns, as they can provide guidance on the emphasis and direction of the marketing activity, recognising the varying concerns and needs of different stakeholder groups.

Awareness campaigns

An awareness campaign can focus on a very particular issue (or a range of issues) associated with transport related problems, such as, levels of pollution, traffic accidents etc. These campaigns may not have a direct measurable effect on behaviour, but they can be important in increasing public awareness of the background factors influencing policy or planning initiatives. Raising awareness is a part of the marketing mix and can be carried out sporadically or on an almost continuous basis; but it should be noted that awareness campaigns require specialist skills to ensure that they are effective. Awareness raising does not, necessarily, need to be connected to a specific project; it can also be done continuously as a general campaign to increase the use of sustainable modes of transport.

Individualised marketing

Individualised marketing campaigns to change the attitude of citizens towards a project are best employed when targeting groups with a strong interest, like citizens directly affected by a project. By giving them personalised information through personal contact, their attitude towards a project can be significantly changed. Individualised marketing is very important in transport schemes where there is little or no new infrastructure, but a change in public behaviour is required; for example, car sharing schemes. In these cases, individualised marketing can provide the main tool for initiating change and achieving success.

Potential problems

The benefits of transport projects are not always self evident, and have to be 'sold' to stakeholders. A good marketing strategy can avoid problems by promoting the positive aspects of a project, and will be an essential tool in the process of shaping attitudes and stakeholder perceptions. The following should be taken into account to avoid or overcome potential problems:

- Many projects might require significant changes in stakeholder behaviour. To avoid creating barriers it is, therefore, essential to get the 'tone' of the marketing strategy right. People generally do not like being told what to do or what is good for them; therefore, a marketing campaign that is too strident will cause barriers, as will a campaign that seems to talk down to stakeholders.
- While a good marketing campaign will concentrate on the positive aspects of a project, barriers can sometimes be avoided if the strategy is open about any negative effects. By recognising the dis-benefits of a scheme, the marketing campaign can take the initiative and direct the debate on how to mitigate any adverse impacts.
- A good marketing strategy will be concerned with control over the flow of information, identifying who gets what information at what time and in which format. However, barriers will occur if stakeholders feel that information is being withheld or manipulated.
- It is important to include the decision-makers in the marketing strategy, and link it to the political process. Barriers will occur where the decision-makers are continually having to respond to events, especially where they have not been given adequate advance information about potential problems or shifts in public perception.
- Before undertaking any project, market research should be undertaken to get a firm idea of public perceptions and in this way identify potential barriers at an early stage in the project planning process.

Who are the stakeholders?

There are many people outside the project team whose actions can influence whether or not the project is a success. It is important to be aware of who these 'external actors' are and how relationships with them can best be managed.

Here, we consider several key groups:

- Elected officials → 
- The media → 
- Special interest groups → 
- Opponents → 
- Expert advisors → 

Aims

Effective management of stakeholder involvement is important to a project for the following reasons:

- Stakeholders bring a wide range of skills, knowledge and experience to the project. If well managed, this can help to make the project more successful;
- Stakeholders play a significant role in the project process. Ensuring that they have a good understanding of the objectives of the project can improve the quality of decision-making;
- Good management of relationships with stakeholders is an important way to ensure that opinions are based on the merits of the project itself, reducing opposition;
- Establishing and maintaining good relationships with these groups can allow complaints and issues to be addressed at an early stage and the project design to be improved; and
- Good management of relationships with stakeholders helps to avoid some potential problems.

Useful hints

- Take careful account of comments or concerns from stakeholders. Constructive criticism can improve the project;
- Be courteous. Make sure individuals or groups are kept informed of any changes. This is particularly important for public figures who may be approached for their opinions on the way the project is progressing;
- Never be tempted to ignore complaints about the project. This will only increase opposition;
- You will need to adapt your engagement activities for different groups. The media might require a different form of approach than engagement with politicians; and
- Sometimes, stakeholders will only be concerned with the impact of your project. More often, they will have a general interest in transport and other issues in the area and their involvement will be ongoing. Find out if your organisation has an existing structure to interact with these groups and develop a coordinated approach.

In practice

Erfurt, Germany

An external planning office was commissioned to moderate the internal working group and parliamentary working group in setting up the LTDP (Local Transport Development Plan). This was done to create a 'neutral' moderation and to profit from 'western expertise' in project management and engagement planning. The work of the external moderator was ranked as very useful by all participants. By means of their participation in the parliamentary working group the political parties were more directly involved in the development of the LTDP than usual. The parliamentary working group met five times during the two years of setting up the LTDP.

Maribor, Slovenia

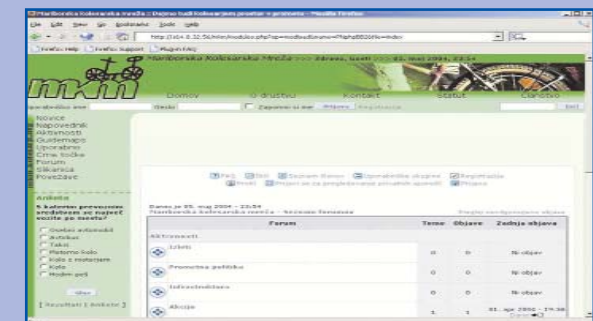
A stakeholder group in Maribor, called MCN (Maribor Cycling Network) represented the interests of cyclists and played a significant role in proposing an extensive cycling network. The group initiated the project, and managed to raise the profile of the scheme through a series of demonstrations and events.

The media played a significant role to increase public and political support for cycling so the scheme could obtain financial backing. The events and demonstrations staged by the group were considered to be newsworthy and received media attention from newspapers, radio and television. The media coverage helped the group to increase its membership, and support for the cycling network grew. The importance of the media was clear; when the media interest declined, so did political support for the project and it became more difficult to secure financial support.

As the city officials realised that they lacked expertise regarding the establishment of cycling networks, they commissioned external experts to undertake the necessary research and to advise them on their decisions.



Logo developed for Maribor Cycling Network.



Maribor Cycling Network interactive website.

Elected officials

Elected officials may be members of the regional, national or European Parliament or of a city, town or district council. Depending on the political structure in your country, there may also be other directly elected officials. Often, key decisions on whether a project should proceed are taken by a council vote at a local, city or regional level. As a result, it is essential that these councillors have a thorough understanding of the project on which to base their decisions. This is particularly important where technical decisions are to be taken by people who do not necessarily have expertise in that area. Although not all elected officials will directly influence the decision-making process, representatives will be expected to formulate, and justify, an opinion on key issues affecting their electorate. Again, it is up to the project management team to ensure that these opinions are founded on accurate and objective information.

The media

Your project is likely to receive coverage from newspapers, radio and television, at least at a local level. Media relations are very important as ultimately the message delivered by the media to the public will be beyond your control. Maintaining a good relationship with the media can help to establish a public exchange of ideas about your scheme/strategy. It is important to avoid a confrontational approach if your project has received unfavourable media coverage.

Special interest groups

There are many organisations or interest groups that are likely to have an interest in your project. These include any groups whose members will be affected by the scheme. Good communication with these groups is essential if a wide range of views are to be considered in the development of the project. Such groups may also be able to provide valuable assistance for engagement activities, as it may be possible to use existing publications or events to deliver information on the project. Some interest groups may act as initiators for a project by promoting a particular mode.

Opponents

Whatever your transport project, it is likely that there will be some opposition, either in general or to certain aspects of the scheme/strategy. Sometimes opposition is broadly based, but usually it can be traced back to just a few individuals. Identify these individuals and make sure you understand the various reasons for their objections. Taking the time to discuss a project in detail with opponents increases understanding on both sides, may help identify options that better meet project objectives and stakeholder concerns, and enables any misunderstandings to be resolved; it is possible, for example, that they may have unrealistic expectations of the project or its impact. It is essential that those opposing the project are not ignored in the decision-making process. This can cause resentment and increase the scale of opposition to a project, causing a major barrier.

Expert advisors

Throughout your project, you will rely on expert advice. These experts may be formally employed on the project, either in the staff of one of the official partners or be contracted to undertake a specific task. There will also be circumstances in which expert advisors are asked to comment on the project during an inquiry process, an engagement activity or to provide an alternative perspective for a media story.

Potential problems

A good work plan will be proactive and try to identify stakeholders' views, but it will also need to be reactive to respond to the ever changing external environment. The following should be taken into account to avoid or overcome potential problems:

- A commitment should be given to provide consistent and transparent information to all stakeholders throughout the life of the project. One of the biggest causes of problems is when, after bringing together various stakeholders through the engagement process, there is no follow-up and the flow of information and sense of involvement ceases.
- Stakeholders are vital sources of information, and should always be encouraged to participate in a project, even where they are fundamentally opposed to it. Furthermore, any project can be improved through a process of critical analysis. Projects that fail to respond to criticism can become really unpopular, creating major opposition.
- Breakdown in communication between the project team and the decision-makers is a frequent cause of problems. It can lead to a lack of political support for the project, or an unwillingness to face up to the opposition. Even where decision-makers are represented on the project management team, do not assume that the project has the full support of the decision-making body as a whole. These people should be regularly engaged as the project progresses to ensure continued support.
- The agendas of the stakeholders will not always be the same as that of the project management team. Understanding what motivates the stakeholders is a major step towards overcoming external barriers. Bringing the groups together, using various engagement tools like visioning exercises, will help to illustrate opposing views and can engender greater understanding between stakeholders of their respective points of view.

What is management of contentious issues?

Every transport project impacts on the local community in many ways. When people consider the possible impacts to be detrimental to themselves or to others, this can generate opposition to the project as a whole or to certain aspects of it. Consensus on all aspects of a transport project is unlikely. Developing a method of dealing with opposing views, and providing guidance on how to balance these different inputs, is the objective of this section of the handbook. The management of contentious issues can include:

- Identifying issues that require engagement →
- Managing outputs →
- Third party negotiation and mediation →

Aims

Management of contentious issues aims to improve the delivery of projects, by ensuring that they reflect the concerns and priorities of the community by:

- Targeting engagement activities to focus on priority issues;
- Improving the design of projects using the feedback from engagement;
- Identifying measures which can mitigate the real or perceived negative impacts of a project; and
- Avoiding the commitment of financial and other resources to projects that do not meet the needs of the people they are intended to serve.

The key aim in addressing contentious issues is to provide methods of communication that minimise delays and lead to better outcomes. This means that, throughout the life of a project, from problem definition through to implementation, engagement tools will be needed to meet these needs and aspirations.

Useful hints

- The conventional model of planning which goes through the phases of 'plan, announce, defend' is no longer appropriate or desirable. Engagement should not be a defensive process, and means tackling conflicting and contentious issues;
- For issues where attitudes are strongly polarised, it may be worthwhile to bring these groups together in order that opinions can be heard and shared. Do not necessarily expect them to reach consensus, but this might improve mutual understanding and will certainly provide information that will be useful in the project planning; and
- The earlier in the project life that some form of engagement takes place the better. If any conflicting issues are clearly recognised early on, there is more scope for finding appropriate strategies for dealing with them.

In practice

Maribor, Slovenia

The actions of a stakeholder group, the Maribor Cycling Network, identified cycling provision as an important issue to be addressed in Slovenia, and generated pressure for the Municipality to take a number of actions to improve conditions for cyclists. The group staged a number of protests, produced leaflets and had an effective media strategy that raised the profile of the issue.



Above: A leaflet produced by the action group, Maribor Cycling Network, drawing attention to the issue of parking on cycle lanes.

Bochum, Germany

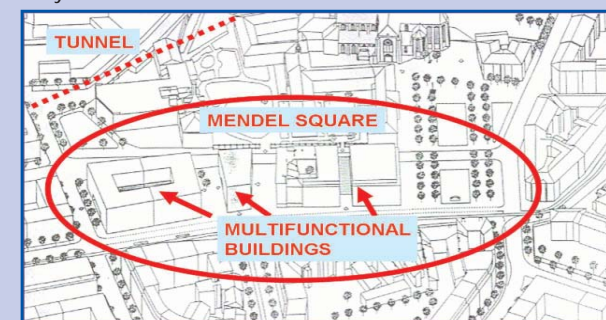
In Bochum, the apparent level of public opposition to re-route a section of the tram network in order to connect with the centre of the district of Langendreer posed a threat to the progress of the project. One of the main issues raised was concern over the use of private land for the construction of the new section of the tram-line. This was addressed through amendments to the plans that increased the use of publicly-owned land.

Obtaining feedback from the public through a survey revealed that there was a majority in favour of the project. Conducting a survey before the start of the planning process would have allowed the identification of any likely opposition issues which then could have been addressed at an earlier stage.



Brno, Czech Republic

Part of the project management in revitalising a portion of Mendel Square in Brno, involved the early identification of issues and problems. These issues and problems included how to change the image of the square quickly, cheaply, not upsetting the public, co-operating with experts from other departments and continually communicating with the public. This was done to maximise the effectiveness of the engagement by identifying the key outputs early on.



Issues identification for Mendel Square, Brno.

The spectrum of issues

Identifying issues that require engagement

At a very early stage in the project life it is important to undertake a review of the issues that are likely to be contentious and to identify the stakeholders that will be most affected by the project. This information can help to define the objectives of the engagement strategy. Focus groups are a useful technique for exploring the range of issues that a project might generate. For some projects, one or two issues might dominate the public, political or media debate.

This may arise where the project will affect an area of particular cultural, historical, economic, social or environmental importance. Where this occurs it is desirable to undertake engagement activities focussed on that issue. This can perform many functions, including demonstrating that the importance of the issue has been recognised by the project team and allows those concerned by the issue to contribute their ideas to the identification of ways to reduce or mitigate the impact.

While it is important to anticipate issues from the start of the project in order to develop appropriate engagement activities, it is also essential to be prepared to adapt the process when new or unexpected issues arise. A successful engagement process can identify new issues by including a diverse range of groups and individuals and enabling them to make their contributions.

Managing outputs

Applying the outputs of engagement can inform and enhance the project process. Analysis of the outputs of engagement can improve the understanding of issues and the motivation for public opposition. It can aid in the identification of measures to mitigate the negative impacts of the project. It can also improve general understanding of stakeholder priorities which can guide future projects. Beyond the direct contribution of the suggestions and opinions of participants, the wider outcomes of engagement can include an improved perception within the community that their concerns and interests have been recognised, providing a sense of ownership of the project.

Third party negotiation and mediation

In a situation where a conflict of interest occurs between two (or more) parties, a good method to achieve a compromise is negotiation and mediation. Negotiation is the process of bargaining between two (or more) interests. This method provides a structured, semi-formal and orderly way for people to find agreement.

The main consideration in arranging a negotiation/mediation event is to decide if it should be conducted by the concerned parties (negotiation) or be facilitated by a trained impartial mediator (mediation). This mediator would be a third party and listen to both cases and propose a possible solution to issues of disagreement among conflicting parties in public involvement.

Participation is achieved by stating the issues, concerns and promoting discussion or debate. There would usually need to be a considerable compromise by the parties involved if a positive outcome is to be achieved.

Potential problems

Every unresolved issue represents a potential barrier. However, dealing with contentious issues can be one of the most difficult aspects of project management. The following should be taken into account to avoid or overcome potential problems:

- Difficult issues rarely disappear if they are not addressed. Failure to identify and respond to issues will only store up problems for the future, and inevitably lead to barriers that become more difficult to overcome.
- Be clear about those issues you can address and those you cannot. Some issues cannot be resolved, and some external actors will take issue with a project as a point of principle, so you are unlikely to be able to resolve their opposition. Be direct when unable to respond positively, and don't prevaricate.
- The difficulties of dealing with contentious issues where there are strong feelings should never be underestimated; not everyone has the requisite skills or resolution to confront such difficult situations. Make sure that the person responsible for addressing issues is able to act firmly, but with understanding. A feeble response to a contentious issue will only heighten the barrier.
- Make sure from the beginning that the work plan has allocated adequate resources for managing and mitigating concerns. Make sure that the mitigation is appropriate to the problem; inadequate or inappropriate mitigation measures are a fundamental cause of barriers.
- Ensure that the engagement process identifies all potential issues, and is responsive to issues as they arise. But, at the same time, the engagement process should try and provide a balanced overview and should not become dominated by a narrow set of interests.

Understanding barriers

Barriers can arise at any stage in a transport decision-making process. They can lead to a significant delay, or even the cancellation, of a project. Many barriers are caused by different stakeholder interests (see Section 2), giving rise to different kinds of barriers that have different effects on the progress of a project. The most common types of barrier are:

- Institutional / Legal / Financial (contextual factors) → 📄
- Management (process barriers) → 📄
- Communication (process barriers) → 📄

The strategies to reduce the impact of barriers include: (1) strong management; (2) the commitment of elected officials to give the project certainty and legitimacy; (3) clear planning to avoid problems from the outset; and (4) providing enough resources for troubleshooting to deal with unanticipated barriers.

Aims

The overall aim is to avoid barriers, as far as is possible, and to overcome the remaining ones swiftly so that the project can continue smoothly. This requires:

- A clear planning process to avoid barriers;
- An early identification of barriers in order to limit their impact and to provide more scope for finding solutions;
- To involve all the stakeholders causing or being affected by a barrier in efforts to find solutions for them; otherwise the solution may create a new barrier; and
- A feasible project management structure that can adjust rapidly to changing circumstances.

Useful hints

- By planning a project carefully it is possible to reduce the number of barriers that will be encountered;
- Leave a contingency in the planning for resources (money, time, staff, etc.) to overcome unexpected barriers;
- The type of barrier likely to be encountered depends on the kind of project. Make sure that the partners involved have relevant skills and experience to overcome the most likely barriers;
- Get the support of actors in key positions (project champions) in order to overcome barriers more easily; and
- Projects viewed as important or positive by the general public have a better chance of overcoming barriers. Therefore, involve the public and get their support.

In practice

Gävle, Sweden

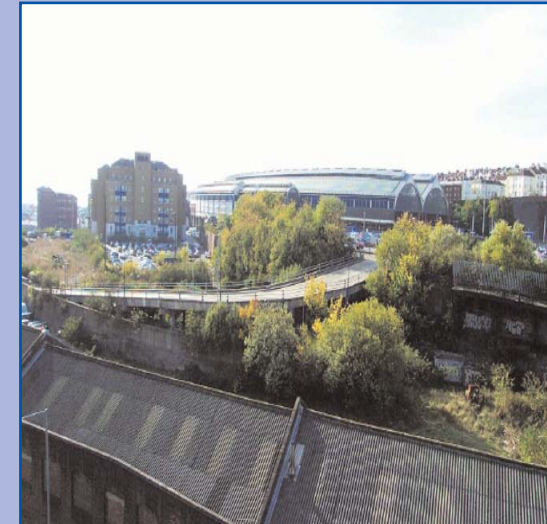
An objective of the Gävle project was to increase the modal share of cycling. The project relied on soft measures convincing people to cycle rather than on new infrastructure. To reflect the high importance of communication with the public, a project manager was chosen with experience in marketing and good contacts with the media. This farsighted approach was very successful as communicational barriers, potentially the biggest danger for 'soft measure' projects, were largely avoided.

Saarbrücken, Germany

The introduction of a new tramline in Saarbrücken was a major infrastructure project with a high risk of potential conflicts between private and project interests. The problems that arose during construction were handled by the Stadtbahn Saar GmbH, which was created specifically for the construction of the Saarbahn. Due to its un-bureaucratic structure, it was able to react to problems in a fast and flexible way.

Brighton, England

In a previous attempt to develop the Station Site, a private sector consortium developed plans for a superstore without consulting the local community. The application was not considered appropriate by the local community or environmentally sustainable by the local authority. There was strong dissatisfaction directed at the consortium and at the local authority for allowing such an inappropriate proposal to reach the public domain. In the current attempt at development, the local authority has taken a lead role in the development process to ensure that local stakeholders are properly consulted and to try to influence the developer's proposals. The process of drawing up both Supplementary Planning Guidance and a development application has taken longer than the previous attempt, but is widely considered more acceptable by the local community and has been approved by the local authority. In particular, the process has helped maintain trust and positive perceptions between groups of stakeholders.



The Brighton station site.

CONTEXTUAL FACTORS

Institutional

Institutional barriers often result from deficiencies in the cooperation between politicians, local authorities and other agencies that are involved in the project. Typical problems include: over-complex bureaucratic systems or conflicts of competence between different departments and agencies. The key to overcoming these barriers is first, to identify the source of the barriers and then to cultivate a culture of cooperation through dialogue. It may be necessary to create a structure for dialogue, as this may not be present within the existing hierarchy.

Legal

Legal barriers are amongst the most rigid barriers a project might face and can involve significant time delays. Through careful planning obvious constraints imposed by the law can be avoided. For example, the avoidance of conflicts with property rights by building infrastructure mainly on public land. Where legal barriers are encountered it is often necessary to revise the plan to conform with the existing laws, but on some occasions the transport project can become the catalyst for changing the law.

Financial

Financial constraints are a common occurrence for many projects and can become a serious barrier leading to delays, cancellation or a change of course for the project. There are two main issues concerning financial barriers. First, raising sufficient funds for the full life of the project and second, ensuring that the funds available are used appropriately and efficiently. Both these issues require good planning skills and the ability to predict and monitor financial flow data.

PROCESS BARRIERS

Management

Management barriers often derive from project planning errors, such as unclear roles and responsibilities, blurred tasks, an unrealistic time plan, etc. This is often the hidden cause behind other barriers, such as running out of time and budget, poor communication, mutual mistrust, etc. Thus, a clear work plan is extremely important. It requires a manager and a project management team with relevant skills and experiences. If these qualities are not yet available in the project team, then this may require specific training or the use of external consultants. Good project management is based on a detailed yet flexible planning approach, enabling a quick response to unexpected barriers.

Communication

Communication barriers can exist at all levels and at any point in the decision-making process. These barriers can emerge within the project team, between project partners and with stakeholder groups. In all cases, overcoming these barriers requires a communication strategy that encourages dialogue that is open and informative. There are some specific approaches that can be employed to address communicational barriers. Within the project team it is important to ensure that there are clear definitions of roles, responsibilities, tasks and decision-making powers. Communication barriers between project partners and stakeholders need to be addressed through the engagement strategy and by ensuring that all project partners follow the strategy.

Potential problems

A critical factor for the success of a transport decision-making process is the ability to avoid, identify and overcome barriers.

Avoiding barriers

- Clear roles and responsibilities should be assigned in the project team to avoid confusing communication and unclear decision-making structures.
- Sound analysis of the legal, financial and institutional framework, to avoid contextual restrictions appearing unexpectedly in the project's life.
- Thorough identification and early involvement of key stakeholders. If stakeholders are not brought into the process at an early stage, there is a real risk that they will create more immovable barriers at a later stage in the project.
- A detailed work plan that shows all decisions to be taken, by whom and when, and clear tasks for the project staff.
- Allocation of sufficient funds for project management and engagement.

Overcoming barriers

- Rigorous tracking of progress to identify barriers early on. An early warning system should result in a quicker and more efficient solution to overcome the barriers.
- Ensure that you have identified the real cause of the barrier, as otherwise efforts to resolve the problem will have been wasted.
- It is not always possible to achieve complete consensus, but having better informed stakeholders is more likely result in the acceptance of compromise solutions.
- Set aside a contingency budget to deal with barriers as they arise.

How to monitor projects

Project monitoring involves the collection and collation of information needed to assess whether the project is meeting its objectives at each stage, within agreed resource constraints. It is central to good project management, as it provides the means of ensuring that the project is running to budget, delivering outputs on schedule and meeting various stakeholder expectations. As such, it should be built in from the start, as a continuous activity.

The key elements of project monitoring comprise:

- Measuring indicators → 📊
- Tracking progress → 📊
- Data collection and data storage → 📊

Outcome monitoring and evaluation are described in tool T11.

Aims

Project monitoring serves the following purposes:

- Checking that resources are being consumed as per budget;
- Ensuring that agreed project outputs are being delivered on time;
- Ensuring that stakeholders are being appropriately involved and that their expectations are being met, where practical;
- Ensuring that the processes of organisation and engagement are running smoothly;
- Alerting the management team to problems that might trigger an 'incident management' response;
- Identifying situations that require actions under 'external relations'; and
- Providing cumulative experience on how to identify and overcome barriers.

Useful hints

- Most information required for project monitoring is being collected by someone in the team - the key is to identify sources and ensure collation in a timely manner;
- Monitoring reports on inputs, process indicators and outputs should be requested and reviewed on a regular basis;
- Key stakeholder groups should be kept informed of progress, and how they might be affected by the next stages of delivering the project;
- Present the information in easy-to-digest formats (e.g. graphs of performance against expectation) - this will enable problems to be quickly spotted; and
- One member of the team should be assigned responsibility for project monitoring, and process monitoring should be carried out on an on-going basis.

In practice

Gävle, Sweden

The three partners funding the project were very interested in monitoring and influencing the project process. To achieve this a regular project-report was expected from the project manager. During implementation, approximately two meetings a year took place between the three partners involved in the funding of the project. A separate report for the cycle-group and for the technical authority was also required. Furthermore short and informal check-ups took place by phone and email.

Göteborg, Sweden

Vision Lundby intended to increase the share of sustainable modes and be used as a testing field for new 'soft measures' for creating behavioural change. After finalising the testing of a certain method the project manager had to prepare a short summary (minutes-like) of the tested method. For the meetings between the project manager and external partners minutes were drawn up. Overall the monitoring of the process was quite informal as the project was easily comprehensible and the partners trusted each other.

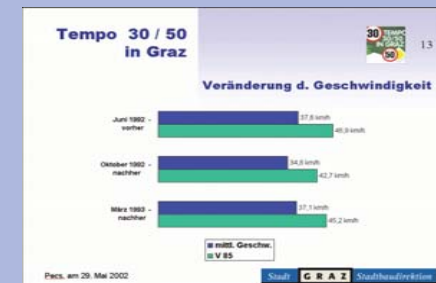
Graz, Austria

The preparation and introduction of the city-wide 30/50 kph scheme was accompanied by extensive analyses which had two main objectives:

- To be well prepared for an anticipated lawsuit; and
- To develop logical and convincing arguments for the institutional and public marketing campaign.

External experts carried out the analysis which included technical issues (average speed, exhaust emissions, noise emissions and social acceptance, etc.) - investigated before and after introduction of the scheme. This analysis could also be used to evaluate the success of the project.

The first stage delivered prognoses gained from measuring trips and theoretical models and provided arguments for the discussion. A scientific confirmation of the significant benefits of the scheme was drawn from the analyses after introduction and contributed to the rapid increase in acceptance for the scheme from the public.



Key elements of project monitoring

Measuring indicators

Input indicators

Project managers require a range of resources in order to deliver the required outputs. These resources are usually budget constrained, and so it is important to devise a set of input indicators that enable resource consumption to be regularly checked against the work plan. For a commercial project, the primary input is money, but other input indicators are also usually needed for effective management.

Output indicators

These measure how effective the project has been in delivering its agreed outputs - not only at the end of the project, but at key stages during the work. Unlike input indicators, the output indicators vary widely - depending on the nature of the project and its objectives. As well as physical output measures, it is important to include measures of quality. Output indicators are the primary measure of project 'success' from a project manager's viewpoint, though project sponsors are often more interested in project outcomes.

Process indicators

Projects are composed of a number of key tasks (e.g. preparing a site, building foundations, the main construction phase, fitting out, testing, and operation), and rely on complex flows of materials and information among agencies and teams. Effective project management requires regular information on rates of progress and on the efficiency of the communication and operation process. Process indicators should immediately draw attention to any delays, project overruns or barriers.

Tracking progress

The key to successful project management lies in the tracking of progress, both on a day-to-day basis (using selected process indicators) and at critical points in the project. Projects should be planned in detail from the start, clearly indicating key milestones that can be monitored. At milestone points, it will be possible to check that intermediate outputs have been achieved, using the agreed levels of resources. Tracking progress will ensure that any problems or delays are identified at the earliest possible moment, enabling swift and cost-effective action to be taken. Where progress is not closely monitored, time and money may be wasted and in some cases it may not be possible to correct a fault or weakness after the event.

Data collection and data storage

Project monitoring relies on effective procedures for collecting the range of data needed to provide agreed input, output, process and outcome indicators, checking its quality, and storing it in an accessible and well documented format. Most of the data will be drawn from existing sources, while some may require the commissioning of customised surveys. The data will vary widely in nature, from quantitative counts of resource expenditure or kilometres of construction, to more qualitative judgements about communication processes and stakeholders' perceptions of the project as it proceeds. Skilled staff are required to provide, collate and interpret monitoring data.

Potential problems

Transport projects will have certain key indicators and important milestones against which the progress and success of a project can be monitored. Ineffective or incomplete monitoring will fail to respond quickly enough to show where key targets are not being met. The following should be taken into account to avoid or overcome potential problems:

- Monitoring systems should not become so complex that they require considerable resources to support them, or produce so much data that it becomes difficult to quickly gauge the status of a project. Checks should be made to ensure that the monitoring is contributing to the successful implementation of the scheme, and is not monitoring for monitoring sake.
- It will probably be mandatory to monitor certain key indicators, such as finances to avoid fraud, or it might be a requirement of a grant or other sources of funding. However, it is important that, in order to identify emerging barriers, the scope of the evaluation goes beyond the mandatory.
- It is unlikely that the indicators used by some key stakeholders to judge a project's success would be the same as those used by financiers or politicians. The engagement process should therefore be used to help develop appropriate indicators.
- Projects tend to accumulate masses of information; it is, therefore, important that the results of the monitoring are disseminated in an accessible format. Failure to publish up-to-date information in a format that is readily understood is a frequent cause of barriers, when suspicious stakeholders perceive that key information is deliberately being kept from them.
- The need to meet key targets can mean that opportunities are missed where these lie outside previously agreed outputs. All monitoring criteria should be regularly re-evaluated to ensure the performance indicators remain relevant and are shared.

How to assess project outcomes

Once a project is complete (e.g. a scheme has been constructed), it is important to formally evaluate the outcome of the project. In other words, has it achieved its objectives? This differs from project monitoring, where the emphasis is on the process of project design, construction and implementation. For example, a light rail scheme, built to a high quality within budget, would be judged successful from a project management viewpoint; but it would have 'failed' from an outcome evaluation perspective, if patronage was well below forecast levels and it had not reduced traffic congestion on the main roads in the corridor.

Two types of methods are involved:

- Measuring outcome indicators → 📊
- Post-implementation evaluation → 📊

Aims

Post-implementation monitoring and evaluation of outcomes is designed to:

- Assess whether the scheme has met its overall objectives;
- Measure changes in attitudes/acceptance and behaviour of different groups, resulting from the scheme;
- Identify any unintended impacts (positive or negative);
- Enable a judgement to be made as to whether the scheme was worth funding, and to provide evidence to support the future funding of similar schemes;
- Assist in shaping future policy: should similar schemes be built in other areas, or would a different approach be more effective?
- Provide feedback on the accuracy of any forecasting models that have been used; and
- Assess the suitability and effectiveness of the public engagement strategy.

Useful hints

- Outcome monitoring and evaluation needs to be planned from the start: it is often necessary to conduct 'before' surveys, or establish 'control' groups, in order to identify the impacts of the project;
- Funds need to be set aside for full monitoring and evaluation - though the amount invested needs to be commensurate with the cost of the scheme;
- Where a project is regarded as contentious, data collection and analysis should be carried out by an organisation that is seen as being independent;
- It will usually be necessary to collect data on both attitudes and behaviour;
- Don't focus efforts too narrowly - look for unexpected, as well as expected, outcomes; and
- Qualitative research can assist in capturing unexpected and less tangible impacts.

In practice

Prague, Czech Republic

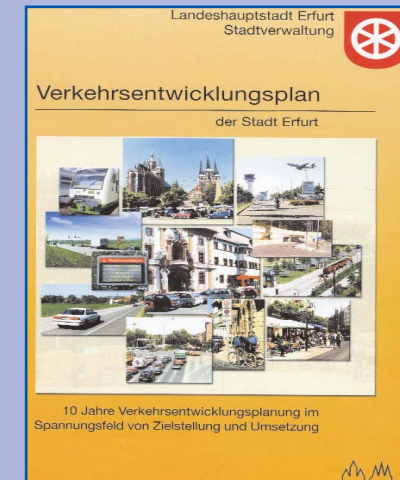
All organisations involved in the Park & Ride (P&R) project in Prague are subordinate authorities of the City of Prague. Their position in the decision-making process is fixed by internal rules and by the relevant laws. As such it was expected that all involved institutions should co-operate during the process to identify suitable locations for retaining car parks and no special managerial team was established for the project. In order to monitor the success of the project an evaluation process was adopted to evaluate the effect and success of new P&R sites.

Some of the suggested P&R sites were not ideal while existing P&R sites were often located at the wrong location. To deal with this problem it was decided to re-evaluate the suggested locations by a partner and to monitor the usage of existing P&R sites. Car parks not well located and poorly used were opened up, at standard prices, for residents' parking.

Erfurt, Germany

Erfurt evaluated the results of the local transport plan output after 10 years (also published in a special brochure: "Ten years of LTP Erfurt regarding aims and implementation"). This was a sufficient time period to evaluate the outcomes for a complex and strategic concept like a local transport plan. The four essential points of the evaluation process were to:

- Determine the long-term effects by conducting surveys with the same structure in 1991, 1994 and 1998.
- Differentiate the evaluation to single measures to show which success or problems are due to which measure.
- Consider 'classical' transport data (transport mode, etc.) and user travel behaviour data (modal split, trip rates etc.).
- Evaluate successes or disappointments of the project planning and decision-making process, and consider this during implementation (e.g. strategic planning of the project leader, citizen participation, etc).



Brochure - "Ten years of LTP Erfurt regarding aims and implementation".

Measuring outcome indicators

The relevant outcome indicators depend on the type of project and the objectives that have been set for it; for example: to reduce car use, to increase cycle use, or to reduce air pollution. Most projects require three types of outcome indicators, relating to:

- Perceptions and attitudes of users and other affected groups (e.g. service quality, personal safety);
- Travel behaviour (e.g. trip frequency, modal split); and
- Aggregate, system-level indicators (e.g. traffic congestion, road accidents, air quality).

Where appropriate, this information will need to be disaggregated by person type or area, in order to identify the distribution of impacts, both positive and negative, among the population.

Post-implementation evaluation

Once a project has been implemented, and data has been obtained on its impacts, it is recommended that a formal evaluation be carried out. This has three main stages:

Stage 1: Assembly of data on inputs, outputs and outcomes into a formal assessment table; outcomes may need to be disaggregated by area and person type.



Stage 2: The identification of the overall (dis)benefits of the scheme; this requires:

- The attribution of causation to the various outcomes (e.g. how much of the growth in bus use can be attributed to the introduction of new bus lanes?), by looking at the outputs of the scheme and other related changes in the area over the same period; and
- Judgement about the net benefits of the scheme.



Stage 3: A comparison of costs and benefits, either using multi-criteria or cost-benefit approaches.

Potential problems

A transport project is often assessed against its outputs and whether it was completed in time and within budget, but failure to monitor the outcomes could lead to problems post completion.

The following should be taken into account to avoid or overcome potential problems.

- Barriers can occur where more effort goes into ensuring that outputs have been met than in monitoring their outcome. Therefore monitoring needs to be a process which evaluates both outputs and outcomes.
- There is a tendency to monitor only those indicators that can be easily quantified, e.g. the length of highways improved and the costs. Important as it is to meet these outputs, concentrating solely on quantitative outputs might hide other problems.
- In measuring the outcomes of a project, it is important to develop more qualitative evaluation criteria, like stakeholder satisfaction, in order to assess whether the project has created any unforeseen problems.
- In order to successfully measure outcomes it will probably be necessary to develop both objective and subjective evaluation criteria. It is important however, to clearly distinguish between what is an objective assessment of the project and what is subjective, and not to create potential problems by presenting subjective opinions as objective data.
- It is good practice before starting a project to evaluate the outcomes of similar previous projects, in order to anticipate potential problems for the new project.

What are engagement tools?

The 'Engagement Tools' in this handbook are designed to provide guidance for engaging stakeholders in the decision-making process to achieve a viable and accepted solution to a transport problem. Stakeholder engagement is not only about informing, but must be considered as a two-way interchange of issues, comments and aspirations.

The tools discussed in this section provide various options to engage and most can be used on their own, or as a series of exercises for larger groups or controversial projects. As in the project management section, each of the engagement tools summarises a number of related techniques that are cross referenced to and explained in more detail in a set of accompanying 'Fact sheets' contained in Volume 2.

Figure 7 shows the layout and content of this section of the handbook. The majority of engagement tools are grouped into two broad categories. The first group of four tools - under 'Information giving and gathering' - describes alternative ways of providing information to different stakeholder groups, and obtaining general feedback on transport proposals. The second group - 'interactive engagement' - covers three categories of more interactive tools, that facilitate a dialogue between stakeholders and project team members. The final tool, 'Engaging hard to reach groups', looks at how certain stakeholder groups that are usually missed by traditional engagement methods can be encouraged to become involved in the transport decision-making process.

Unlike project management, where it is appropriate to use most of the tools described in this handbook, in the case of the engagement tools and techniques, it is necessary to be much more selective. The relevant sub-set of tools and techniques will depend on the type of project, the kinds of stakeholders that need to be engaged, and the stage in the transport decision-making process. Special techniques are also available should barriers arise, such as encountering adverse public reaction.

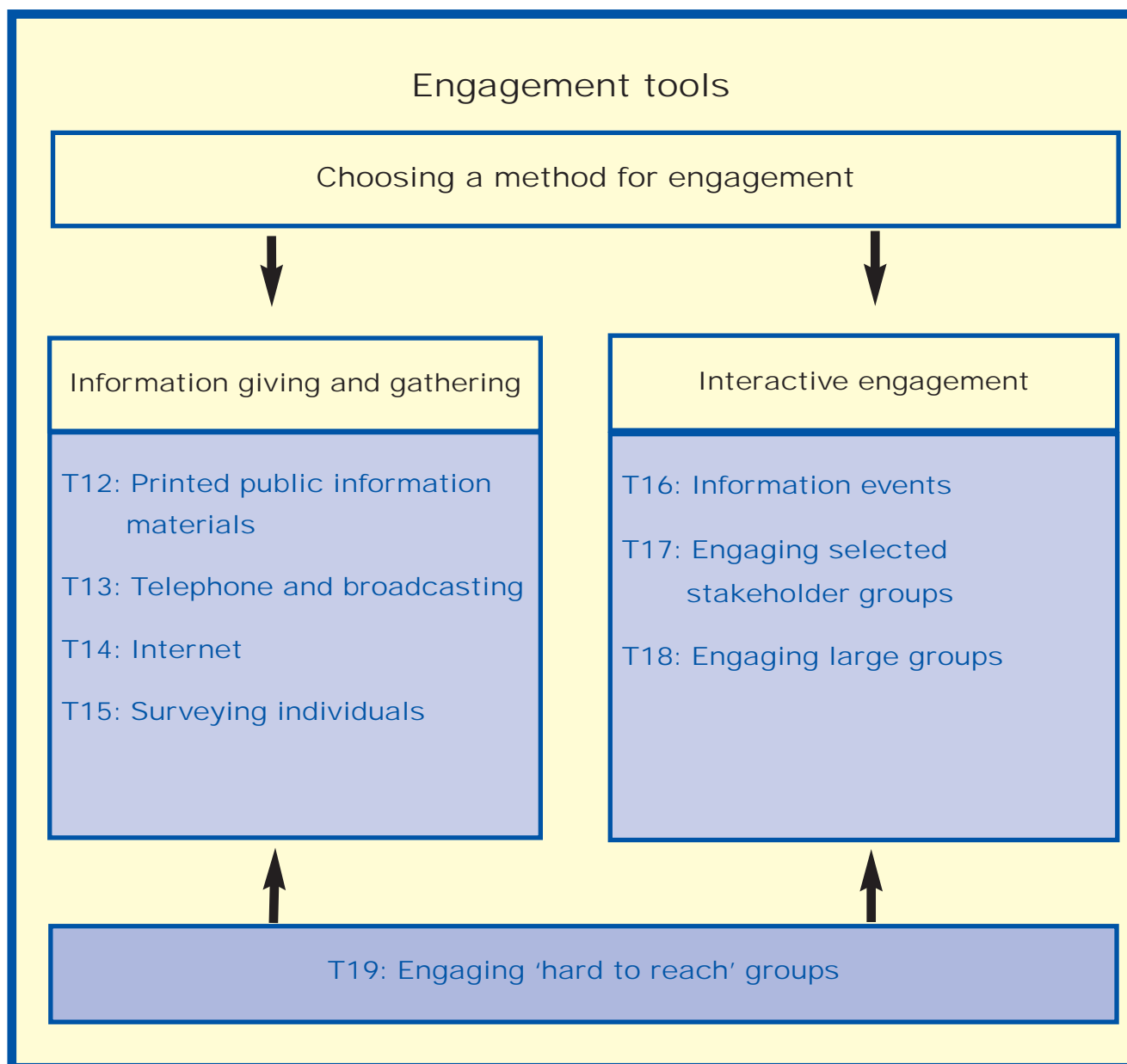


Figure 7 - Engagement approach and related 'Tools'

Choosing a method for engagement

Time frame available

Some decisions can be made in a few months. Others can take longer. Consideration should be given to how much time is available when you are preparing your engagement strategy and identifying the appropriate engagement activities that will be used in the decision-making process.

(See Project management T3: Managing resources and T4: Engagement strategy).

Stakeholder groups

Different approaches to engagement are required for different stakeholder groups, for example, people from linguistically and culturally diverse backgrounds, different genders, people with disabilities, older and young people.

(See Project management T4: Engagement strategy and Engagement T19: 'Hard to reach' groups).

Specific experiences

Particular techniques cannot be applied without expert knowledge. The necessary knowledge must therefore either be gained from further training of staff, or external consultants should be used. This maybe is the case e.g. in 'Planning for Real' events, or with regard to the establishment of internet websites or web based forums.

(See Project management T2: Establishing the project management team and T3: Managing resources).

Resources available

Stakeholder engagement not only needs time, it also requires financial resources and skilled people for each tool or technique. When preparing an engagement strategy, a detailed timeline for engagement activities needs to be prepared that reflects the overall work plan for the transport project.

(See Project management T1: Preparing for project management and T3: Managing resources).

To select an appropriate engagement technique the following issues need to be considered

Adaptability and flexibility of the engagement techniques

If an engagement technique has been successful in one project, it does not automatically ensure its success in another. Both the projects and stakeholders you are trying to engage will differ. Also be open to innovative or new methods. However, sometimes the most effective methods are the more traditional methods.

(See Project management T4: Engagement strategy).

Analysis of the effort and output

An analysis should be undertaken by the management team of what the expectations of the engagement process should be and what activities should be planned to achieve these key stakeholder outputs. It is important when considering the selection of techniques for engaging with stakeholders, that there is a clear understanding of how the outputs of engagement will be used in the decision-making process of the project. (See Project management T8: Managing contentious issues).

Understanding of values and culture of stakeholders

In many cases the general views of stakeholders will be known in advance. Therefore be clear about what you expect of the engagement process when choosing the most appropriate technique. Some issues generate the active involvement of some hundreds of people, while other issues can be resolved by getting the key stakeholders together. (See Project management T8: Managing contentious issues).

Technical complexity

Some issues are relatively easy for stakeholders to understand, while others are extremely complex and difficult. Technically complex issues require a careful selection of the appropriate technique. Remember to choose a technique that will allow you to communicate the key messages of your project to stakeholders and for stakeholders to be BEST able to provide feedback. (See Project management T4: Engagement strategy).

Engagement tools

Each of the eight tools describes a different approach to stakeholder engagement, that has its own particular objectives, either in terms of what it sets out to accomplish or in whom it is targeted at. In each case, the objective associated with a tool could be achieved in a number of ways, using one of a series of related techniques. Each technique is briefly outlined and compared, under the description of the appropriate tool, but for more information the reader can refer to the relevant 'fact sheets' listed here and provided in volume 2 of the handbook.

Information giving and gathering

T12: Printed public information materials

FS38: A letter
FS39: Posters, notices and signs
FS40: Leaflet and brochure
FS41: Fact sheet
FS42: Newsletter
FS43: Technical report

T13: Telephone and broadcasting

FS44: Telephone techniques
FS45: Local radio and television shows

T14: Internet

FS46: Internet techniques
FS47: Web based forums

T15: Surveying individuals

FS48: Questionnaire surveys
FS49: Key person interviews

Interactive engagement

T16: Information events

FS50: Exhibition
FS51: Information centre
FS52: Information session and briefing
FS53: Public meeting
FS54: Topical events

T17: Engaging selected stakeholder groups

FS55: Community visits and study tours
FS56: Focus group
FS57: Workshop
FS58: Citizen juries
FS59: Technical working party

T18: Engaging large groups

FS60: Stakeholder conference
FS61: Transport visioning event
FS62: Weekend event
FS63: Planning for Real™
FS64: Open space event

Engaging hard to reach groups

T19: Engaging 'hard to reach' groups

FS65: Ethnic minorities
FS66: Impaired people
FS67: Young people and the elderly
FS68: People with low literacy levels
FS69: Apathetic people

Choosing an engagement technique

Selecting the most effective technique of engagement is crucial to the success of the whole engagement process. Not only can the use of inappropriate techniques give poor results, but in some circumstances, it can create unnecessary barriers to the project as a whole, if it appears that the decision-makers are being selective in who or how they engage.

Different techniques may be used to engage people in the process. No one 'correct' technique will suit every issue. Very rarely are 'pure' models adhered to. Using more than one technique may increase the likelihood of gaining a more representative response. An appropriate choice must be made in each situation.

The technique to be used will be determined by the purpose of the engagement and who is being engaged. It may also be determined by the level of expertise and experience the organisation has in conducting engagement activities and by the resources available.

The table on the opposite page provides a partial guide to assist in the selection of an appropriate engagement technique(s). In this section it lists all the fact sheet (cross referenced to the relevant tool and fact sheet number) in a series of columns.

The rows then address a series of questions that will assist in the selection of appropriate methods:

- Who am I trying to engage with: a general audience, or a targeted group of stakeholders?
- At which of the six stages am I trying to engage stakeholders in the transport decision-making process?
- Is my transport project a strategy or a scheme?
- Am I looking for a one-off form of engagement, or one that is better suited to an on-going engagement process, throughout the life of the project?

| | T12 | | | | | | T13 | T14 | T15 | T16 | | | | | | T17 | | | | | | T18 | | | | | | |
|---|------------------------|----------------------------------|----------------------------|------------------|------------------|------------------------|----------------------------|-----------------------------|---------------------------|------------------------|-----------------------------|-----------------------------|------------------|--------------------------|------------------------------------|----------------------|----------------------|-----------------------|-------------------|----------------|----------------------|-------------------------------|------------------------------|---------------------------------|---------------------|--------------------------|------------------------|---|
| Classifications ● generally applicable ○ partially applicable | FS38: Letter | FS39: Posters, notices and signs | FS40: Leaflet and brochure | FS41: Fact sheet | FS42: Newsletter | FS43: Technical report | FS44: Telephone techniques | FS45: Radio Shows& TV Shows | FS46: Internet techniques | FS47: Web based forums | FS48: Questionnaire surveys | FS49: Key person interviews | FS50: Exhibition | FS51: Information centre | FS52: Information session/briefing | FS53: Public meeting | FS54: Topical events | FS55: Community visit | FS56: Focus group | FS57: Workshop | FS58: Citizen juries | FS59: Technical working party | FS60: Stakeholder conference | FS61: Transport visioning event | FS62: Weekend event | FS63: Planning for Real™ | FS64: Open space event | |
| | Who to engage? | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Wider audience | ○ | ● | ● | ○ | ● | | ● | ● | ● | ○ | ● | | ● | ● | | ● | ○ | | | ○ | | | ○ | | | ● | ○ |
| | Targeted audience | ● | ○ | ● | ● | ○ | ● | ● | ○ | | ● | ● | ● | | | ● | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● |
| | When to engage? | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Problem definition | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● | ○ | ○ | ● | ● | ● | ● | ● | ● | ○ | ● | ● | ● |
| | Option generation | | | | ○ | | | | ○ | | ● | ○ | ● | | ○ | ○ | ○ | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| | Option assessment | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● | ● | ○ | ● | ● | ● | ● | ○ | ○ | ● | ● | ○ |
| | Formal decision taking | ○ | | | ○ | | ● | | | | ○ | | ● | | | ○ | | | | | | ○ | ● | | | | | |
| | Implementation plan | ○ | ● | ● | ● | ● | ● | | ○ | ● | | | | ● | ● | ● | ○ | ○ | ○ | | ○ | | ○ | | | ○ | | |
| Monitoring and evaluation | | | | | | ● | ● | | | ○ | ● | ● | | | | | | | ○ | | | ○ | | | ○ | | | |
| Type of Project? | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Strategy | ○ | ○ | ● | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | | ● | ● | ● | ● | ● | ● | ● | ● | | ● |
| Scheme | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● | ● | ○ | ● | ● | ● | |
| Duration of engagement | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Restricted | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| Continuous | | ○ | | | ○ | | ● | | ● | ● | | | | ● | | | | | | | | ○ | | | | | | |

NOTE: To be most effective, Engagement Tools should be used in conjunction with the development and implementation of a Media Strategy (Tool T5, FS15-FS17) and a Marketing Strategy (Tool T6, FS18-FS21).

Printed public information materials

Often, information is given to the public in a printed document. This can range from a few words announcing an event to a full report providing details of a project. The type of document will depend on the information to be delivered, reasons for producing the document and on who the intended audience is.

Key types of printed documents include:

- A letter →
- Posters, notices and signs →
- Leaflet and brochure →
- Fact sheet →
- Newsletter →
- Technical report →

Aims

Depending on the stage in the decision-making process, printed materials might be produced to:

- Inform the public about a new or proposed strategy or scheme;
- Deliver information remotely (i.e. not requiring attendance at an organised event);
- Inform the public about a forthcoming engagement or communication event (e.g. a brochure to advertise an exhibition);
- Encourage discussion about transport policies and plans; or
- Give feedback after an engagement activity.

Printed materials can be used to support increased involvement in the decision-making process by providing an opportunity to give feedback through the inclusion of a response sheet.

Useful hints

- Information for the public must be easy to understand;
- Avoid technical abbreviations and jargon;
- Use humour;
- The visual appeal of the material is important; consider using a graphic designer;
- Ask other people to review the material before it is printed. In particular, check that it is accurate and that it is presented in a clear, logical way;
- Don't forget to provide contact details; and
- In a region with two or more official or commonly used languages, check legal requirements before designing the document. Also, check the policies of any organisations asked to display or distribute the document, as certain criteria may need to be met (e.g. give priority to one language).

In practice

Ile de France, France

In order to reach particular target groups when publicising the Urban Transport Plan all over the region Ile-de-France, the authorities had flyers distributed at stations and highway toll points. This can be an effective way to reach stakeholders directly affected by a project/strategy who live outside the area.

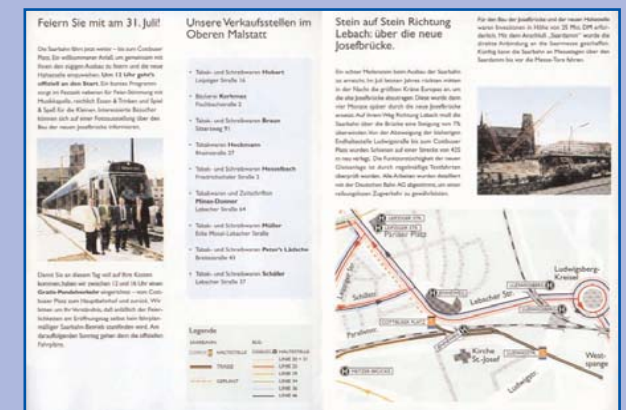
Panorama, Greece

It is not always necessary/sensible to produce printed materials dedicated to a particular project, especially, if the project is a small one and does not have large funds to finance a lot of marketing/information activities. The project in Panorama for planning and implementing an underground parking station used the chance to publish information in a leaflet describing the Local Authority's four year plan. This leaflet was distributed to residents, businesses and other stakeholders.

Saarbrücken, Germany

The introduction of the Saarbahn light rail system was a special challenge. It implemented a new transport system in a city where no similar system existed. Many printed materials were produced as part of an intensive campaign to inform the public about the project and to improve the image of the project. These materials included leaflets, brochures and a special newspaper dedicated to the Saarbahn project.

One lesson learnt from the initial marketing campaign was that it did not provide enough information on the project and concentrated on promoting the image of the scheme. However, foremost the public wanted to understand how and where construction would take place, what the route network would be and the cost of using the service. Providing this information (through the use of printed materials and the local newspaper) reduced the level of opposition to the project, as people were able to make informed decisions. Providing accurate written information can also be an effective way to respond to inaccurate or misleading information presented by those opposing a scheme.



An example of a document produced for the marketing campaign in Saarbrücken.

Choosing which type of document to use



A Letter

A letter can be used to inform people about an engagement process, issue invitations to events, provide feedback and outline next steps. It can be particularly useful where messages are complex and background information is to be provided. Letters are often combined with other means of communication.



Posters, notices and signs

Posters provide a useful way of presenting information to large numbers of people without giving each an individual document. You may also be legally required to publicise certain issues or events at a particular location. Displaying an eye-catching poster or sign, in a prominent position can be an effective way to deliver a message to passers-by. However, the amount of information presented is very restricted.

You can widen the distribution of the poster and reinforce the delivery of the message by printing the same design on a flyer. As a flyer is small, printing costs are lower than for a leaflet or fact sheet, so flyers are a cost-effective way to deliver a small amount of information to a large number of people.



Leaflet and brochure

A leaflet can provide an introduction for someone who is not familiar with a project, or can offer guidance to transport users on how they will need to adapt to forthcoming changes in the system. Leaflets and brochures tend to have a strong emphasis on visual design.



Fact sheet

A fact sheet provides a full overview of (a stage of) a project. It will include key details, including maps and dates. The information will generally be delivered concisely in a small number of pages. It is designed for a broad audience, with an emphasis on providing factual information in an accessible way.



Newsletter

A newsletter is produced at intervals through the project. It provides an update on the way the project is progressing. Each newsletter may be similar in length to a fact sheet, but as each issue usually extends only a short period in the project decision-making process, more detailed information can be provided on how the project is progressing.



Technical report

A technical report may treat a project as a whole, or report on just one aspect of the project or the decision-making process. It will be lengthy and detailed and is likely to be aimed at transport professionals and other official partners in the decision-making process. However, the report should be publicly available to ensure transparency. It would be useful to produce a more accessible technical summary document for wider distribution.

When to use these tools

When a project affects a large number of people and it is expedient to demonstrate that every effort has been made to engage with as many people as possible.

An important factor to take into account is that the amount of information and explanation that can be contained on a printed page is limited. If a printed document fails to engage with the community, it will be inevitably the fault of the medium not the community.



How to avoid or overcome potential problems

- Technical information can create its own problems of understanding, but equally important 'talking down' to the community can be taken as insulting. Getting the 'tone' of the language right is essential.
- The straightforward use of non-technical, jargon free language is often more difficult than it seems, especially when drafted by experts who are used to writing in a particular form of language. It is good practice to have all printed material independently reviewed by outside persons from the target communities, to ensure 'readability' and that the contents or language are not likely to inadvertently create barriers.
- If the intention is to achieve full coverage of an area, ensure the reliability of the delivery service and undertake random checks on delivery; check that posters have not been removed or defaced.
- The biggest barrier to communicating through the printed word is often getting the recipient to pick up the document in the first place. Most letters and leaflets will be competing with a lot of other mail arriving through the letterbox. When using paper to communicate, there is a tendency to fill too much of the space with words; short, sharp, catchy, communications are more likely to be picked up and read.

Telephone and broadcasting

These techniques can be highly useful in an engagement strategy for communicating information and providing support, as well as a means of receiving input and feedback. These offer an alternative to face-to-face contact and printed media, and can be an effective way of communicating key messages about the transport decision-making process, progress to date and engagement activities.

The methods most commonly used in transport projects are:

- Telephone techniques → 
- Local radio and television shows → 

Aims

Telephone techniques can be used to:

- Provide a constant access point for information (e.g. through an information hot-line);
- Inform the public about a project, issue or engagement activity;
- Invite the public to participate in an activity or event;
- Gather feedback on a project or issue; and
- Carry out surveys or interviews.

Local radio and television can be used to:

- Promote the whole project or an event (e.g. through a news item or radio call-in show);
- Provide information about the project's progress, specific issues of concern, or about engagement activities; and
- Respond to public concerns, opposition or controversy (e.g. through answering questions during a call-in show).

Useful hints

- Always ensure that the individual involved in communicating with people is well prepared and confident;
- Promote the telephone hot-line or broadcast appropriately, to ensure it reaches a wide audience;
- Be aware of timing. A telephone survey will be more successful if you phone individuals at times which are more likely to suit them;
- Keep the public updated. After a radio or television show, for example, you could produce newsletters to update the public on progress. Information hot-lines should always provide the latest information and news;
- Always provide details on how to obtain further information, e.g. a website or telephone/email of a contact person; and
- Provide a free phone number to encourage enquiries and participation.

In practice

Göteborg, Sweden

The Vision Lundby carpooling project put great emphasis on the personal approach. Local residents who had expressed an interest in the car scheme plans received phone calls from the project manager. She was able to find out what they thought of the information provided and provide opportunity to receive comments and suggestions. Phone calls made the public feel involved in the process and promoted interest in the schemes.

Maribor, Slovenia

Slovenia radio discussions were successfully used in the promotion of cycling in Maribor. This comprised members of the project team being interviewed and provision for an open telephone for listeners to voice their comments.

Brno, Czech Republic

In the preparation for improving western portion of Mendel Square in Brno, the authority used two forms of radio discussion. The first was an interactive talkshow on radio Brno and the second an information advertisement on radio Kiss Hády.



Radio show for Mendel Square project in Brno.

TELEPHONE

The telephone offers a unique, two-way medium for stakeholder engagement. It can be used to gather and provide information, and to obtain feedback. The telephone can be used as part of an engagement strategy in a number of ways, including:

Telephone hotline or information line

A hotline or information line can be set up to provide callers with updated information about a project or news about a specific programme. They should also give callers the opportunity to ask questions or to provide feedback. Hotlines can be staffed by a contact person or operate automatically with recorded messages. Hotlines and information lines should be:

- Staffed by knowledgeable people who have a good phone manner;
- Cheap or free for callers;
- Up-to-date and provide contact details for further information.

Surveys and interviews

Shorter structured surveys (i.e. surveys with questions that have been predetermined), can be carried out over the phone and can provide an effective alternative to postal questionnaires. Telephone surveys can help gather information from a wide range of people, including those who do not tend to respond to written questionnaires, or attend engagement events such as public meetings. More in-depth interviews can also be carried out over the phone. Interviews should be pre-arranged at a time which is convenient for both parties. When using telephone surveys it is important to:

- Ask clear and concise questions which are free from technical language and jargon;
- Be friendly and open to all responses and comments; and
- Where necessary, ask whether the interviewee would like to be kept up to date with the project, whether they would like to get involved in engagement activities and whether they can be contacted again for follow-up surveys.

RADIO & TELEVISION

Using local radio or television to engage with the public enables you to inform a potentially wide audience about a transport project or issue. These mediums can be used in a number of ways, including:

Radio and television shows

Typically, these will involve a member of the project team answering questions from the interviewer or listeners about a specific project or issue. This can be highly useful for communicating key messages, particularly if the community is concerned about the issue or if a project faces significant public opposition. When participating in a broadcast event, it is important to:

- Prepare thoroughly - identify the key messages you want to communicate and think about the kinds of questions which the interviewer and listeners might ask;
- Target the information you are presenting to the audience appropriately - you will need to research who the audience are; and
- Always provide contact details or a website address for those who wish to find out more information.

Announcements and advertisements

Local radio and television can be used to promote your project or engagement activity in the form of a short announcement or advertisement. These should clearly explain why the project or issue is relevant to the listener/viewer and, where necessary, should highlight why they need to become involved and the impact their engagement will have.

When to use these tools

These tools are particularly useful for providing information to the public and obtaining feedback about a project, issue or event. These can be used as an effective alternative to written materials and face-to-face techniques.

How to avoid or overcome potential problems



- Ensure that staff dealing with the public over the telephone are experienced communicators and are knowledgeable about the project or issue. This will ensure that they are able to answer difficult questions and deal with concerns or complaints.
- Whilst using the telephone for gathering information and carrying out surveys can be useful, people can get irritated by unsolicited phone calls. If someone does not want to talk to you, record their name and number and either call at a more convenient time or use alternative ways of getting them involved e.g. written questionnaires.
- Ensure telephone surveys are not too long - people will not want to get involved in the future if they remember previous experiences as being highly burdensome.
- Be prepared to answer difficult and controversial questions. Answering these appropriately can help dissipate opposition to a project and help project progress in the future.



- It can be useful to invite a community representative who supports your project to take part in the show, as this can help to communicate to the public the benefits of the project and help to overcome the barriers associated with public opposition.

The internet

The internet is increasingly being used as a tool for engaging with the public as part of the transport decision-making process. Internet sites can provide up-to-date information to stakeholders about a project, issue or event and can give them the opportunity to provide feedback through chat rooms and online surveys.

Most individuals are able to access the internet from various locations, such as work, home, internet cafes or libraries. This gives the public the opportunity to find out information or respond to surveys in their own time.

The methods most commonly used in transport projects are:

- Internet techniques
- Web-based forums



Aims

Internet techniques can be used to:

- Provide updated information about a project or key issue;
- Provide plans, reports and graphics to download;
- Invite stakeholders to get involved in an engagement activity or event, such as a public meeting or focus group;
- Involve people who might not normally get involved in engagement activities;
- Generate public interest and discussion about the project through web forums and chat rooms;
- Promote the sharing of information, concerns and experiences;
- Gather feedback; and
- Conduct surveys.

Useful hints

- Update your web-pages as often as possible this will communicate to stakeholders that the project is progressing;
- Regularly test all of the pages on your website, including the downloading of documents and feedback forms;
- If you use email to announce updates, make sure that the link to your web-pages works;
- Ensure your web-pages are not too slow, otherwise people will be put off from using the site;
- Respond as quickly as possible, where relevant, to feedback about the website pages or project;
- Publicise your web-pages or web forums appropriately;
- Give careful consideration to the layout of the web-pages and ensure the text is easy to read (use at least a 12 point font size);
- Where possible, provide downloadable documents (word or pdf) also as a web-page (HTML); and
- Always provide contact details for further information.

In practice

Maribor, Slovenia

The proposed cycle network was one of the projects included on Maribor's website, set up to widen engagement in the activities of the local authority. The website contained a comprehensive database of relevant facts about the cycle network, plus relevant documents. It was continually updated. Web-users were also able to comment on the proposals online.

Ile de France, France

During the implementation of the Urban Transport Plan of Ile-de-France, a good example of a website with various levels of accessibility and related details of information provided has been designed. Information and provision for discussion is given to anyone who visits the website. There is also the opportunity to register and login with a username and a personal password. The most secure access is given to selected professional people who are concerned by confidential and technical information.

Cologne, Germany

A major aspect of the stakeholder engagement strategy to redesign the inner-city ring road in Köln was the preparation of an interactive website. This website was designed to provide information on the project and promote an opportunity for stakeholders to enter a forum discussing aspects of the project. The website comprised a main forum, 3 thematic forums (traffic, cross sections and urban development concepts), Library, Tips and Tricks, Pros and Cons and the Rules and Imprint.

This website was very successful, and the main findings were as follows:

- Many citizens are interested in being involved through the website;
- There is a high rate of contribution and discussion compared to public meetings, hearings etc;
- The online-discussion is structured and comprehensible; and
- Discussions in the forum by stakeholders and members of the project team is at a high level.



An example of Köln interactive website.

Internet techniques

Providing information through the internet and encouraging feedback on projects and issues electronically can help to extend and enhance traditional engagement techniques - enabling people to give and to get information when and how they want it. The internet can help to complement conventional engagement techniques, but should not, however, replace them, as some people will not have access to the internet.

Web-based forums

Web-based forums provide an arena for people to access information, to engage in discussion and debate and provide feedback through chat rooms and discussion boards. Typically, web-based forums are webpages which form part of a project or authority website. Usually, the stakeholder registers on a web-based forum and they are provided with a user name and password for future use.

Features of the internet

Internet techniques

Information pages

These should contain concise, relevant and up-to-date information about the project

News pages

Provides up-to-date news about project progress, specific issues or events

Reports and other key documents

Provide reports and plans in a form which can easily be downloaded, as a pdf or word document (preferably both)

Booking service

Stakeholders can use an online booking form to secure their place at an engagement event

Web-based forums

Chat rooms and discussion forums

These provide the opportunity for the public to share information, ideas and discuss concerns in 'real time'

Questionnaires

Questionnaires can be downloaded as a word or pdf document, completed and returned via email or post, or can be completed online and submitted

Public message boards

Stakeholders can post questions and ideas on a message board on the website

On-line feedback

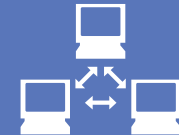
Feedback or comment forms can be completed by the public and submitted to the project team over the internet

When to use these tools

The internet can be an invaluable tool throughout the transport decision-making process, by providing stakeholders with up-to-date information about the project and its progress. The internet can also be used for gathering information and feedback, using various techniques. The internet can play an important role in publicising project developments and engagement activities and events.

How to avoid or overcome potential problems

- Ensure that all written material is easy for the reader to understand - stakeholders will be discouraged from getting involved in the project if they can't understand what it is about.





- Ensure website pages and web forums are easy to navigate - the webpages or aspects of them will not be used if stakeholders find them difficult to use or difficult to find.
- Particular age groups find it more difficult than others to access computers and the internet, in particular the elderly. Provide alternative ways for them to get involved, to ensure they are not excluded from the engagement process.
- If you are encouraging people to provide feedback about the project via message boards or online feedback forms, ensure you read the comments and respond to them where appropriate. This will encourage people to continue to be involved, because concerns are being listened and responded to.
- Discussions between stakeholders in web forums and chat rooms can be very useful for identifying the concerns of the public. Recognising these early on, and acting on these accordingly, can help avoid problems concerning public opposition to your project in the future.

Surveying individuals

Direct engagement with selected individuals can be used to elicit detailed opinions and responses from a wide range of key stakeholders. Unlike public meetings, participants have the opportunity to express their views and concerns without being subject to peer group pressures, or worries about the need to be articulate.

Larger scale surveys also provide the opportunity to canvass the views of a random sample of the public and other bigger stakeholder groups.

- Questionnaire surveys → 
- Key person interviews → 

Aims

Surveying individuals can be useful to:

- Engage those who might feel uncomfortable speaking in front of other people;
- Obtain detailed feedback and information from a broad cross-section of people;
- Establish credibility and increase awareness of the other engagement activities;
- Assess the attitudes of a random sample of a target population;
- Engage those who may be under-represented in public forums; and
- Gather detailed statistical data required for the project.

Useful hints

- Before surveying individuals, be clear about the aims of the survey/interview;
- Carefully plan your sampling strategy, to ensure a representative set of views;
- Consider the best way of contacting different target groups: at home, work place, or shopping centres; on-street or at railway stations, etc;
- Select the form of survey most appropriate to the target group and type of information required (e.g. self-completion vs face-to-face interview);
- Pilot the questionnaire to ensure that it is intelligible and is able to obtain the kinds of information that are needed; and
- If the individual engagement activities are carried out professionally, and the results are published and acted upon, then this can positively affect people's opinions and raise interest levels in the community.

In practice

Bochum, Germany

A survey was conducted to identify public opinion/opposition to a proposed tramline extension, and to determine the structure of a campaign to minimise future opposition. This survey showed opposition to the project to be weaker than expected and the results were used as evidence of the support of the "silent majority". Linking the survey with model analyses which evaluated traffic impacts and economic efficiency provided a strong combined argument in favour of the proposal.

Brno, Czech Republic

In Brno, a survey of local residents was used to identify public support for a ring road project. The survey was used to demonstrate support and to justify the decision not to invest the time and resources required to develop further design options for the proposed ring road project.

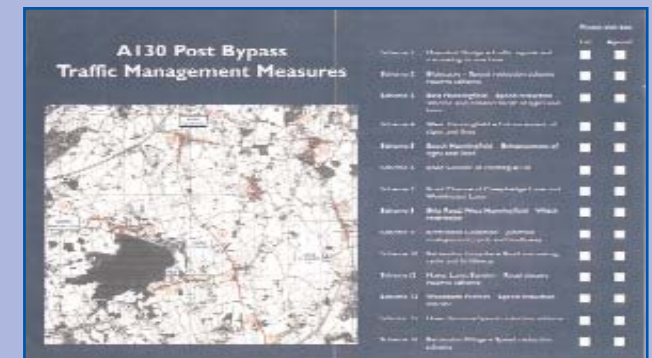
Essex, England

In the preparation and design of measures to improve the environment on the bypassed road, (the A130) the authority focused on past methods of public engagement, where transport professionals prepared a technical set of tick boxes and did not consider the benefits of preparing a formal engagement strategy. Essex County Council engaged stakeholders by means of exhibitions and a questionnaire.

The questionnaire identified 29 locations on a map and 29 possible schemes associated with those locations, asking stakeholders to state if they supported or opposed the scheme. The following were considered problematic with the questionnaires:

- Stakeholders were not encouraged to see the proposal as a whole, as they were asked to focus on specific schemes;
- Stakeholders were asked if they support or oppose the schemes, and limited space was provided for comments or thoughts;

- If there were considerable opposition to one scheme, then the entire proposal would become problematic; and
- Lessons were learnt and local events organised to seek public views.



An example of a question used in Essex that caused problems for the project team to design a preferred solution for A130.

Questionnaire surveys

Questionnaire surveys can be carried out face-to-face (with an interviewer), by post, telephone or by internet. The appropriateness of each form of survey depends both on the length and nature of the questionnaire and the distribution of the sample population.

For example, telephone interviews work well for short questionnaires, if they require only simple responses and the respondent does not need to view lists, figures, etc; since they are usually computer-based, it is possible to include complex routings and skips (i.e. questions only applicable to certain types of individual). Self-completion, mailback questionnaires also need to be kept short, but they can include various stimulus materials (maps, leaflets, etc).

Where target population groups are geographically dispersed over a large area, then face-to-face interviewing is very expensive, and some combination of mailback, telephone and internet survey is more practical.

Key person interviews

One-to-one, personal meetings provide a popular and effective method of informing and engaging with key stakeholders and other representatives of larger interest groups.

The interviewer is usually provided with a structured questionnaire and/or a detailed topic guide. These meetings also provide the opportunity to explain the project in detail, by making a presentation and supplying supporting materials. Participants are then able to ask specific questions and express their views and concerns.

Since such meetings are relatively resource intensive, it is important to make sure that the right people have been identified and that they have allocated sufficient time for the meeting. Among those included in key person interviews should be opinion formers and representatives of those organisations directly affected by the project - both supporters and opponents.

A checklist for the questionnaire

- ✓ Be clear about the characteristics of the respondents and design the survey and questionnaire with this in mind.
- ✓ Carefully establish the objectives of the survey: Why is it being carried out? What information is required? How will this information be used?
- ✓ First pilot the questionnaire with people from the target group and make amendments, if necessary.
- ✓ Decide the best way of distributing the questionnaire:
 - mail out;
 - telephone; or
 - face-to-face.
- ✓ For telephone or face-to-face surveys, prepare guidelines for the staff or contractors who will carry out the interviews and ensure they have the necessary skills.

A checklist for personal interviews

- ✓ Clearly establish the purpose of the meetings or interviews, before starting this exercise.
- ✓ Identify which individuals should be approached.
- ✓ For pre-arranged meetings, contact participants by telephone or through a third party, such as a community representative, as appropriate.
- ✓ Confirm arrangements in writing; explain the purpose of the meeting, how it will be organised, and provide any useful background material.
- ✓ Prepare for the meeting by:
 - developing a set of questions or topics;
 - anticipating questions that may be asked;
 - ensuring the interviewer is well briefed about the project;
 - preparing presentation aids.
- ✓ Ensure that meeting/interview notes are taken and later shown to the participant before being widely circulated.

When to use these tools

Questionnaire surveys provide a useful tool for canvassing opinions from a wide range of stakeholder groups. Key person interviews provide the opportunity to engage with important individual stakeholders in greater depth and establish a rapport with them.

How to avoid or overcome potential problems

- While individual engagement can be an important aid to overcoming barriers, if the process is seen to be too selective and exclusive, then this can become the cause of additional barriers.
- The quality of response and level of individual engagement can differ according to circumstances, even when the same tool is used. For example, responses to the same questionnaire may differ between a pre-arranged interview, and less personal forms of contact, such as stopping people in the street, or sending an unsolicited questionnaire through the post.
- It is important to ensure that responses are representative; not everyone has the time or expertise to complete a lengthy questionnaire, particularly in the hard-to-reach sections of the community. Similarly, conducting face-to-face interviews in a particular street at a particular time is unlikely to provide a representative sample.
- Make sure that the questionnaire is well organised and individual questions are clear and unambiguous. A balance has to be struck between making the questionnaire too simple and over-structured, thereby making it difficult for respondents to deal adequately with complex issues, and having many open-ended questions, as the latter will be more difficult to analyse and draw any conclusions from.
- Ensure that participants receive informed feedback. Be clear from the outset as to how you are going to deal with difficult or conflicting opinions. Be open with participants as to when and why their views cannot be accepted.

Information events

Besides dispensing information and arousing interest in a transport plan or project, information events elicit stakeholder feedback and support. Meeting people face-to-face and providing information is a fundamental step toward getting informed feedback. To 'get the word out' to diverse stakeholders, the project team needs to establish a variety of places where information is readily and conveniently available. Offering people a variety of ways to get information increases the chances it will reach them.

- Exhibition →
- Information centre →
- Information session and briefing →
- Public meeting →
- Topical events →

Aims

An information event can be used as part of an engagement strategy to:

- Provide an opportunity for stakeholders to discuss a project face-to-face with project team members. This can help clear up any misunderstandings that people might have;
- Introduce project team members to stakeholders, so they can begin to develop a rapport with each other. This is an important part of building relationships during stakeholder engagement;
- Present additional information to stakeholders that may not be easy to convey in a written publication;
- Obtain feedback and additional information; and
- Allow stakeholders to discuss the project amongst themselves, sharing views and ideas and building relationships.

Useful hints

Face-to-face contact and two-way communication are vital elements of stakeholder engagement:

- Consider the scope and substance of the engagement activity, what are you wanting to achieve from this event?
- Place the event in the context of the whole project, including all stages of the decision-making process;
- Establish clear procedures for how feedback can affect the organisation's decision-making process;
- Determine how and when feedback information will be provided by the project team; and
- Set up ways to provide further information and obtain comments and questions from your stakeholders.

In practice

Göteborg, Sweden

The project manager of the Vision Lundby car-pooling scheme set-up information stalls at supermarkets and public events, such as football matches. Additionally, the project team set-up a door-to-door campaign where each household was visited to find out whether they received information on the campaign and if they were interested in participating. Households interested in the campaign were given a second visit.

Erfurt, Germany

The main objective of the Local Transport Plan (LTP) exhibition was the communication of the objective via presentation boards at a central and easy accessible location. On-site a member of the planning office was available to answer questions. According to staff at the exhibition, the objectives were well attended. It was viewed as a simple and effective instrument to inform the public.

Essex, England

The County Council of Essex has engaged stakeholders in the design and implementation of schemes to improve newly bypassed roads. A major form of stakeholder engagement has been an activity similar to that of a 'Planning for Real' event that comprised interactive exhibitions, continuous presentations, questionnaires and face-to-face discussions with members of the project team.

The face-to-face discussions took place around stakeholder exhibitions and comprised informal discussion with project team members. These discussions were related to explaining and discussing the issues of the project and explaining some of the proposals and possible solutions. A positive aspect of this technique is the fact that discussions could involve the entire project as well as certain local aspects of the project.

In person discussions were conducted for the A120 and A130 proposals, however the discussions and interactive exhibition events designed for the A120 were most popular.



Stakeholder event for A120 in Essex.

Exhibition

An exhibition is an informal setting in which people can obtain information about a project. It has no set, formal agenda. Unlike a meeting, no formal discussions and presentations take place, and there are no audience seats. Instead, people gain information informally from exhibits and staff and are encouraged to give their opinions, comments, and preferences to staff either orally or in writing. Often exhibitions are used as part of a broader engagement strategy. In particular, they are useful for policies, plans or route options, as they enable visual material to be displayed, explained and discussion generated. Exhibitions provide an informal, casual, and friendly ambience. People drop by at their convenience, obtain the information that interests them, and stay as long as they wish. Informality encourages participants who are intimidated by formal meetings to attend and make their contribution; often the quality of responses is higher. The short time required for engagement attracts people who do not want to sit through long public meetings.

Information centre

An information centre is a place within a neighbourhood or community where people can obtain information on an on-going basis. An easy-to-find location in a local area makes it convenient and easy for people to get information about a project and to express their concerns and issues. An information centre offers informal, continuing contact with the community. It can have other names: field office, site office, or drop-in centre. An information centre typically has the following characteristics: It is visible to the community - an office, storefront, etc. in any visible, accessible, and convenient location within a project area or corridor; It can be mobile, using a van or trailer, to maximise contact with various stakeholders; It is open during specific, regular hours, not just occasionally or sporadically; It is usually in existence for a designated period of time, such as during the planning or construction phase of a project; and it is usually staffed by planning, project, and/or liaison personnel, knowledgeable about the area and the issues.

Information session and briefing

Information sessions/briefing are being considered as a major method for engaging community and stakeholder groups, especially those that wouldn't necessarily participate. These meetings would usually be requested by the project team to get specific community groups involved or can be requested by a community group to discuss certain issues of a project relevant to them. They usually involve exchanging information where the project team can learn more about the issues and local considerations, and the stakeholders can learn more about the project objectives, possible proposals and process.

Public meeting

Public meetings are generally considered as formal meetings arranged by the project team, the public or by an external stakeholder to discuss a certain aspect of a project. A public meeting would sometimes be called to discuss a contentious issue or technical aspect regarding a transport related project. Public meetings are usually a good way of explaining issues to the public and stakeholders and could be a valuable method of obtaining support from influential members of the public.

Topical events

An interesting and fun form of engaging with stakeholders is to set up an information stand, exhibition or information caravan at a local event. These local events could include fetes, band days, market days and road shows, and would usually involve a member of the project team booking a 'stall or piece of land' at such an event. The main focus of this type of event would be to encourage stakeholders to read the information, have discussions with a facilitator from the project team, and get involved in the project, by providing feedback on the project.

When to use these tools

These tools are particularly useful in bringing a project to the community, and making local people aware of the issues and options. If held in strategic locations, they can raise awareness, and create a presence in the area.

How to avoid or overcome potential problems

The community will often feel that transport projects are being imposed on them by people who are remote and do not understand their area, so holding an exhibition or opening an information centre is a good way of connecting with local people:

- Carefully choose the location for these events: they must be accessible, and neutral. Selecting the wrong location will create barriers before the community has even had the chance to see the proposals.
- Events in public offices or the developer's offices will be perceived to be biased from the outset. Most people feel uneasy entering a strange place, so familiarity with the venue will help to make people feel at ease.
- If an exhibition is held in only one location, is only open for a limited time, contains inadequate or poorly displayed information, and is not properly staffed to ensure the community can engage in a proper dialogue, then this will create rather than overcome barriers.
- The staff at either an exhibition or information centre should have adequate knowledge of the project. But professional expertise is sometimes not enough and, to avoid creating unnecessary barriers, staff should be trained in talking and listening to people, and in how to deal with difficult situations.
- Exhibitions or information centres could provide a focus for counter events; objectors may try and hijack the exhibition to put over a counter view. This possibility should be planned for, and in some cases diffused, by inviting objectors to put up their own material alongside the official exhibition.

Engaging selected stakeholder groups

In some cases it is advantageous to engage directly with selected stakeholders. For example, at a community visit with affected stakeholders of the project/proposal or with a specialist group of professionals that can provide valuable input into the decision-making process. Engaging selected stakeholders encourages active discussion and debate, and provides for a creative, lively, flexible and meaningful exchange of ideas.

- Community visits and study tours → 
- Focus group → 
- Workshop → 
- Citizen juries → 
- Technical working party → 

Aims

Engaging selected stakeholder groups as part of an engagement strategy can help to:

- Create active participation, interaction and engagement;
- Encourage open discussion and debate;
- Encourage ownership of the project and 'buy-in';
- Help to reach a consensus on possible improvements or help to establish priorities;
- Gather a range of ideas, issues, opinions, concerns and options;
- Draw on local knowledge; and
- Attract hard to reach groups.

Useful hints

- Engaging selected stakeholders needs to be well organised and well structured. Sessions are usually run by a group leader or facilitator and should have a clear task, theme or goal;
- The programme should include special activities that create interest, discussion and deeper thought;
- There is a need to encourage active engagement and create a sense of equality among members. This can be achieved by seeking views, listening to comments, encouraging discussion and summarising key points;
- The ground rules for the event must be set out from the beginning, which will encourage fairness and promote increased engagement; and
- There is a need to reassure participants that their views have been valuable and their time has not been wasted. The facilitator should summarise the findings from the discussion and propose a possible way forward.

In practice

Madrid, Spain

In preparation for the redesign of the bus network in a municipality in the Madrid region, small groups were engaged by means of separated focus groups and negotiation which involved students, residents associations, PT operators, land developers, labour force representatives, workers and affected local governments. At the focus groups and negotiations, discussion evolved around the provision of information, feedback from different groups, proposals and new proposals from groups.

Bochum, Germany

All city departments and the public operators involved in transport projects regularly conduct informal meetings to coordinate different projects. This is mainly done to avoid the same street being closed off, because of different reasons, such as street repairs or sewerage work. These small informal meetings take place every 8 weeks, with larger technical meetings taking place 3 to 4 times a year including all departments and external partners to discuss actual and planned projects.

Brighton, England

A working group was formed to reach agreement on Supplementary Planning Guidance for redevelopment of a site near Brighton Station. The working group comprised Brighton and Hove City Council, the South East England Development Agency, consultants, locally elected officials, private sector developers and local community representatives.

The working group met every two weeks and its suggestions went out to wider engagement. Following that they met again to consider findings of the engagement results. Overall the working group was considered a good method of engaging stakeholders and attempting to reach a consensus. In the event that consensus on a decision was not possible, a majority decision was reached. Important factors for success were:

- The impartiality of the chair person;
- Openness;
- Adequate time to engage; and
- Views were taken into account.



Working group for the Supplementary Planning Guidance for Brighton Station Site.

Community visits and study tours

Community visits are trips taken by local residents, officials, authorities and consultants to view proposed or actual project areas, or affected properties. They examine the physical environment of a proposal, and can be used by local people to show engineers, project personnel, and planners details and conditions they might have missed. Study tours involve visits to other locations (perhaps in another country) where a project similar in nature to that proposed for an area has already been implemented, so that local residents, politicians and technical people can learn lessons.

Focus group

A focus group can be used to explore stakeholder perceptions and concerns, obtain detailed feedback, promote interaction and inform stakeholder opinion. It usually comprises a small group discussion led by a trained facilitator or experienced practitioner. Focus groups can be fed into the development of policies, strategies and the allocation of resources. They provide an opportunity to contribute to possible improvements in transport services, by identifying problems, needs, wants and aspirations. Focus groups can either comprise groups of professionals (e.g. government officials, community groups, transport professionals, transport operators, etc.), or wider community groups, (e.g. local residents, local businesses etc.) or combinations of the two. Active engagement can be achieved by encouraging discussion and debate among the group, possibly assisted by a range of stimulus materials (e.g. photographs, maps, leaflets), or by carrying out a joint exercise (e.g. allocating a given budget to different schemes within an overall strategy).

Workshop

A workshop usually consists of a single event, lasting for between one to four hours, intended to address a particular topic or issue. It is typically set up in the form of a 'think-tank' or 'brainstorming' session, in which stakeholders discuss the details of a particular issue and identify possible outcomes. A workshop can be used to help set the framework at the beginning of a project decision-making process, or it could be used to identify possible solutions at the option generation stage, or as part of the option selection process. Stakeholders are usually invited based on their professional background or representation of an interest group within the community.

Citizen juries

A range of expert witnesses is called and representative groups of citizens deliberate on the soundness of the arguments presented, question witnesses, and reach an overall view on the proposed scheme or strategy. Citizens' juries have been used to deliberate on a range of policy and planning issues, including health, housing, environment and social justice. These methods have been used extensively in the US, Germany and Austria, and more recently in the UK and Australia.

Technical working party

A technical working party is a regular event where representative groups of stakeholders, often with considerable technical knowledge, meet to discuss specific issues of concern. These working parties provide an opportunity for creative engagement that could be used to address a particular issue or help guide the future direction of the project. The main consideration in setting up a technical working party is to ensure the appropriate representation of participants with specific technical knowledge, from among local government officials, project team members and other practitioners. They do not usually include local residents, although more technically minded interest groups (e.g. representative of a cycling campaign group) might be included. Active engagement can be achieved by encouraging members to work as a team, with each representative having an equal status in presenting their views, and contributing to the debate. In some circumstances it may be helpful for views to be exchanged and recorded on a non-attributable basis.

When to use these tools

These tools are useful for complex projects over long periods where a degree of on-going engagement is desirable. Or where different views exist within the community and bringing together the different elements in small groups can identify common objectives, and suggest possible common ground.


How to avoid or overcome potential problems

Using stakeholders as a 'sounding board' for the wider community, can be a valuable tool in the engagement process, but to avoid barriers it is essential to ensure that the group is representative, and that it is not used as a substitute for engaging with the wider community. The following therefore should be taken into consideration:

- To avoid creating barriers by appearing to be exclusive it should always be explicitly stated in the engagement strategy how and when smaller groups will be engaged, and how this fits in with the wider engagement process.
- While discussions within the smaller groups should normally be kept confidential to encourage the free expression of views, the group should aim to publish regular communiqués to engender a sense of transparency.
- The weight given to the views expressed by these smaller groups is usually substantial. It is therefore essential that in selecting participants, the group represents the widest possible range of views and as far as possible is impartial.
- Engaging with stakeholders is an ideal way of involving those who might not have the experience or confidence to participate in larger events. It is therefore important to ensure that barriers do not occur within the group with a small number of vocal individuals dominating the debate. How to deal with 'difficult' group members needs to be established in advance.
- Because the smaller groups will usually be independent it is therefore often difficult to anticipate the outcome of the engagement process, and the results might be hostile or embarrassing for the project. It is therefore important for the engagement strategy to address in advance the possibility of negative results from these groups.

How to engage large groups?

These techniques are designed to provide an opportunity for project teams to engage with very large numbers of stakeholders. They are best suited for testing ideas and gauging stakeholder perception on various issues. Stakeholders can comment on the project as a whole. In some cases; available at these events stakeholders can view information and discuss matters of the project with project team members.

- Stakeholder conference → 
- Transport visioning event → 
- Weekend event → 
- Planning for Real™ → 
- Open space event → 

Aims

Engaging large groups aims to:

- Provide an opportunity for informal engagement, where stakeholders can put a name and face to a transport project;
- Provide an opportunity to engage with a large non-targeted audience, attracting stakeholders who wish to be involved;
- Provide an opportunity for testing ideas and possible solutions throughout the process, or more specifically prior to implementation;
- Provide an opportunity for stakeholders to get involved according to their schedules;
- Allow the project team an opportunity to discuss any misunderstandings, or controversial issues; and
- Provide the project with a valuable marketing tool.

Useful hints

- It is recommended to use this tool to engage with stakeholders on a particular issue, and would be beneficial to test ideas or gauge stakeholder opinion;
- As these are usually very large engagement events, it is recommended to prepare well in advance and 'dry run' the event a few times;
- Always select a venue that is central, visible, accessible and visit the venue prior to the day of the event;
- Attract stakeholders by having colourful, bright and interesting logos, graphics and stalls;
- Facilitators should be knowledgeable, friendly and prepared for discussion and debate;
- There could be an opportunity for a third party organisation to facilitate the event on behalf of the project team; and
- Always have provision for stakeholders to access more information, such as leaflets, contact details or a website.

In practice

Ile de France, France

During the elaboration stage of the Urban Transport Plan of the Ile-de-France region, different committees and working groups, with at least 50 participants each, were organised. All the people involved agreed that the engagement was wide and that it helped to enrich the proposals. However, one aspect could have been managed better. During the preparation of the draft, most Departments were represented by their planning divisions and not by their road and transport divisions who should be responsible for the later implementation of the Plan.

Essex, England

Essex County Council prepared a very successful activity similar to that of a 'Planning for Real' event in the preparation of schemes to improve the environment on the bypassed road. The event involved exhibitions, questionnaires, continuous power-point presentations, opportunity for voting on preferred schemes and face-to-face discussion all in one venue. Participants were shown around the venue by signs in an organised and logical manner.



Example of Planning for Real process undertaken for A120 in Essex.

Surrey, England

Surrey County Council initiated the Transport Consultative Forum as a continuation of the approach to improve transport planning in Guildford. A local clergyman was approached to chair the Forum. He had experience of chairing working groups and was perceived as independent. Members of the Forum comprised environmental and business groups, transport operators and notable local individuals. The group concentrated on visioning using the method of scenario planning. The Forum has been accredited with success in improving the acceptability for bus lanes in Guildford. However, some members of the forum were dissatisfied with Surrey County Council for not taking forward all of the ideas generated by the Forum.

Stakeholder conference

A conference is an excellent opportunity for stakeholders to learn more about a particular transport issue and use the new skills in solving real projects. The agenda for the event could include presentations by transport professionals on current transport issues, such as how to 're-allocate road space to reduce speeding'. Then a project team member will give an overview of a relevant project and stakeholders will have an opportunity (possibly in groups) to reduce speed in their area, by re-allocating road space. This is a good way of stakeholder engagement for controversial projects, by empowering and involving stakeholders.

Transport visioning event

A transport visioning event would usually be a half day event, and involve between 20 to 60 people. The basis of the event will be to discuss all relevant issues of a particular transport project, from identifying the strengths and weaknesses of a particular area, to highlighting the issues with that area, to identifying possible solutions (no matter how visionary those solutions are). This is a good method to promote stakeholder awareness and encourage 'out-of-the-box' thinking.

Weekend event

A weekend engagement event is probably one of the most extensive engagement techniques and involves inviting a range of stakeholders to a weekend long discussion and workshop on a particular project. The weekend timeframe usually provides the opportunity to work through detailed aspects of the transport project process, from problem identification through to solution generation. The weekend event uses many techniques discussed in this handbook, such as workshops and exhibitions, and can usually form the major part of the engagement strategy for the project.

Planning for Real TM

Planning for Real uses simple models as a focus for people to put forward and prioritise ideas on how their area can be improved. It is a highly visible, hands-on community development and empowerment tool, which people of all abilities and backgrounds find easy and enjoyable to engage in.

Open space event

Open space events provide a highly democratic framework for enabling any group of people to create their own programme of discussions on almost any theme without much preparation. They are particularly useful for dealing with general policy issues, for generating enthusiasm and for dealing with urgent issues needing quick action.

When to use these tools

Holding a large event is an effective way of bringing together and directly engaging with large numbers of stakeholders to identify general areas of concern and gauge the reaction to various options. It offers the opportunity for every stakeholder to engage with the process.

How to avoid or overcome potential problems

No matter how well attended there is no guarantee that such events will be representative of all stakeholder views, and to avoid barriers large engagement events should only be one part of the engagement process. The following therefore should be taken into consideration:

- Unlike many of the other tools for engaging with stakeholders large events are more prone to a group dynamic which can distort the outcomes. Barriers will occur if one interest/viewpoint is allowed to dominate the event. The larger the event the more difficult it can be to hear all competing agendas, so enough time must be allowed to ensure everyone can participate fully.
- Such events can be costly and require adequate resourcing, not just for the event itself but to ensure feedback and follow up sessions. Barriers will occur if it is not made explicit from the beginning, how the information obtained will be used, how it will be fed back to stakeholders and how the event fits into a continuous process of engagement.
- Because of the longer timescale involved it is essential that barriers are not created through participants being uncomfortable, or their reasonable needs not being met. Proper planning will ensure that all participants can access the venue and media use for the event, and for example; adequate refreshments are provided.
- In planning the event it should be remembered that staff will need to be on hand with sufficient knowledge of the project to answer any reasonable questions. Inadequately staffed events lead to frustration and inevitably create barriers through misunderstandings.
- Before undertaking an event that encourages 'blue sky' thinking be sure that there is enough flexibility in the project to allow for radical/innovative ideas to be developed.

The importance of engaging with 'hard to reach' groups

These groups are often excluded from engagement activities. However, they are often directly affected by transport projects, both as potential customers/users and as people who might be adversely affected by their construction or operation. They may also have special needs, including a restricted ability to read signs or to board a bus or enter a station in a wheelchair. Potential hard to reach groups include:

- Ethnic minorities
- Impaired people
- Young people and the elderly
- People with low literacy levels
- Apathetic people

Aims

A positive strategy of engaging 'hard to reach' groups can help to achieve the following aims:

- To encourage the active engagement and involvement of all types of stakeholder, and to make sure that their views are incorporated into the project decision-making process;
- To assist people in articulating issues about the project that concern them, as representatives of the different types of affected groups;
- To formulate proposals that address the particular needs of various disadvantaged groups of people;
- To ensure that their views are considered in the formal decision-making process, thereby reducing potential opposition at a later stage;
- To empower minority groups; and
- To promote a transparent engagement process.

Useful hints

Consider the following when engaging 'hard to reach' groups:

- Give careful consideration to the demographic profile of different parts of the study area;
- Prepare a strategy that engages groups with the whole project process and focuses on the outcomes;
- Identify 'hard to reach' groups from the outset of a project, and consider how to reach and engage them effectively;
- There are many organisations that represent the interests of 'hard to reach' groups, such as 'Voluntary Action Group'. These can be a valuable source of information on how to engage such groups;
- Apart from assisting in directly involving hard to reach groups, such organisations could be used to disseminate information to their members; and
- When arranging an event, always remember to check for any special requirements, such as food or access. This can be done on the event reservation slip.

In Practice

Göteborg, Sweden

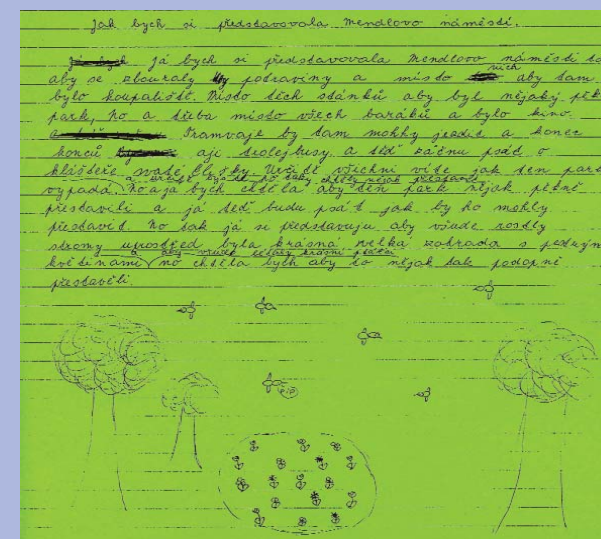
Innovative tools were developed as part of the car pool project in Göteborg to encourage the whole population (in particular hard to reach groups) to participate. The knocking door campaign, where all households in a certain area were visited, and testing days to convince the population of the validity of behavioural change are two methods adopted.

As a result, the share of participating and interested citizens in the car pool projects was higher than in other similar projects. Personal contact and a pro-active engagement process were viewed as the major factors which contributed to success.

Brno, Czech Republic

In preparation of a strategy for the revitalisation of Mandal Square in Brno, consideration was given to involving young people.

Young people were involved in the revitalisation because they would be the main users of the improvement scheme in future years. Young citizens were unable provide detailed suggestions on possible improvements because they were too young; however, they were able to show by means of sketches how they could see the square in the future. A good example of this is a sketch showing trees and birds that shows the project team that a green natural square would be preferred.



An example of engagement with young people for the future vision for Mendel Square.

Ethnic minorities

Ethnic minority groups share common cultural traditions and living patterns which may differ from those of the predominant population, who may be unaware of many of their differing concerns and requirements. A demographic profile of the study area would help to alert the project team to the presence of particular ethnic minority groups. Consideration should be given to language and cultural factors unique to that group.

Impaired people

This group includes people with visual, hearing, physical or mental impairments. It is very important to engage directly with these various groups, since many transport projects aim to improve their accessibility. Consideration should be given to using special techniques such as braille, recorded messages and cartoon-based messages; always remember to make venues accessible for wheelchair users.

Young people and the elderly

Younger and older generations are often neglected in stakeholder engagement activities; however they usually have much information of value to share. Older generations often have a better understanding of local conditions, while the younger generation is likely to have new and interesting ideas; the latter also represent the main transport users in the future. Consideration could be given to using drawings and sketches to involve the young.

People with low literacy levels

Account should be taken of the varying literacy levels and technical knowledge of people in the area affected by the project. Written engagement materials should be available in other forms, making greater use of cartoons and graphics; key information should also be provided in audio form, perhaps via a telephone hotline. In general, use the minimum of technical terms and phrases, and try to keep the language as simple as possible.

Apathetic people

People who lack an interest in becoming involved in transport projects are probably the most difficult to include in the stakeholder engagement process, yet they may become vocal once the project has been implemented. This includes people who won't take part in surveys or attend events. Consider making materials colourful, interesting and attractive, and promote and market the benefits of being involved in the project.

How to avoid or overcome potential problems

In developing an engagement strategy it is important to identify the reasons why certain groups are 'hard to reach'. The following should be taken into account to avoid or overcome potential problems:

- 'Hard to reach' groups are rarely homogeneous and can include a rich and varied range of sub-cultures. Treating them as a single group can potentially lead to problems and additional barriers.
- It is important to be clear whether you are trying to obtain a group view or the personal experience of different affected individuals. Community and voluntary groups are essential stakeholders in the engagement process, but they are not a substitute for gaining an individual insight into the issues facing 'hard to reach' groups, as they might have their own political agendas.
- Many might claim to speak for a disadvantaged community, but in reality few people can do so. It is essential to be aware of possible sub-groups and potential tensions within larger groups before engaging with them.
- Getting the language right is essential for engaging successfully with different communities. One barrier for ethnic communities can be language, and even within a small area there might be several different languages and dialects. Getting the tone as well as the meaning right is essential to avoid creating barriers by appearing to patronise some groups.
- Some of the most effective tools for engaging with 'hard to reach' groups will include those used for engaging with relatively small groups, such as focus groups and community visioning exercises, where the participants are targeted and personally invited. But, avoid the impression that there are two processes being undertaken, with different degrees of attention: one for hard to reach groups and the other for the rest of the community.

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Section 4

Section 4 - Glossary and bibliography

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| Aim | The purpose and/or benefit of using a tool or technique described in this handbook, as part of a transport related project |
| Apathetic people | Individuals or groups who are reluctant to take an interest in a transport project or to become involved in the engagement process |
| Assessment | Judgement of project performance against milestones and required outputs, at various points during the transport decision-making process or after project implementation |
| Authority | An organisation or institution which has an influence over the project decision-making process |
| Awareness campaign | A technique used to raise public awareness of problems associated with road traffic, and to encourage the use of cleaner and more sustainable transport modes |
| Barrier | Any obstacle which delays or prevents a project being implemented, or limits the ways it can be implemented |
| Capacity building | The process of developing the skills of an organisation or group of people, to enable them to more effectively contribute to the engagement process, or to manage local projects |
| Citizens Jury | A series of hearings about a proposed transport policy or strategy, to which a small number of inhabitants of a city or neighbourhood are invited to attend and participate in discussions, before being asked to make recommendations |
| CIVITAS | An initiative incorporating urban transport demonstration projects, co-funded by the European Commission, DG TREN, which seeks to achieve a shift towards cleaner and more sustainable modes of transport by implementing a series of measures |

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| Community visit/study tour | Local residents and other stakeholders are invited to join a guide to travel around the study area, or to visit another area where similar measures to the ones proposed have already been introduced |
| Contentious issues | Issues where there is a lack of consensus concerning the implementation of a project, with strongly held views on both sides |
| Contextual barrier | Any institutional, legal or financial obstacle which can prevent or delay a project, or lead to a major modification in its design or timing, or the cancellation of the project |
| Decision maker | An individual who is in a position to take or strongly influence a decision about the progress or outcome of the project |
| Decision-making concepts | A set of principles and procedures associated with the transport decision-making process, covering the project stages, various barriers, project management and engagement tools, and the elements of good decision-making |
| Elected officials | Individuals elected by the local population, as part of the political process, to represent their interests and contribute to the project decision taking process |
| Engagement | The process of identifying stakeholder groups and incorporating their concerns, needs and values at appropriate points in the transport decision-making process |
| Engagement strategy | A document that defines the objectives of stakeholder engagement and the specific activities that will be undertaken at each stage of the project to engage relevant stakeholders in the transport decision-making process |
| Ethnic minorities | Minority groups of people who share the same cultural traditions and characteristics, which differ from the predominant population |

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| Expert advisor | An individual or group of people invited to assist the project team because of their specialist knowledge, skills and/or experience of a particular subject or project |
| External consultant | An individual from outside the project team or organisation who is contracted to undertake a specific task relating to project management or engagement |
| Facilitator | An individual who helps to guide discussion among a group of stakeholders |
| Fact sheet | Detailed practical advice on how to plan and apply a particular project management or engagement technique within the transport decision-making process. Each tool in the handbook has associated fact sheets, presented in Volume 2, describing particular sub-tools, or techniques, in greater detail |
| Feature article | An extended description of a transport project, or a particular aspect of it, in a newspaper or magazine, typically written to expand on other news coverage |
| Focus | An understanding of what is required of the project at every stage of the process, the identification of priorities, and the concentration of resource and effort on these key priorities |
| Focus group | A technique in which a small group of people, usually previously unknown to one another, are invited to discuss specific topics or issues relevant to a particular transport project, led by a facilitator |
| Formal decision taking | The procedure by which the preferred option is decided by the responsible institution, following any legally determined processes |

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| Hard to reach groups | Groups who are likely to be affected by a transport project, but have traditionally been difficult to contact and engage in the decision-making process; for example, impaired people, young people and those with low literacy levels |
| Impaired people | Those members of the community who suffer a disability or impairment which limits their capabilities; e.g. those who are blind or partially sighted, and those who are hard of hearing |
| Implementation | The process of putting into practice the strategy or scheme, including any construction works and system operations |
| Inclusion and accessibility | Ensuring that all stakeholders are aware of and able to participate in the decision-making process, and that the diversity of stakeholders and opinions are fairly represented |
| Indicator | A defined piece of data (usually quantitative) that is used to monitor progress in achieving a particular objective or target |
| Individualised marketing | A type of campaign targeted at specific individuals and groups in an area, using personal contact and customised information. The key aim is to encourage a change in behaviour resulting in the use of cleaner and more sustainable transport modes |
| Information centre | An office established by the project team, with regular opening hours, which distributes information and responds to enquiries |
| Information event | This includes several techniques involving organised events designed to disseminate information about a project |
| Information management | Process of identifying, obtaining, processing, storing and exchanging all types of information needed during a project |

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| Institutional marketing | A focused campaign targeting decision-makers and public authorities. The key aim is to influence these groups and win their support |
| Interactive engagement | A range of techniques that enable stakeholder groups to engage in an interactive manner with the project team and other stakeholder groups; some techniques are more suited to dealing with issues relating to strategies or policies, and others with transport schemes |
| Internet | Technology to enable the dissemination of information and two-way communication via the World Wide Web and email |
| Leaflet and brochure | A short, printed document typically used to deliver a simple message to a large number of people |
| Marketing strategy | Defines the activities which will be undertaken to promote support for a project, both in terms of its implementation and subsequent use |
| Media | Includes organisations whose function is to provide information to the public or defined professional groups; the media covers television, newspapers, the professional press, news agencies, radio stations and internet news sites |
| Media strategy | Defines the activities which will be undertaken at various stages in the transport decision-making process, and how they will be managed, to ensure effective use of the media |
| Monitoring | An on-going measurement of progress, through the collection of new data and/or collation of existing data sources |
| Newsletter | A document (printed or electronic) which is produced regularly, providing current information on how a project is progressing |

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| Open space event | An informally structured event, in which individuals and groups can debate issues and options in the context of an evolving agenda |
| Opponents | Those who object to a transport project and seek to prevent its implementation, or to modify the strategy or scheme |
| Option assessment | An appraisal of how suggested options meet the stated objectives and targets |
| Option generation | The development of alternative strategies or schemes representing different ways of meeting the project objectives |
| Organisational structure | Defines the roles and responsibilities and the management hierarchy for the project team, and its relationships with other key organisations |
| Outcome indicators | Measure the impacts, benefits and changes that are experienced by different stakeholder groups, during or after the implementation of a project |
| Planning for Real™ | The local community uses three dimensional models to identify problems and to suggest ways of addressing them through an appropriate scheme or schemes |
| Post implementation evaluation | Based on data on final output and outcome indicators, this involves the assessment of how successful the project has been in meeting its objectives, in a cost effective manner |
| Potential problems | Discussed under each tool, these review barriers which could in the future cause delays, major modifications, or the cancellation of a project, if not anticipated and addressed |

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| Practice examples | Examples of good practice from the European cities or regions involved in GUIDEMAPS, on the ways in which various tools and techniques have been used, the barriers that were encountered and how they were overcome. 'In practice' examples are provided in the tools section of the handbook, and full details of each site are provided on the CD-ROM |
| Press pack | A collection of information about a project, issue or decision which is provided for the media |
| Printed public information materials | Documents produced to inform or to encourage involvement in a project; e.g. a letter, poster, leaflet, fact sheet, newsletter or technical report |
| Problem definition | The process of identifying problems and issues, and defining the objectives that the project is intended to address |
| Process barrier | Any management or communication barrier which could cause delays, major modifications, or the cancellation of a project |
| Project champion | An individual in a position of influence who has taken a special interest in a project and uses this position to lobby for and advance the planning and implementation of the project |
| Project management | Tools that can assist in the overall planning, coordination and undertaking of a project, ensuring that tasks are completed on time and within resource constraints |
| Project manager | The person responsible for the coordination of a project, ensuring that tasks are completed on time and within resource constraints |
| Project team | Comprising the group of people who are assigned to work together to plan, design and implement a specific project |

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| Public meeting | A traditional engagement technique that involves inviting the public to a meeting where they are informed about a transport project and are invited to give their views |
| Resources | The range of inputs, such as money and staff time, that is required at different stages to enable the project to be carried out |
| Responsiveness | The ability to quickly identify various kinds of problems that might arise, and to have in place procedures to react appropriately |
| Special interest groups | Includes organisations that represent particular interests (e.g. minority population groups, environmental issues), and who feel that the project is likely to affect their members or concerns |
| Stages in the transport decision-making process | Six sequential stages that characterise the main steps in a typical transport decision-making process, recognising that in practice the process is not usually a simple, linear one. These stages represent specific periods during which predefined types of work take place on a project |
| Stakeholder | Any individual, group or organisation affected by a proposed project, or who can affect a project and its implementation. This term includes the general public, as well as a wide range of other groups (e.g. businesses, public authorities and special interest groups) |
| Stakeholder conference | A large scale, formal engagement event focused on providing stakeholders with information on solving issues that affect them |
| Stakeholder engagement | The involvement of individuals, groups and organisations, to varying degrees, in aspects of the transport decision-making process, through a variety of tools |

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| Technical working party | A meeting of technical professionals, designed to provide direction for a particular project, or on-going technical advice on specific issues |
| Third party negotiation and mediation | A technique used to seek agreement and compromise between two (or more) opposing interests |
| Tools | A group of related techniques for project management or engagement, designed to address a particular issue |
| Topical events | A technique for engaging the local community in a project or issue, by installing a project stall or stand where it will be seen by the community, e.g. on a market day or at a local fete |
| Tracking progress | The monitoring of the progress of a project against resource allocations (inputs) and output milestones set out in the work plan |
| Transport decision-making process | The whole process involved in planning, designing and implementing a transport project (strategy or scheme), including the aspects relating to decision taking |
| Transport scheme | A transport project involving the introduction of a new physical measure (e.g. light rail scheme, traffic calming scheme), or a new management measure (e.g. limited access zone); typically part of a wider transport strategy |
| Transport strategy | The formulation of a detailed plan to achieve a given set of policy objectives, either covering all transport modes, or selected modes (e.g. cycling strategy), usually resulting in the recommendation of a set of schemes |
| Transport visioning event | Combines various techniques, such as workshops, focus groups and exhibitions, to enable stakeholders to prepare a vision for their local area to solve particular transport-related problems or to help set objectives for a project |

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| Web based forums | A dedicated web page associated with a project where stakeholders can view information, engage in online discussion with other stakeholders and the project team can provide feedback |
| Weekend event | A one or two day engagement event, designed to encourage the sharing and exchanging of detailed information about a specific project |
| Work plan | A document setting out a detailed and realistic series of actions to be undertaken, with an indication of resource use and time scales, against which progress can be measured |
| Workshop | An engagement event used to address a particular topic or activity and usually involves brainstorming or discussion to achieve a certain task or outcome |

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RWTH-ISB (Project Coordinator)
Institut für Stadtbauwesen und Stadtverkehr
RWTH Aachen (D)

UoW-TSG
Transport Studies Group
University of Westminster, London (UK)

Boku-ITS
Institut für Verkehrswesen
Universität für Bodenkultur Wien (A)

Socialdata
Institut für Verkehrs- und Infrastrukturforschung GmbH,
München (D)

PTRC
PTRC Education and Research Services Ltd (UK)

DREIF/DIT
Groupe Etudes et Stratégies des Transports
Division des Infrastructures et des Transports, Paris (F)

AUTh
Aristotle University of Thessaloniki (GR)

CDV
Centrum dopravního výzkumu, Brno (CZ)

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Magistrat mesta Brna (CZ)

SENER
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Successful transport decision-making

A project management and stakeholder engagement handbook

is designed to provide an easy to read, yet detailed guide to the latest research into decision-making and engagement processes in transport planning.

The handbook has been developed to support the decision-makers involved in local and regional transport planning in Europe. It is primarily aimed at transport professionals working in local authorities or transport companies, but it is also relevant to all stakeholders involved in the decision-making, engagement and project management process: elected officials, community leaders, transport operators or financiers, campaign groups, NGOs and interested citizens.

The handbook is based on research undertaken during the three year European research project “**G**aining **U**nderstanding of **I**mproved **D**ecision-**M**aking and **P**articipation **S**trategies” – or **GUIDEMAPS** for short – which involved 11 Partners from 7 European countries, including two new member states. It is a practical guide drawn from 20 Practice Examples in 16 European cities, with useful advice on how to apply the lessons learned.

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Handbook prepared by the GUIDEMAPS consortium

Authors:

Jo Kelly (UoW-TSG)

Peter Jones (UoW-TSG)

Franz Barta (Socialdata)

Reinhard Hössinger (Boku-ITS)

Andreas Witte (RWTH-ISB)

André Christian Wolf (RWTH-ISB)

Co-Authors:

Klaus J. Beckmann (RWTH-ISB)

Andy Costain (PTRC)

Erhard Erl (Socialdata)

Tim Grosvenor (UoW-TSG)

Albin Keuc (MCN)

Joanna Machin (UoW-TSG)

Julie Raffailac (DREIF/DIT)

Gerd Sammer (Boku-ITS)

Victoria Williams (UoW-TSG)

With contributions from:

Julian Sastre Gonzalez (SENER)

José Dionisio González (CRTM)

Maria Grigoriadou (AUTH)

Panos Papaioannou (AUTH)

Petr Pokorný (CDV)

Zdenka Šamánková (MMB)

Nigel Green (Brighton & Hove)

The GUIDEMAPS consortium

Project Coordinator:

RWTH-ISB

Institut für Stadtbauwesen und Stadtverkehr, RWTH Aachen (D)

Contractors:

UoW-TSG

Transport Studies Group

University of Westminster (UK)

Boku-ITS

Institut für Verkehrswesen

Universität für Bodenkultur Wien (A)

Socialdata

Institut für Verkehrs- und

Infrastrukturforschung GmbH (D)

PTRC

PTRC Education and Research Services Ltd (UK)

DREIF/DIT

Groupe Etudes et Stratégies des

Transports, Division des infrastructures et des transports (F)

AUTH

Aristotle University of Thessaloniki (GR)

CDV

Centrum dopravního výzkumu, Brno (CZ)

MMB

Magistrat města Brna (CZ)

SENER

Ingeniería y Sistemas S.A. (E)

CRTM

Consorcio Regional de Transportes de Madrid (E)

For more information about the GUIDEMAPS project and the consortium partners, please visit the project's website at www.guidemaps.info

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What are the Fact Sheets for?

Volume 1 identified a total of nineteen tools (in section 3) that can be used to improve an aspect of project management or enhance some form of stakeholder engagement, during one or more stages of the transport decision-making process (see section 2). Associated with each tool were a number of more specific techniques (ranging in number from two to six), which were summarised briefly as part of each tool description.

The fact sheets presented here describe each of these techniques in much more detail, and are referenced back to the relevant tool. The purpose of each fact sheet is thus to provide detailed and practical advice on planning or designing for the use of an individual technique, and on how to apply it appropriately to achieve good results

An example of Page 1 of the 2-page Fact Sheet

FS 52: Information session and briefing

1 What is an information session and briefing?
Information sessions and briefings provide an opportunity for the project team to present information on a project and respond to any specific questions. This factsheet focuses on information sessions and briefings which are presented 'in person' (rather than in writing) to individuals and groups outside the project team.

Information sessions are typically initiated by the project team and used to inform the community or media about the project or a key aspect of it. Information sessions or briefings may also be requested by members of the public who might wish to get more information about the project or want to ask specific questions about it. Several briefings could be organised and targeted at different groups where necessary e.g. a separate session for the general public and elected officials.

2 Key features of an information session or briefing
To be effective, an information session or briefing should have the following characteristics:


- Informative:** briefings must provide accurate and relevant information about the project or specific issues;
- Open:** individuals and groups should be encouraged to attend information sessions and ask questions where relevant;
- Responsive:** questions should be responded to appropriately or directed to the relevant individuals or organisations; and
- Accessible:** sessions should be accessible to all and consideration must be given to the requirements of different groups.

3 Why are information sessions and briefings useful?

- Information sessions help to inform the public and other groups, such as the media about the project, and other key issues;
- Helps to promote the project;
- Provides an opportunity for the public to ask questions and to get involved in the project;
- Can help to reassure the public about the project and any developments/changes which may occur;
- Helps to establish links with the community and affected individuals and groups;
- Feedback during and after the sessions can help the team to identify key issues, concerns and questions; and
- Sessions can be organised relatively quickly, if necessary.

4 When should you hold an information session or briefing?
Briefings should be held when the public or other individuals or organisations need to be informed about a project or about its progress. This could be at the beginning of the decision-making process and/or at key stages throughout it. It might be useful, for example, to plan a briefing before an engagement activity to encourage participation or before a major decision is made to ensure relevant individuals or organisations are fully informed.

Information sessions can typically be planned and promoted ahead of schedule. At other times however, they may have to be more spontaneous to respond to demands for information and questions from the public at short notice. This might be necessary, for example, after negative reports from the media about the project or after delays with project progress.

5 

An information session held for Měnšák Square revitalisation project in Brno, Czech Republic.

6 **NOTES**

Project Management Fact Sheets

Fact sheets FS1 to FS37 describe a set of techniques that relate to different aspects of project management, from the Scoping phase through to Running the project and subsequent Outcome monitoring and evaluation (see page 4). As the focus of GUIDEMAPS has been particularly on stakeholder engagement, the fact sheets concentrate more on techniques most relevant to projects where stakeholder engagement is an integral part of the transport decision-making process.

Engagement Fact Sheets

Fact sheets FS38 to FS69 describe sets of related techniques that apply to one of three aspects of stakeholder engagement: whether the intention is information giving and gathering or interactive engagement, the size of the groups of stakeholders being targeted, and whether the groups involved are in the 'hard to reach' category. The table on page 80 gives some guidance on selecting the appropriate engagement technique in different circumstances.

| | |
|---|--|
| 1 | What is/are.....?? This provides a brief description and definition of the relevant technique, sometimes providing a rationale for the use of that technique. |
| 2 | How/why use this technique? Briefly outlines either how or why this technique may be used in the transport decision-making process. |
| 3 | What are the benefits This summarises the benefits of using this technique, often for particular stakeholder groups. |

| | |
|---|---|
| 4 | When should you use this technique? This advises on which stage(s) in the decision-making process the technique could be used most effectively, and how they can contribute to this process. |
| 5 | Picture or figure A picture or figure that illustrates the technique or its application is usually provided here. |
| 6 | Notes Here space is provided for you to add in your own experiences or tips. |

An example of Page 2 of the 2-page Fact Sheet

Whom are briefings held with?
Information sessions and briefings can be attended by a range of individuals, groups and organisations. These might include:

- The general public:** Individuals interested in the project or affected by it
- Media:** Representatives of the local media
- Elected officials:** Elected officials who need to be familiar with the project
- Community groups:** Representatives of community groups
- Experts:** Individuals with experience/knowledge about specific issues
- Business organisations:** Businesses interested in the project

Tips for organising a briefing

- ✓ Promote the information session using appropriate techniques e.g. local newspapers and posters to ensure people attend.
- ✓ Hold the session at a venue and at a time which is appropriate, convenient and accessible for all.
- ✓ Focus the discussion on the key issues and concerns of the participants.
- ✓ If the project is technically complex, use supporting materials to explain detailed issues with the participants.
- ✓ Be prepared to answer and respond to questions and issues raised by participants.
- ✓ Ensure presenters are well briefed on their role and their maximum speaking time.
- ✓ If appropriate, have an attendance sheet available at the entrance(s) to the venue, documenting who attended the event.

How are they organised?

- Initiated by either party**
The information session might be initiated by the project team or other individuals, such as a member of the public or a media representative.
- Customised**
The briefing should seek to effectively inform the participants and address their specific issues or concerns.
- Briefing preparation**
Plan how the briefing will be structured and the most effective way of engaging with the participants. Book an appropriate venue and catering.
- Monitor the media**
Monitor coverage in the local media to keep informed of local concerns and issues relating to the project.
- An effective representative**
The organisation should be represented by someone with good communication skills who is knowledgeable about the project and the relevant issues.
- Continuous communication**
The project team should continually inform the public and others about the project and progress. Techniques might include newsletters and website updates.

Practical information
Who participates and how?
Briefings may be specifically focussed e.g. aimed at the elected officials or open to the general public. Several briefings could be organised and targeted at the different groups where necessary.

How much does it cost?
A briefing is a relatively inexpensive technique. Some costs are likely to be incurred from producing promotional material and the venue and catering for the event.

What skills are required?
Well-informed, articulate staff who are good at communicating will be required to lead the briefing. Staff will need to be highly knowledgeable to be able to answer specific questions from the participants. Experts may be required for technical questions.

How is it used with other techniques?
Briefings can be part of a larger and wider public engagement strategy. They can help to encourage participation in other engagement techniques, such as focus groups and workshops and can be used to publicise the results of other engagement practices, such as questionnaire surveys.

What are the drawbacks?
Briefings need to be promoted well to ensure people turn up to the event. Organising many different briefings to cater for different targeted audiences can be time consuming.

In Volume 1 - 'Concepts and Tools'

Section 3 - Tools

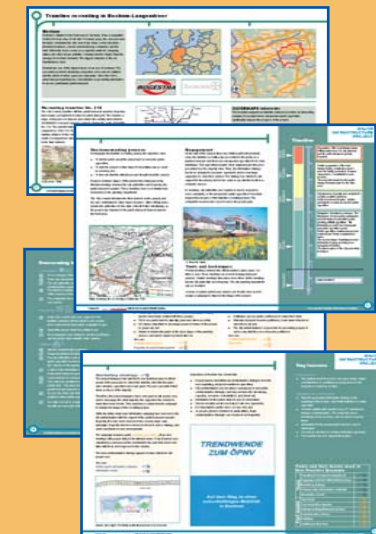
You can link from a fact sheet to the tool that this technique forms a part of, either electronically on the CD-ROM or by using the Tool Number at the top of the fact sheet page. Each tool sheet provides:

- A description of the tool and the alternative ways in which it can be used;
- A brief outline of the reasons for using this tool;
- Practical guidance from Practice Examples researched in the GUIDEMAPS project;
- A short explanation of the set of techniques related to this tool; and
- Potential problems that may be experienced when using these techniques.

Also on the CD-ROM...
Practice Examples

On the CD-Rom you will find more information about the twenty

practice examples, including maps and photographs and a full description of the project and the way key decisions were managed. This includes more information on the tools and techniques used, any barriers that were encountered, and a timeline showing how the project progressed between stages.



7

How to design your technique
In each of the fact sheets information is provided about how you can implement this technique as part of the transport decision-making process, with details of the stages or elements involved (where appropriate).

In some cases, this includes examples of useful approaches that could be used in your transport project, and advice on how to assess whether you have addressed the key issues, before, during and after implementation.

8

Practical information

The practical information column provides advice, usually in the form of answers to a number of key questions:

- Who participates and how?
- How much does it cost?
- What skills are required?
- How is this used with other techniques?
- What are the drawbacks?

What are project management tools in Volume 1?

The 'Project Management Tools' in Volume1 are a few of the many tools designed to provide guidance for managing and achieving a successful transport decision-making process.

The four broad phases involved in implementing project management are summarised on this page. These phases are outlined in detail in Section 2 of Volume 1. In summary these are:

(A) Scoping: is the initial stage of planning a project, where the whole decision-making process is mapped out by the project manager and the decision-making authority/organisation;

(B) Establish core team: is the identification of suitable individuals to form a project management team, that agree the decision-making process, the procedures to be utilised and the resources required;

(C) Detailed preparation: is the phase where detailed consideration is given to preparing specific plans/strategies and understanding potential risks and barriers; and

(D) Running the project: is the active phase of management within the running of the project.

Project management tools

(A) Scoping

T1: Preparing for project management



(B) Establish core team

T2: Establishing the project management team

T3: Managing resources



(C) Detailed preparation

T4: Engagement strategy

T5: Media strategy

T6: Marketing strategy



(D) Running the project

T7: Managing stakeholder involvement

T8: Managing contentious issues

T9: Overcoming barriers

T10: Project monitoring



T11: Outcome monitoring and evaluation

Project Management Fact Sheets

(A) Scoping

| | |
|---|---|
| T1: Preparing for project Management | FS1: Developing a work plan |
| | FS2: Developing an organisational structure |
| | FS3: Management of information |
| | FS4: Quality management |

(B) Establish Core Team

| | |
|---|--------------------------|
| T2: Establishing the project management team | FS5: Project manager |
| | FS6: Project team |
| | FS7: External consultant |
| | FS8: Project champion |
| T3: Managing resources | FS9: Time |
| | FS10: Skills |
| | FS11: Costs |

(C) Detailed preparation

| | |
|----------------------------|---|
| T4: Engagement strategy | FS12: Preparing an engagement strategy |
| | FS13: Identifying stakeholders |
| | FS14: Managing the engagement process |
| T5: Media strategy | FS15: Feature article |
| | FS16: Press releases and news conferences |
| | FS17: Press pack |
| T6: Marketing strategy | FS18: Institutional marketing |
| | FS19: Information and image campaigns |
| | FS20: Awareness campaigns |
| | FS21: Individualised marketing |

(D) Running the project

| | |
|---|--|
| T7: Managing Stakeholder involvement | FS22: Elected officials |
| | FS23: The media |
| | FS24: Special interest groups |
| | FS25: Opponents |
| | FS26: Expert advisors |
| T8: Managing contentious issues | FS27: Identifying issues for engagement |
| | FS28: Managing outputs |
| | FS29: Third party mediation & negotiation |
| T9: Overcoming barriers | FS30: Institutional / Legal / Financial (contextual factors) |
| | FS31: Management (process barriers) |
| | FS32: Communication (process barriers) |
| T10: Project monitoring | FS33: Measuring indicators |
| | FS34: Tracking progress |
| | FS35: Data collection and data storage |

| | |
|---|--------------------------------------|
| T11: Outcome monitoring & evaluation | FS36: Measuring outcome indicators |
| | FS37: Post-implementation evaluation |

Each fact sheet describes a technique associated with a tool.

Developing a work plan

The development of a work plan provides a management framework for the project, and is key to the success of the whole decision-making process. This document will heavily shape the project, in terms of the staging of the process, elapsed time and budget needed, as well as the quality of the final strategy or scheme. Thus, both a broad vision and attention to detail are required.

The work plan has several functions:

- It provides an overview of what should be done next at any stage in the project;
- It provides the reference baseline against which to compare actual with planned progress. This enables the early identification of delays and barriers; and
- It is an important element for communication, as it provides a common basis for working among the project partners.

Developing a work plan for projects

The initial work plan may be prepared by the project manager (where appointed) or by an external consultant, though it will be implemented or updated by the project manager or an assigned team member. Normally, the work plan should be developed around the six stages of decision-making described in Volume 1, Section 2; it might, however, be necessary to merge some stages or to subdivide others. This basic framework should then be subdivided into smaller tasks. It should include measurable criteria and milestones, as described on the next page. Agree on a regular procedure of updating and reporting. Once the draft work plan has been prepared, it should be cross-checked against the project organisational structure: is each role in the work plan represented in the project team? Are the duties and responsibilities of each team member well defined in the work plan? This is also the time to consider which tasks are largely independent from others, and might be outsourced.

Developing an engagement strategy

The strategy for the engagement process should be developed in close cooperation with the project work plan. This is first of all a question of timing: will the outcomes of engagement activities be available in time to input to the planning process? - and vice versa. As a general principle consider a three phase process:

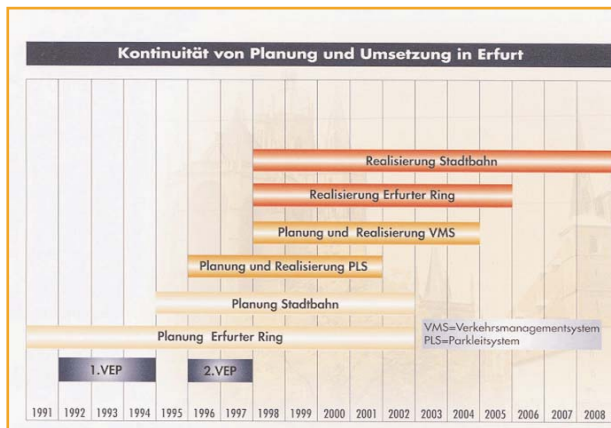
- (1) Information gathering in the early project stages: problem definition and option generation requires the incorporation of different points of view;
- (2) Two-way communication in the middle stages of the project, reflecting the need to negotiate an acceptable solution, and
- (3) Information giving in the final stages, to inform stakeholders of the measure to be implemented.

Developing a work plan for your project

While the work plan should be prepared before the start of the project, it should be updated throughout the stages of the decision-making process. It provides the 'flexible backbone' of the project.

The development and application of the work plan is strongly linked with several associated tasks, such as quality management (quality criteria feed into the work plan), tracking of progress, and with project organisation (the roles and responsibilities defined must correspond to the tasks to be undertaken). A work plan is needed that covers both the decision-making process and the process of stakeholder engagement. The main steps of developing a work plan are:

- (1) Refinement of the initial idea of the project, taking into account detailed problem definition (stage 1);
- (2) Development of a work task structure, providing an overview of the main activities at each stage; and
- (3) Development of a project schedule, providing a detailed description of the timing and content of each task.



Overall work plan for the development of the Local Transport Plans in Erfurt

NOTES



Designing the tool

Carrying out a work plan requires the following stages:

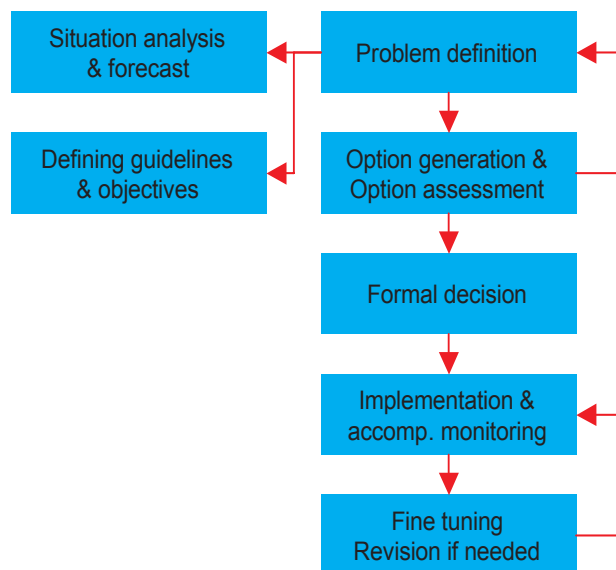
- **Definitions and specifications**

In order to turn the initial idea for the project into something more specific, start with a more detailed problem definition stage. Do not limit yourself to the initial idea, but consider the transport situation comprehensively. Provide a description of the desired future situation (what shall be achieved and when?). These considerations are essential inputs to developing the work plan.

- **Developing a work breakdown structure**

Start with the subdivision of the project into smaller units (work packages). You can follow the framework of six stages of a decision-making process (Section 2), maybe with some specific adaptations, if required. The units are then linked to each other, to form a continuous process. The resulting project can be depicted in different ways. The simplest is a numbered list of actions, but more illustrative is an organigram or a mind map. It encourages a more holistic way of thinking and enables a quick visual check of completeness.

Work breakdown structure



- **Developing a project schedule**

The work packages are further subdivided into smaller manageable units (tasks, subtasks). Tasks are linked to each other, in order to show the mutual dependencies. Pay attention to detail: list all required activities and by whom they will be done and when. The project schedule is a 'living' document. Ensure that it is updated regularly, to enable comparison of actual with planned activities. The schedule will be useful at project meetings to show deviations, to discuss their causes and effects, or to revise the schedule. The useful way to depict the schedule is using a Gantt chart.

- **Quality criteria, deliverables and milestones**

Detailed planning should provide specific details for each task, in terms of: quality criteria for outputs, staff resource requirements, equipment, etc. The definitions have to be agreed with the project manager. Milestones are important events where a review takes place and decisions on further progress are made, and they should be included in the project schedule.

Project schedule

| Workpackage/Task description | Effort (MM) | Month | | | |
|---|----------------|-------|---|---|---|
| | | 1 | 2 | 3 | 4 |
| WP1: Situation analysis & forecast | | | | | |
| T1.1: Definition of objectives of the analysis | 1,5 | | | | |
| T1.2: Delimitation of the area under investigation & time horizon | 1 | | | | |
| T1.3: Definition of analysis criteria & indicators | 2 | | | | |
| T1.4: Development of an analysis design | 2 | | | | |
| T1.5: Data collection | 3,5 | | | | |
| T1.6: Descriptive analysis of current situation | 2 | | | | |

Practical information

Useful hints

- The development of the main inputs to the work plan should be discussed with a number of people, in order to account for different viewpoints and ensure broad acceptance. Where the project team is already known, they should be involved in this process. Later on, the work plan will be refined in conjunction with the team.
- Include regular management meetings in the project schedule; that includes project milestones, as these indicate important intermediate decision points, where a review takes place and decisions on future progress have to be taken.
- Identify the 'critical path' in your schedule and track progress along this path with particular care. The critical path defines the time span of the project, which is determined by those tasks that are interdependent and have to be carried out in sequence or in parallel.
- Provide 'cushions' and contingencies in your schedule, for both time and budget. Based on experience, work plans tend to be too optimistic. Budget at least 20% extra for all tasks.
- Project scheduling is a widely used technique, and several software packages are available to assist in this process. Most, however, are customised to the requirements of the business world and less useful for transport projects. They are very formalised and can take away a lot of flexibility. They might, however, be considered for larger projects where a more structured approach is necessary.

What skills are required?

- The main definitions and specifications contained in the work plan should be decided by the project manager personally (or by an external consultant), since they give direction to the whole project.
- The subsequent detailed scheduling should be carried out by a member of the project team, who has experience from a comparable project.

FS 2 - Developing an organisational structure

The project's organisational structure

Just like a company in the business world, a transport project needs an organisational structure, indicating the management hierarchy and the roles and responsibilities. This, however is a temporary structure, simply created to bring the project to a successful conclusion. A transport project is also linked to some functional organisation, which is a permanent body, such as a city administration or a ministry of transport.

A well-defined organisational structure is essential for efficient and effective project implementation. A weak or inappropriate structure can lead to a high risk of delays and failures, due to understaffing, uncertainty as to whom is responsible for what, or a lack of timely decision-making.

The project organisational structure should be displayed in an organigram.

Chose the right type of organisation

There are three common types of organisational structure: (1) Separate organisation: the project is managed by a fully independent unit, with its own leadership and staff. The staff may be seconded from the functional organisation (e.g. city department). (2) Hybrid organisation: only the project leadership is an independent unit, while the work is carried out by staff from the functional organisation (providing part-time or occasional input to the project). (3) Internal organisation: both the project leadership and staff remain within the functional organisation.

Consider carefully which type best meets the needs of your project. A large project is likely to work best with a separate organisation, while a small local scheme could be managed by an internal organisation. The hybrid organisation is frequently adopted for transport projects, where the leadership is outsourced to a consultant, and the work is carried out, as far as possible, by the staff of the city administration.

Designing the structure

The project organisational structure is very critical, and should be customised to the specific needs of the project. The design is normally determined by the project manager, or specialist consultant, with feed-back from those included in the team. The main criteria are:

- An appropriate type of organisational structure;
- Well defined roles, responsibilities and procedures;
- Short communication and decision trees, from top to bottom, and
- A high degree of flexibility, to handle unexpected problems.

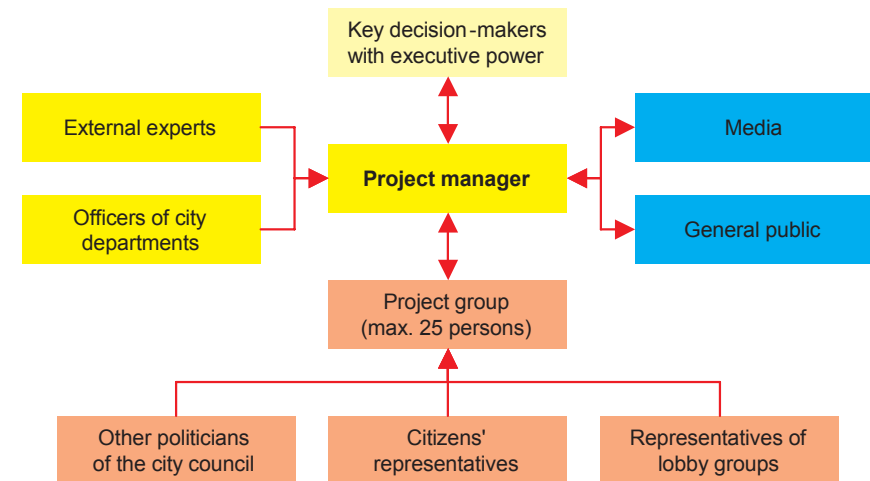
The work begins with the selection of an organisational type, followed by some preparatory steps and the development of an organigram. Two examples of the latter are provided in this fact sheet, one for a medium-sized project and the other for a very large project - though these are unlikely to be directly transferable.

Organigram for a medium size project

This example is derived from a project in Villach, Austria (60,000 inhabitants), which involves the combination of a strategic and infrastructure project. It started as a road construction scheme, but due to public resistance the scope was later broadened to a multi-modal transport strategy for the whole city. The organisational structure operates as follows:

- The project manager is an assigned external expert, who takes the centre stage;
- The heads of the relevant city departments, the external experts, and the key decision-makers are directly linked to the project manager. A great deal of information must be exchanged among them, so that direct and close communication is necessary;
- The project manager, together with the city officers and the external experts, constitute the 'core planning group' with regular meetings every other week. The key decision-makers become involved just occasionally;

- The project manager handles the 'outward communication' to the media and to the general public. Other stakeholders will, of course, publicise their own views, but the project manager should exclusively act in the role of official speaker; and
- The representatives of interest groups participate through a 'project group'. Their task is to give feed back, to express their point of view, and to bring in new ideas. There are regular meetings with the project manager every second month, and additional meetings on occasion, as required.



Organigram for a large project

This example is taken from the Ile-de-France region around Paris (approx. 11 million inhabitants). It was developed for a complex, yet well structured, project involving the development of an urban mobility plan for the whole region. This is made up of numerous smaller measures, such as bus line improvements, station improvements and local traffic schemes.

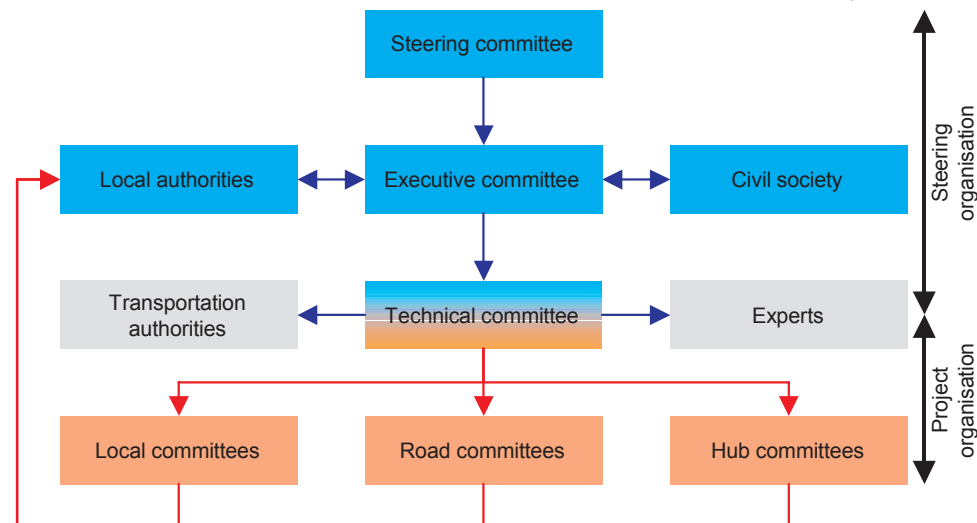
The blue boxes and lines show the units and links that were particularly relevant for the development of the strategic urban mobility plan, while the red boxes and lines show those primarily involved in the detailed planning and implementation of particular schemes. The grey boxes represent those units that were only involved during the engagement phase for the mobility plan. Implementation through the local, road and hub committees is participative rather than hierarchical.

- The Steering committee includes regional politicians and representatives of interest groups (e.g. public transport operators, transport users, businesses). It determines the general direction and objectives.
- The Executive committee translates the goals of the Steering committee into more concrete strategies, taking into account legal and financial needs and provisions. It works in

collaboration with the Local authority representatives of the eight departments of the region and the Civil society (i.e. regional representatives of professionals and associations).

- The Technical committee (with representatives from the national government) develops a high-level technical action plan, with advice from the transportation authorities and/or the experts (for issues such as parking, freight or soft modes) who act as consultants.
- The three types of committee at the bottom level are responsible for detailed daily planning and implementation of single measures - comparable to 'usual' transport schemes. The Road committees deal with bus lines, the Hub committees with public transport stations, and the Local committees with locally based projects such as neighbourhood schemes. All three committees work under the general guidance of the Technical committee; they give regular feedback to the Local authorities, to ensure that the proposed measures meet the objectives and strategies they have been derived from (geographical and political context).

This structure is customised to the situation in Ile-de-France, and could not be introduced elsewhere without significant modification. However, it gives an idea of how to embed single schemes into an overarching transport policy and strategy.



Practical information

Useful hints

- A critical factor is the size of the core planning group. The smaller it is, the more effectively it will work. Nevertheless, all necessary knowledge and skills should be represented, including: senior figures from relevant city departments, transport experts, and practitioners skilled in engagement. Based on previous experience, the planning group should not exceed 10 persons.
- For large projects this may be too small, so consider subdividing the project into smaller sub-projects.
- Try to involve motivated people who have already co-operated well on other occasions. Close co-operation is vital for a successful project

Preparatory steps

- Define each actor's role: project manager, project champion (if available), process evaluator, information providers, members of a working group, representatives of interest groups, etc.
- List all formal decisions required, including the specification of the kinds of information needed for these decisions (see management of information).
- Agree on a hierarchical order of responsibilities and decision-making power: Who is responsible to provide what and when? Who will make the final decision if there is no agreement in the team?
- Define organisational units: the core planning group, an accompanying project group, working groups, topic committees, round tables etc.
- Specify members and frequency of regular meetings for each unit. This task will shape the quality and intensity of communication in the project.

What skills are required?

- The project organisational structure has to be designed by the project manager, who needs relevant experience.
- The project manager should be seen as unbiased and have credibility among the different factions.

FS 3: Management of information

Managing information

Information is the key factor in delivering a successful transport project. If the correct information is not available at the right time and of suitable quality, then poor decisions are likely to result.

The management of information is about identifying, obtaining, processing, storing and exchanging all types of information needed during the project. This includes technical data, legal regulations and stakeholder views. The exchange of information will make use of different channels (discussion, e-mail, minutes, letters, etc.) and serve various purposes (e.g. to help make a decision, or to inform stakeholders).

In order to maintain an overview and maximise efficiency, a central interface is needed where all information sources come together, both for project management and stakeholder engagement.

Managing information for projects

The main elements of information management are the same in each project:

- (1) Identify information needs: which information for whom, when, for which purpose, at what level of quality?
- (2) Check availability of different types of information;
- (3) Develop a strategy for the collection, processing, storage, and exchange of information (see FS 35: Data collection and data storage); and
- (4) Prepare a detailed plan of tools, procedures, timing, and responsibilities. Include a procedure to ensure that everybody receives and understands the relevant information.

Managing information for engagement

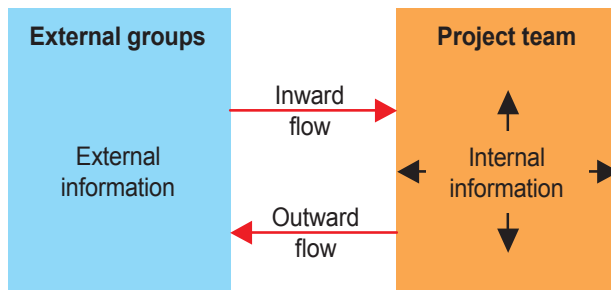
This lies at the interface between information management and engagement planning. In determining the information needs for engagement, the following questions should be addressed:

- Who are the relevant stakeholders? - both those who are involved in the decision-making process and those who are affected by the construction or implementation of the project.
- What information needs to be obtained from the various stakeholder groups, in which form, at what stage in the process, and how will it inform/modify the planning process?
- What information should be provided to different stakeholder groups, when and in which ways (e.g. announcements, events, etc.)?

In the ongoing project management process, the role of information management should be to provide a continual and consistent link between planning and engagement activities.

Managing information throughout the project

An information management strategy must be developed before the project starts, as information will be required at the outset. Take into account all the information required to manage the progress of the project, to prepare for formal decision taking, as well as the cross links between the planning and engagement activities: which information is to be passed onto external stakeholders and what information is required from them? This results in an inward and outward flow, as shown in the figure.



Managing information for project control

In the planning process, three different kinds of information are needed:

(1) Planning information required to plan the process and its outcome (ie the transport measure). It includes contextual constraints such as legal regulations and resources, further a problem description in technical terms, the characteristics of the options generated, impact scenarios, stakeholder attitudes, planning guidelines, etc. Some information can easily be collected (e.g. legal regulations), others will require considerable effort to gain it, e.g. an inspection on site, a travel behaviour model, or a social survey. (2) Control information that enables informed managerial decisions in line with the objectives of the project. The project manager must be informed of whether tasks actually meet plans and if resources are used efficiently. It requires a sound tracking of the progress (see FS34: Tracking progress). (3) Operational information needed for everyday work, e.g. financial accounting, control and scheduling. It relates to specific tasks and is usually exchanged internally, often in a verbal form.

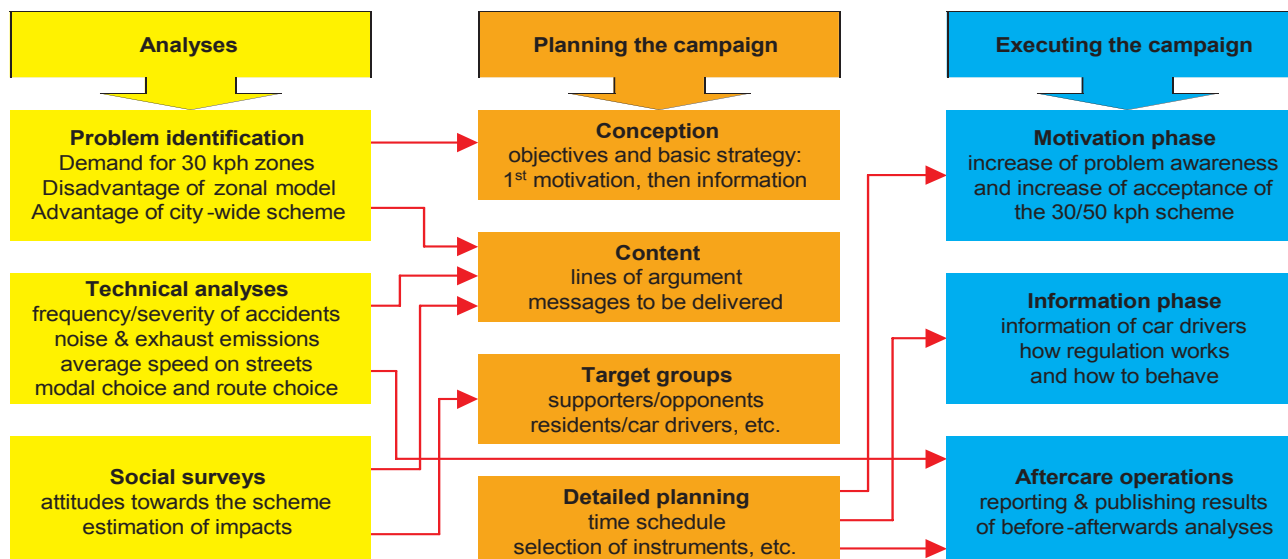
NOTES



Designing the management of information
Information management requires a customised strategy that has been developed by an experienced professional. The main tasks are similar for some projects:

- (1) Identification of information needs. Start with the output requirements: what regulations or legal requirements will apply to this transport project? If the project involves constructing infrastructure (a road, car park, tramline, etc.), are there any construction guidelines, issues relating to property rights, duties and time limits for providing information, holding hearings, responding to complaints, etc.? Review these various information needs systematically, and prepare a plan that identifies the kind of information separately. For example, information needed to meet legal requirements (planning information), and that required to measure the project's success (control information).
- (2) Prioritise these various information needs, by distinguishing 'need to know' from 'nice to know'. More information does not necessarily lead to more successful project management. Sometimes information overload may provide a barrier to the decision-making process.
- (3) Gathering and processing of information. This includes the collection, collation and analysis of information, as well reporting in suitable formats. Consider using a mix of mediums and channels to circulate information: verbal communication, e-mail, letters, minutes, reports, folders, visual presentation, etc. Simplification is a great asset in information management.
- (4) Use of information: if the right questions have been asked at the start of the process, and the information management system has been well planned, then users will be provided with relevant information at the appropriate time.

The following example is from a project in Graz, Austria, where a city-wide 30/50 kph scheme was introduced in 1992. It shows one part of the information management process, dealing with information flows associated with a campaign to support the scheme. This was a very important part of the project, since the innovative and restrictive nature of the scheme led to legal and technical uncertainties, which were exploited by those strongly opposed. The well-designed campaign contributed significantly to the success of the project, and now the scheme has gained general acceptance.



Practical information

Useful hints

- Establish a focal point for managing all key information flows. This may be an entire office (in the case of large projects), an information officer, or at the least, a nominated team member.
- Include objective data as far as possible in the decision-making process, as this is likely to maximise consensus. Information that is not trusted, or is seen to lack objectivity stimulates an emotional debate, aiding those who play on the fear of change (e.g. 'do nothing to be on the safe side').
- Adopt a proactive approach, by identifying the concerns of different stakeholder groups early on, so that information is available to address these concerns at the appropriate time.
- Opinions and attitudes are often changing, so ensure that information is regularly updated.
- Pay attention to the media. They can be effective in disseminating information, and may give unbalanced or inaccurate information if not fully briefed. (see T5: Media strategy).

Changing information needs over time

- (1) Early stages: here the focus is on information gathering both in terms of project planning (e.g. legal and financial needs, property rights, etc.) and stakeholder engagement (understanding concerns, attitudes, etc.).
- (2) Middle stages: know the focus will change to a two-way communication: proposals, counter proposals, engagement, bargaining, negotiations, revisions, etc.
- (3) Late stages: After a decision has been taken it is important to inform people of the measure to be implemented, and to justify the decision to those who still disagree.

What skills are required?

- Information management requires a range of technical skills including assessing information needs, data collection and data analysis, as well as the ability to devise and implement a strategy.
- Information management is also a creative job, involving communication and links between people.

Managing project quality

In each transport project, the quality of the decision-making process plays an important role - though sometimes it is handled implicitly, or not at all. In order to avoid barriers and to achieve high quality results, it is far better to recognise and address the issue from the start, by developing a well-planned quality management system (QM or QMS). This forms part of a holistic approach that relates to several other tools, such as risk management and process monitoring. Quality can be defined as 'conformity to requirements'. This incorporates the two main features of QM:

- (1) Predefined requirements, in terms of performance criteria for the decision-making process and its outcome; and
- (2) A procedure to check conformity, i.e. whether the process performs as planned and delivers what was expected.

The focus of QM is on process rather than outcome, since by that stage it is too late to intervene.

Managing quality in the decision-making process

The quality control of the whole decision-making process should be assigned to an external consultant. While this person would be appointed by the project management team, he/she should be seen as independent and given a status that ensures their impartiality.

The QM process starts with agreement on the definition of measurable indicators of what is to be achieved, when and how. This can involve a lengthy debate, both within the project team and with key stakeholders. However, this is crucial to later success, and provides an opportunity to reach a common understanding of what the project is about, and what the intended outputs and desired outcomes are.

Potential areas for quality evaluation include:

- The effectiveness of the organisational structure of the project, including the clear delineation of membership, roles, and responsibilities;
- The management of the various project stages and the linkages between them;
- The adherence to the detailed cost and time schedule agreed for all tasks; and
- The suitability and quality of the information to be provided to the project team and various stakeholder groups.

The evaluator needs to be provided with all relevant information on the project, and he/she in turn provides regular reports to the project management team. The reports should be presented in person by the evaluator of a project management meeting, to allow clarification and quick agreement on how to address any areas of concern that have been identified.

Managing quality throughout the project

To ensure both high quality project planning and engagement processes, the following steps are recommended:

- (1) Appoint a quality manager;
- (2) Define performance criteria and measurable indicators, both for the process, and the intended outputs and outcomes;
- (3) Develop a formal QM strategy, followed by a work plan showing how to implement the strategy;
- (4) Define the quality assurance tools to be used and ensure that they are properly applied; and
- (5) Motivate the whole project team so that they consider quality as an integral part of each activity.

QM is well developed, particularly in the business world. Available are software products and standardised procedures (e.g. ISO 9000 or the 'EFQM-Excellence' Model), which may be considered for large projects. But the principle of defining performance criteria and checking progress against these criteria, on a regular basis, should be part of every project.

Managing quality for engagement

The principles of QM apply in a similar way to stakeholder engagement as described before for the management of the decision-making process. There is a need for an external evaluator, the definition of criteria and indicators has to be agreed, and there is a need for continual observation, to see whether the desired quality is being achieved.

The focus here is, however, on the quality of stakeholder involvement. A number of basic questions need to be decided:

- Who should be involved?
- In which stages of the decision-making process?
- What intensity of involvement is desirable?
- Which engagement tools should be used?
- What types of outcomes are expected?

These questions are translated into suitable criteria and indicators.

The ongoing engagement process is then judged against delivery of these requirements:

- Are all stakeholders involved as planned? Do the people who actually take part correspond to the stakeholders whose involvement was sought?
- Is the involvement of stakeholders as intensive as planned? This might be measured, example, by the numbers and types of people attending public meetings or exhibitions.
- Are the engagement tools working effectively? This might be measured through an opinion poll that probes about levels of awareness of the project, as well as attitudes towards it.

Designing a QM process

A QM process can be broadly divided in three stages, as shown in the figure below:

• Preparatory work

The main preparatory steps have been described on the previous page. As stressed there, a critical task is the definition of measurable indicators. Try to keep the list manageable, avoid redundancy and provide indicators for process, output and outcome. Possible examples include:

- time and cost budgets (process);
- knowledge/skill requirements of the team (process);
- performance of the new light rail system (outputs); and
- patronage of a new bus service (outcome).

• Ongoing QM process

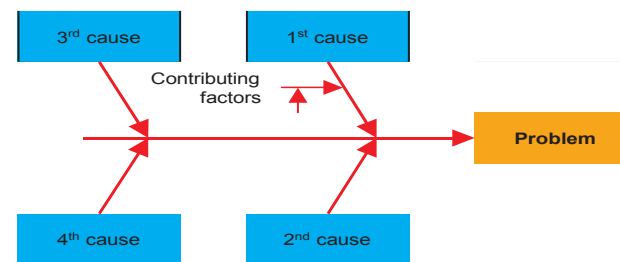
At the heart of QM lies the tracking of progress and comparing actual with planned activities and resource use. The quality manager should also consider pre-emptive actions, where appropriate to avoid anticipated future problems. Nevertheless, despite careful quality management, serious problems can arise that require corrective actions. Good quality management will help to quickly identify where things have gone wrong and why, enabling appropriate action to be quickly taken (e.g. by speeding up activities to meet a new deadline, or by reallocating resources).

One of the most challenging tasks of quality management is to identify the causes behind a problem (usually more than one) and to find a solution without developing a 'blame culture'. This is a sensitive and often very creative job, comprising the following steps:

- Identify and prioritise problems: select the 'vital few' from the 'trivial many';

- Explore and identify causes; and
- Search for possible solutions, select the most promising ones, and build consensus.

To assist in carrying out these steps, many creative techniques can be used: structured discussions, brainstorming sessions, focus groups, etc. Visualisation is also important, as many people are visual learners. For example, the 'Fishbone Diagram' explores and displays the causes of a problem. The problem is written in the fish head, stated as a question. Major causes are the primary ribs. Contributing factors are listed as small bones of 2nd, 3rd ... order.

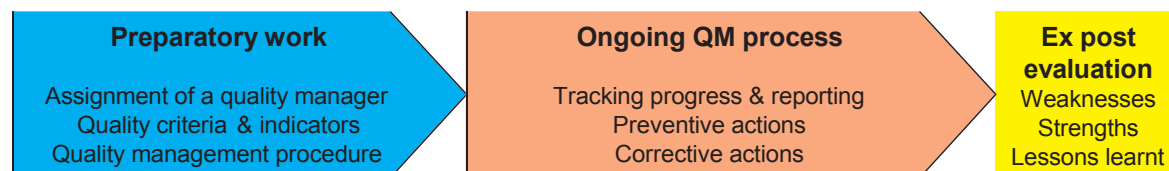


Quality management often requires the building of consensus. Again, there are several techniques that can help:

- Downplay the link between an idea and its 'owner';
- Discourage an 'us-and-them' mentality, where one faction tries to counterbalance another; and
- Encourage people to express their feelings.

• Ex post evaluation

Undertake a thorough reflection of the whole process after its conclusion, through an informal discussion of the project team: what went right? what went wrong? what can be learnt for the future?



Practical information

Useful hints

- The key function of QM is prevention of problems rather than reacting to them after they arise. Farsighted planning and a sound knowledge base are both very important. All project team members (not just the quality manager) should use the data to stimulate thought, discussion and actions.
- Quality is dependent on the work of the whole team. QM is about how to make others aware of their role and how they can contribute to improve the process.
- Use process-oriented rather than personal-oriented criteria. Quality control is intended to be a helpful tool, not a means of blaming others.
- The process of defining indicators should include clearly established techniques of measurement, analysis and (where necessary) training.
- When seeking a solution, look broadly. Consider all areas of the decision-making process, such as finance, administration, reorganising the project team, etc.

Timeline strategies

- (1) The preparation for the QM process should start at the scoping stage of the project.
- (2) QM lasts for the whole project life time. Tracking progress and preventive activities should be carried out on a regular basis, whereas corrective activities will be required on an ad hoc basis.
- (3) The ex post evaluation takes place after the planning process is concluded.

What skills are required?

- The QM evaluator needs to have a broad understanding of project management, and the skills and insights to recognise problems and suggest helpful solutions.
- The quality manager should be someone who does not work directly on the project, in order to ensure impartiality and to avoid conflicts of interest.
- QM is an integral part of everyone's job, so the whole project team needs to be aware of the importance of quality in its various forms and their role in contributing to it.

What is the role of the project manager?

The project manager has overall responsibility for the coordination of a project, ensuring that tasks are completed on time and within resource constraints. Project management duties include managing the key resources of time, skills and cost and ensuring that the project progresses through the necessary stages in the decision-making process while avoiding or overcoming any barriers.

Depending on the scale of the project, individual tasks may be separately managed, but there will be a project manager or project management team that oversees the tasks to ensure that they combine effectively to meet the objectives of the entire project. On smaller projects, the role of the project manager may be combined with other duties, or one individual may manage several projects.

What skills are required?

A project manager requires a diverse range of skills to meet the many responsibilities associated with the job. Clearly, strong general management is important, including the ability to:

- Lead a team;
- Communicate clearly;
- Plan, and to adapt plans where necessary;
- Work within resource constraints;
- Prioritise tasks or issues;
- Negotiate effectively;
- Take decisions or make recommendations;
- Delegate tasks and responsibilities; and
- Understand legal and financial issues.

Depending on the involvement of the project manager in individual tasks within the project, other technical or

professional skills may be required. For example, involvement in the planning and implementation of media, marketing and engagement strategies will require specialist experience in these areas, as will involvement in technical design or engineering areas or in the production of technical reports or other written documents.

For many projects, the manager will divide their time between a range of duties including, but not restricted to, the management of the project. The duties undertaken will depend on their skills and experience.

The role of the project manager throughout the decision-making process

Project management takes place throughout the project, either by a nominated individual, or collectively by a group or committee. In the early stages, a project initiator may take on some of the responsibilities of the project manager, particularly in the tasks required to identify the scope and scale of the project and to secure some financial support. Once the financial resources to employ a project manager (either full time or part time) have been obtained, the appointment should be made quickly. Continuity of the management of the project is highly valuable and the project manager should play a key role in coordinating the overall work plan and individual strategies for engagement, such as media and marketing. Often the amount of management time required is underestimated.



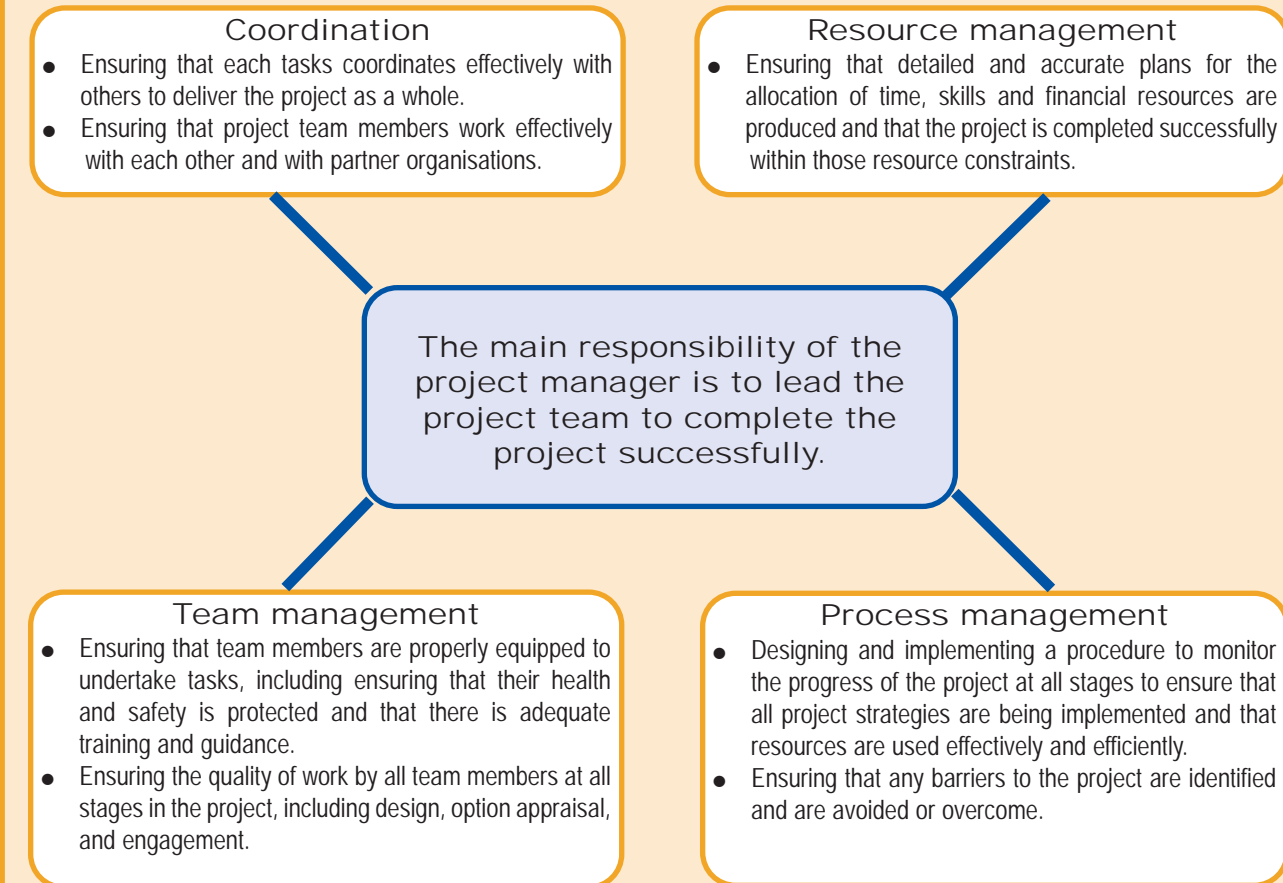
A project manager explaining key tasks to a project team member.

NOTES



Responsibilities of the project manager

There are many project management responsibilities within a project. These may be undertaken by a single individual or divided between a project management team. The diagram below illustrates some of these main tasks. Typically there will be an individual project manager who undertakes or oversees most of these duties.



Practical information

Who participates and how?

The project manager may be someone employed to manage the project full time or may combine the role with other duties on the project or on other projects. Other individuals may take on some of the duties of the project manager.

How much does it cost?

Costs for project management typically involve the salary payments for one individual. If the project is small, combining the project management with other tasks or projects can be cost effective, provided that the time requirements for the tasks undertaken can be balanced appropriately. Additional costs will be incurred if it is necessary to employ consultants to undertake or oversee some project management duties. Alternatively, team members can be trained for project management.

What are the drawbacks?

Lack of clear project management can be extremely damaging to the project, particularly where there is an inability to complete tasks within the available resources or to identify and overcome barriers. Failure to plan and coordinate tasks effectively and to monitor progress carefully can result in unnecessary and costly delays. Poor management of staff can lead to low morale, low productivity and low standards of work.

FS 6: Project team

Who is the project team?

As a part of planning the project, there is a need to identify all of the people who will be assigned to working on it. In some instances, the people may have already been assisting with the project at other stages, but at this point, roles need to be clarified.

The role of some project team members is defined by their specialised expertise and/or availability. These individuals may be considered as 'consultants' to the project team. Their role will be unique to each project team. For a transport project the project team may consist of but not limited to:

- Specialist transport engineers, planners, technicians;
- Landuse and strategic planners;
- Legal specialists;
- Financial planners, budget controllers;
- Community and stakeholder planner/facilitators;
- Environmental specialists; and
- Political representation and senior management.

Forming a project team

A project team is a group of individuals who come together to perform a specific task that requires collaboration. Their role can include design, development, administrative, scientific or a combination of these. The decision to form a project team should be made in collaboration with the project manager, senior management and decision-makers for the project.

The length of a project team's activity will vary depending on the time, effort, and resources required to meet its stated goals and objectives. However, there are some tasks requiring a cooperative staff effort that can be completed within a short period of time and/or with a limited number of resources. Given the details of the project team process, these tasks may not be appropriate for development into project teams.

What is the project team responsible for?

The project team is collectively responsible for:

- Assisting the project manager to deliver the projects objectives;
- Within their technical expertise carrying out the elements of the project they are tasked with;
- Providing administrative support to the project manager;
- Advising the project manager if any risks arise that are likely to affect the delivery of the projects objectives and to be part of the risk reduction process; and
- Providing information for project documentation as required.

The role of the project team throughout the decision-making process

Once the overall work plan has been developed each individual or groups of working teams will be aware of their roles and responsibilities throughout the decision-making process.

The project team will systematically work together to achieve the strategies and tasks outlined in the overall work plan for the project.



A project team meeting in Brno, Czech Republic.

NOTES



Skills required to implement transport projects

The skills identified below illustrates the range of skills required to successfully implement transport projects. Effective project delivery is delivered a foundation of solid personal skills and increasingly specific sets of management skills.

Community skills

- Community research and stakeholder identification.
- Stakeholder and community mapping.
- Community cultural awareness.
- Cross-cultural awareness.
- Ability to build the engagement capability of the community and stakeholder leadership.

Engagement skills

- Ability to plan for stakeholder engagement.
- Ability to develop and implement stakeholder engagement activities.
- Ability to select the right engagement activities.
- Ability to build and maintain stakeholder relationships.
- Group facilitation skills.
- Ability to speak to large and small groups with influence.
- Ability to reflect upon process and outcomes.

Project management and analysis skills

- Strong ability to plan, manage and evaluate projects.
- Ability to establish project objectives, milestones and deliverables.
- Ability to manage change and be flexible.
- Ability to identify and manage risks.
- Ability to deliver agreed results.

Institutional management skills

- Understanding of the policy and strategy context.
- Understanding of the political system and context.
- Independence and ability to maintain confidentiality.
- Ability to build the stakeholder engagement capabilities of the team.

Personal development skills

- Working collaboratively to achieve agreed objectives.
- Listening skills.
- Ability to ask key questions.
- Ability to manage conflicts.
- Ability to make decisions.
- Ability to motivate others to engage.
- Ability to build trust.

Practical information

Who participates and how?

To undertake a transport project a multi-skilled project team is needed. The project team maybe comprised of existing people in an organisation or these people may sources as new recruits or external consultants. In some cases a politician and key decision-makers could be a member of the project team.

How much does it cost?

Costs for the project team typically involve the salary payments for each individual. Costs also will also include any necessary equipment that is needed for the team member to fulfil the tasks required. Additional costs will be incurred if it is necessary to employ external consultants to undertake or oversee some project team duties. Alternatively, team members can be trained for the specific tasks required.

What are the drawbacks?

Lack of clear project management can be extremely difficult for the efficient operations of the project team. Particularly where there is an inability to complete tasks within the available resources or to identify and overcome barriers. Failure to plan and coordinate tasks effectively and to monitor progress carefully can result in unnecessary and costly delays. Poor management of staff can lead to low morale, low productivity and low standards of work.

FS 7: External consultant

What is the role of the external consultant?

To meet some of the challenges associated with transport projects, many organisations and project teams are making use of external consultants with specialised knowledge.

External consultants can help to provide:

- An independent and unbiased opinion;
- Supplementing current skills or capacity in the organisation;
- Dealing with politically sensitive organisational issues;
- Responding to new legislation/regulations;
- Cost-effectiveness; and
- Problem analysis/due diligence.

Preparing to bring an external consultant into the project

When the work plan is prepared for the project, consideration will be given to the resources required to undertake the key tasks and to achieve the necessary milestones. In doing so, the project manager or management team will identify the skills required and the subsequent internal staff available to fulfil these tasks. Where there is a shortfall consideration may be given to engaging in outside or external assistance.

Where this is the case it is important to recognise what activities it is appropriate for external consultants to assist with. In some cases, for example management and negotiation of decisions, it may not be appropriate for an external consultant to be responsible for these activities.

Using an external consultant to undertake engagement activities

If external consultants are contracted to undertake particular engagement activities, it is critical that strategies are developed to ensure that the experience they gain from the engagement process is shared with the contracting organisation, along with any specific outcomes. Adequate time needs to be allowed for the consultant to fully understand the agency's requirements and to gain the trust of the community.

It is important that, when utilising the services of an external consultant, the project management team has begun the initial planning stages of an engagement approach. This is to avoid a pre-determined approach being offered by a consultant, particularly if they are experienced only a limited number of techniques.

The role of the external consultant throughout the decision-making process

When a decision is made to use an external consultant consideration needs to be given to the length and involvement, and in which stages of the decision-making process.

If the consultant is undertaking a task specific activity will this have ramifications on other tasks and how will this be managed?

It is important to plan early in the decision-making process when external consultants will be needed so that this can be outlined in the overall work plan for the project. Consideration should be given at this time to the resources, such as time and money, that will be needed for the involvement of an external consultant.



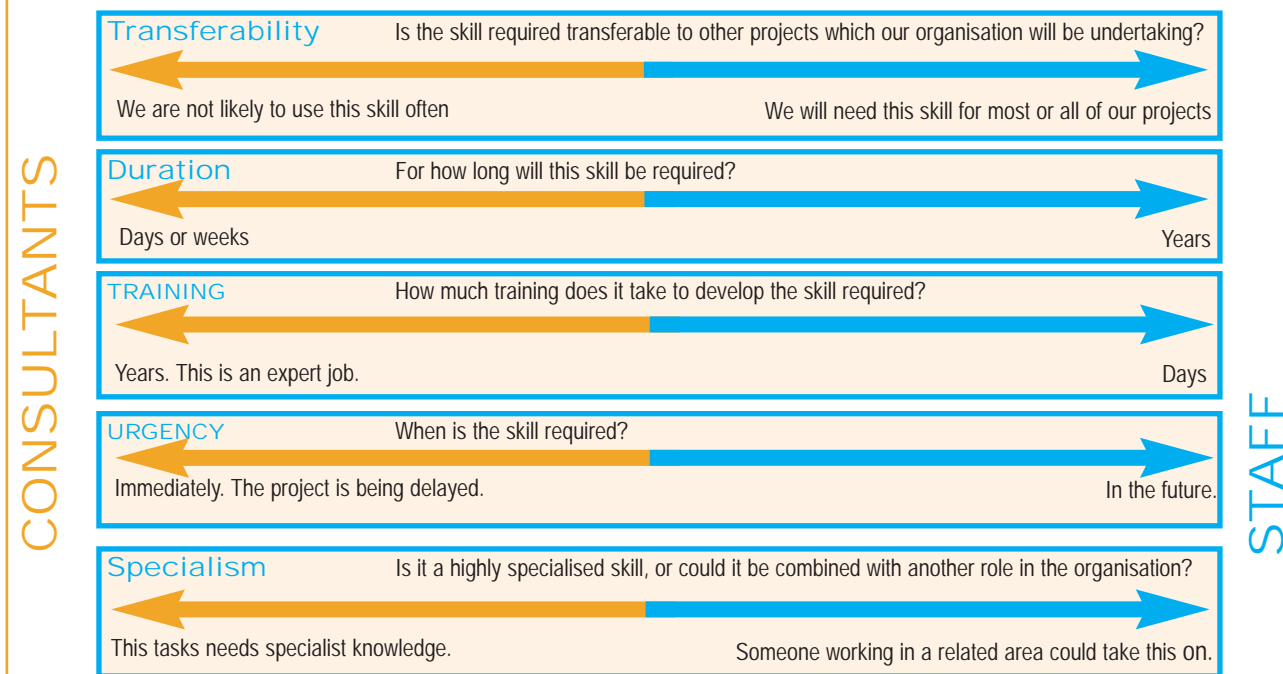
Planners and politicians discussing the plans of an external consultant for the closure of an inner city ring road in Cologne.

NOTES



When to call in external consultants?

Some tasks you will be able to undertake using the skills within your organisation. On other occasions, your organisation will not have the skills required and you may need to decide whether to recruit or train staff or whether to use consultants or contractors to complete the task. Which to choose will depend on a number of factors, as shown in the diagram below:



Decision-making checklist for choosing a consultant

- ☒ Has a budget been allocated in the work plan for the use of an external consultant?
- ☒ What will be the costs of using an external consultant?
- ☒ Will the external consultant be used for a defined task?
- ☒ What skills does the external consultant need to undertake the task.
- ☒ Has a specific timeframe been identified for the tasks to be undertaken by the external consultant?
- ☒ Who will manage the external consultant?

Before the contract starts

- Identify all necessary tasks and milestone points, when these are required and the procedures should a task be undertaken late;
- How can a contract be terminated?
- What are the expected quality of the outputs from the contractor? How will these be managed?
- Disbursements and expenses: what has been agreed in the contract of work?
- What insurances and liability are needed?; and
- Confidentiality issues for the project.

Practical information

What should I do if the consultant seems to be on the wrong track?

Check to see if your specification is clear and that the contractor understands it. You can negotiate with or counsel the contractor to ensure that they have a full understanding of the requirements. Another option is that you can terminate the agreement in circumstances, for example, where the contractor is repeatedly unwilling or unable to deliver, according to the specification.

What should I do if the consultant keeps asking for time extensions?

Check the contract to determine if the milestones are fair and reasonable and that the contractor is on track with the project. Ask the contractor to document the reasons for the time extensions. Consider any cost implications and any associated problems that may be caused by the project's outcomes being delayed. If the extensions are warranted, document the new time lines and milestones and amend the contract.

What should I do if I think the consultant is not performing?

Talk to the contractor and find out why. If the response is not satisfactory advise the contractor in writing and give them a specific period (for example, two weeks) to justify why the contract should not be terminated.

FS 8: Project champion

What is the role of the project champion?

A project champion is an individual with a public profile who has taken a special interest in a project and who uses his/her influence to advance the planning and implementation of the project. In essence, a project champion should generate momentum for a project and help to win the 'hearts and minds' of project partners, project financiers and stakeholders.

Project champions can be local authority elected members or non-political figures, such as a media personality, a senior administration officer, or a member of professional and non-professional interest groups.

The support of a project champion can smooth the path of a project significantly, while the lack of a project champion can be a disadvantage if any major barriers are encountered.

How can project champions assist?

Project champions can promote the whole project, or perform a distinctive role, such as:

- Administrative project champion: gain political and financial support, create decision-making structures suitable for the project and give the project a priority status;
- External project champion: promoting the project to key stakeholders and the general public; or
- A champion for a specific element of a project, such as the implementation of new technology (e.g. a real-time public transport information system).

What are their interests and priorities?

Project champions are often the initiators of a transport project, who not only want to see it successfully implemented but are also interested in making a personal contribution to its planning and implementation.

Project champions need to be kept informed about any changes or new developments in a project before they become common knowledge. This will avoid any differences in the information provided to the media and stakeholders by the project champion and the project team, and is especially important if the project champion is playing a major role in the engagement process.

For large projects it is advisable to have more than one project champion, if possible with different backgrounds, to handle different activities and so that they can support one another.

Sometimes it becomes necessary to recruit a project champion, if none is available or if a project champion becomes necessary for a specific reason - perhaps relating to a barrier encountered during the project decision-making process.

When is a project champion most useful?

Project champions can play a major role at any stage during the life-time of a transport project, helping to drive it forward, maintain momentum and smooth the decision-making process. One of the most important benefits of project champions is to help with the overcoming or avoidance of barriers, particularly those relating to management or communication. If a major project becomes badly stalled, project champions may also be able to assist in lobbying to remove contextual barriers (e.g. by increasing financial budgets, or modifying legislation).

Project champions are particularly important if a project involves a radical policy shift, or if there is a history of controversy about a particular scheme or idea. In this case the project champion is there to help carry political and public support for the project. This requires an individual with a range of skills, but especially excellent communication skills which are vital for this role.



A project champion speaking at a local event in Saarbrücken, Germany.

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Recruitment of project champions

Since project champions should help drive the project forward, it is essential that they have a positive attitude and a clear vision for the project. You should first engage a project champion during the project's scoping phase. This enables them to understand and contribute to the project from the very beginning, and gives them an opportunity to rally support from decision-makers early on.

Administrative project champion:

Politicians and leading figures in a city administration are often the initiators of a project, especially in the case of large infrastructure projects. Because of this they are involved from the beginning and have a strong personal interest in the project that can be harnessed by the team.

Professional project champion:

Key figures from professional interest groups (e.g. retail associations, investors), external consultants and experts can significantly influence stakeholder opinion regarding a transport project. They should have similar qualifications as administrative project champions, such as technical competence, the ability to assert themselves and credibility in the eyes of the public and other stakeholders.

External project champion:

Famous individuals and/or representatives of well-known non-professional lobby groups are also good choices for the role of a project champion. As they are seen as being independent, their actions and opinions often have a bigger impact on the public, media and politicians than the combined efforts of the partners directly involved in the project.

Project champions for neighbourhood schemes:

It is not sensible to try to recruit someone of national standing to promote a neighbourhood scheme - unless they are resident in the local area. A local politician is much more credible and it is more probable that he/she is passionate enough to initiate the process and follow it right through to completion. To build consensus among stakeholders, the project champion has to work closely with neighbourhood residents and business owners, so the project is perceived as providing a neighbourhood enhancement rather than an intrusion.

Project champions for transport plans, major infrastructure projects and demand management schemes:

Most requirements mentioned above are also relevant for large scale projects. However, more emphasis has to be placed on the recruitment of project champions in a position of significant power. While achieving the support of various stakeholders plays a major role, other requirements may be added, such as to help create decision-making structures suitable for the successful delivery of the project; gaining political and institutional support; and gaining financial support. Here a primary role of the project champion is as a lobbyist, to advocate and promote the benefits of the project, in order to ensure that senior decision-makers view the project as necessary and important.

Checklist:

- ☑ Ensure your intended project champion is a non-controversial figure, with the support of his/her organisation and from a majority of the public.
- ☑ To avoid the politicisation of your project, select non-controversial project champions with common interests.
- ☑ Always inform your project champions sufficiently in advance of new developments in the project.
- ☑ Try to attract project champions that will adopt the vision of the project and will push the project forward without constant pressure from the project management team.
- ☑ Invite your project champions to all major engagement events to publicly demonstrate their support.

Practical information

Who participates and how?

Normally the project manager is the main contact point for communication between project champions and the project team, in recognition of the importance of the champion. During the recruitment process, the personal contacts of the project partners can play an important role in identifying suitable candidates as potential project champions.

How much does it cost?

Project champions do not usually create additional costs. The only cost factor is the time necessary for keeping the project champion fully briefed on the progress of the project, and perhaps the payment of some expenses. Usually their contribution to a project is voluntary, so it is necessary that their identification with the project and its goals is strong.

What skills are required?

Project champions should be in a position of influence and not highly controversial within their own organisation. Project champions contributing to the engagement process should have a high credibility in the eyes of the public, be technically proficient and, above all, be good communicators.

What are the drawbacks?

Political project champions can be at risk from increased opposition to a project (from political opponents) as a result of party politics. This risk is even higher if the chosen champion is a controversial person. If the project champion is not kept fully informed of the developments in a project, there is a risk that this high profile figure might inadvertently lead public opinion in a direction that is at odds with the new direction of the project.

FS 9: Managing resources: time

Managing timing

All projects will have time constraints at some point in the project life. Time management is about undertaking tasks in an efficient manner. It is also very important to ensure that tasks begin on time as much as end on time. Many delays are caused by not considering that a task should have commenced earlier. This can even apply to meetings that fail to begin on time. Time management of projects will involve consultation with project staff to ensure that timescales are realistic. It is important to remember that it is not possible to guarantee that every task will be completed on time. Even with the best management, some tasks will take longer than expected, or will be delayed by a factor beyond your control. Good time management requires the ability to review progress and to make adjustments to the timetable to ensure that delay to an individual task has only minimal impact on the project as a whole.

Time management for projects

For some projects, there is more scope for flexibility in the timing of a project, with the emphasis placed on identifying a very long term solution to a problem. In other cases you will be working towards an immovable deadline, such as a major event to be hosted by your city. In this case, meeting the deadline will be the highest priority and other aspects of the project might need to be compromised.

Delays to a project will almost certainly involve costs whether these be internal, external or both. It is important to ensure that everyone working on the project is aware of the major deadlines for their task and for the project as a whole and the consequences of any delay. Often a minor delay to a small task can have expensive consequences and it is essential that this is understood and that the tasks are carefully monitored.

Time management for engagement

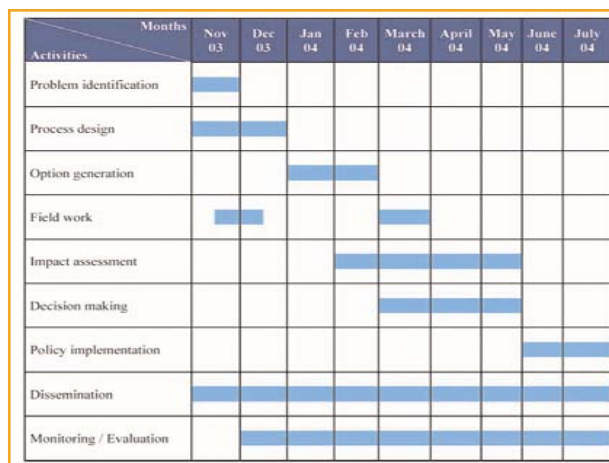
For a successful engagement strategy, it is crucial to define the parameters before commencing the process. It may be advisable for key stakeholders to be involved in developing the parameters of the engagement strategy. Different techniques of engagement will require different timelines. Selection of techniques is best commenced early in the project, to allow decision-makers time to advise on the most appropriate approach.

Engagement activities should take place throughout the life of the project but make sure that the results of each stage of engagement are available to influence the relevant decision-making stage. Successful engagement activities are implemented according to a well-defined schedule. Sufficient time needs to be allocated to every stage of the engagement process to allow proper monitoring and due consideration of progress. Poorly planned engagement activities can add to the level of cynicism towards transport initiatives.

Managing timing throughout your project

From the beginning of your project, you should develop a plan for the timing of the project. This plan should identify the key tasks or events which must be completed at each stage in the decision-making process. Some stages of a project will have more precise timescales than others. For example, it should be possible to determine how much time will be required for option assessment (including associated engagement activities), but there may be more uncertainty in the time taken for implementation, as construction time, etc. might vary significantly between the options under consideration.

Once an option has been selected, you will need to finalise a plan for implementation. This needs careful planning and attention to detail to ensure that all tasks and sub-tasks are realistically represented. It will also require monitoring throughout the implementation stage to allow any delays to be quickly identified and addressed.

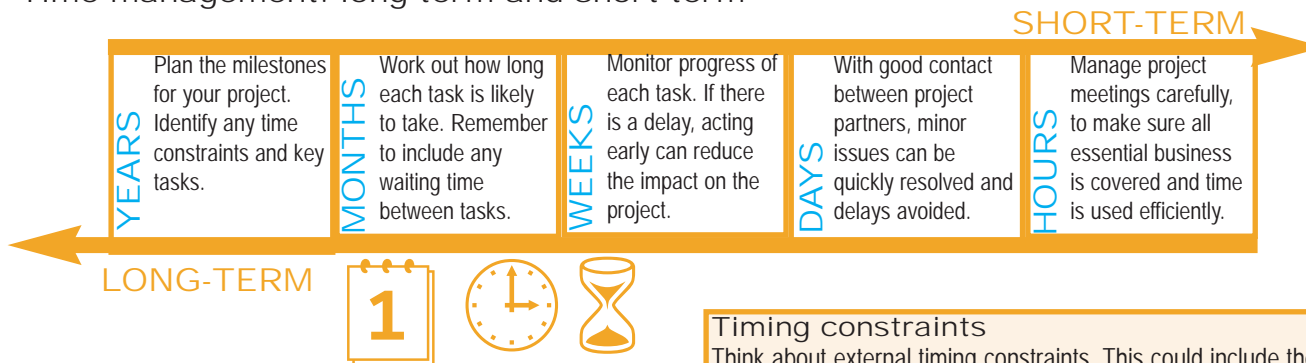


An overall workplan for Madrid, Spain.

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Time management: long-term and short-term



How late is 'late'?

You need to be clear from the outset what represents a delay for each task. Sometimes, a delay of a day, a week or a month will have little effect on the progress of the project. Identify which tasks are on the 'critical path' - this means tasks that, if delayed, will delay the whole project. Give these deadlines priority and make extra effort to ensure that they start and finish on time.

Timing checklist: projects

- ✓ Has your project timing been developed in collaboration with all the partners?
- ✓ Have you checked that any advisors or consultants will be available to do the work when you need it to be done? Have you agreed what will happen if you need to delay their contribution to the project, or if they do not complete their work at the agreed time?
- ✓ Do contractors have a real incentive to finish the work on time and to a high standard? Have you agreed in advance what the penalties will be if work is not completed to schedule?
- ✓ Have you identified the key deadlines and noted which tasks are critical for the timing of the whole project?
- ✓ Have you identified the level of delay that would be acceptable for each task, and when it would become necessary to take remedial action to get the project back on track? Do you know what this action would be?

Timing constraints

Think about external timing constraints. This could include the dates of council sessions, the length of any statutory processes or constraints on expenditure in one financial year. When planning the timing of implementation, you should consider when disruption can be minimised. Check when traffic on a route is likely to be particularly high (e.g. for a special event) and avoid these times, if possible. Also think about when construction can be carried out most efficiently. This may depend on local weather conditions. Some activities could be arranged to take place overnight when traffic levels are lower in order to minimise construction, but this is likely to incur additional costs.

Timing checklist: engagement

- ✓ Do participants know what they can expect (short or long-term commitment) and when?
- ✓ Are engagement events timed to fit stakeholder schedules, for example, after business hours, or outside of public or cultural/religious holidays?
- ✓ Is there enough time allowed to design the engagement activity correctly, to collect and analyse responses and to provide feedback to the decision-making process, before key project decisions are taken?
- ✓ Have you allowed time for people to learn about the project, before they are expected to give an opinion?
- ✓ Have you publicised events well in advance?
- ✓ Have you given sufficient time for people to respond?

Practical information

Who participates and how?

A good time management strategy for your project will be led by the project manager or the project management team, but must be developed in collaboration with all the key partners in the process. This will avoid simple but costly mistakes.

How much does it cost?

The primary costs associated with time management are the staff hours committed to project management. Good management can save time and money for the project.

What skills are required?

Managing the timing of a project requires good forward-planning skills and a strong ability to negotiate effectively with other contributors to the project.

How is it used with other techniques?

The timing of a project must be planned alongside the allocation of resources and the identification of necessary skills, as the three factors are strongly linked. All three must be considered in the work plan and engagement strategy. For example, the time, skills and resource required to complete an engagement activity effectively will depend on the technique chosen.

What are the drawbacks?

A badly planned project can be unworkable from the start and leave the project without a clear structure. It is essential that the time allocated to each task is realistic.

Managing skills

Most transport projects will require the application of a wide range of specialist and more general skills. Ensuring that the project team contains the right balance of skills and that these are available when required is a key part of the project management activities.

By managing skills appropriately you can ensure that staff costs are spent efficiently and improve the quality of the work completed. The damage to staff morale caused by poor management should not be underestimated; ensuring that people are correctly equipped to undertake the task that they have been assigned will improve the working environment and may require only minimal input.

Skills management for projects

Skills management for projects requires a thorough understanding of the tasks to be undertaken at each stage. Also there is a need to have an understanding of the skills available in the organisation. Often it will be possible to liaise with a department within your organisation to arrange for one or more members of their staff to complete a task. In this case, you will need to inform them of any changes to your work plan, so that they can plan the resource allocated to the task effectively.

It is important to know the full range of skills of your staff as many will have other experience or skills which might be valuable to your project. You should also be aware of which skills people are interested in developing, to target training programmes effectively.

Skills management for engagement

Engagement activities require good communication skills. The specific skills required will depend upon the type of exercise undertaken including writing and design skills, to telephone and face-to-face communication. Staff involved in the engagement activities should also have a thorough knowledge of the project.

Many skills can be learned relatively quickly with some basic training, but you must remember to arrange this training in advance of the engagement event. It is important to choose the staff members involved in the engagement activities carefully. The staff in any engagement activity are the public face of your organisation and of your project. Some people may not feel comfortable speaking in public; others may lack the patience to listen to complaints. The key is to always allocate the right kind of people to the right tasks.

Managing skills throughout your project

It is important to consider how the range of skills required will vary throughout the life time of your project. During problem identification or scheme definition, you will require technical analysis of data to identify the nature of the problem to be addressed. You may also be undertaking engagement activities to identify the public perspective on the current situation and this will require a range of very different skills.

Option generation will require input from transport engineers and policy experts to guide the possible solutions available. Option assessment requires a broad range of skills and knowledge as the transport, economic, environmental and social impacts of each option are evaluated. Political decision-making and negotiation skills will be required in the decision-making stage and a wide range of skills will be required for implementation; depending on the nature of the project. Project management, market research and public engagement skills will be required throughout the life of the project.



A trained facilitator at a focus group meeting.

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What are the range of skills available in your organisation to undertaken project management and engagement activities?

Some tasks you will be able to undertake using the skills within your organisation and others may require the assistance of an external consultant. How do you identify which skills you will need for your project? Do these skills differ for a strategy and a scheme?

Project management

Have you identified the range of skills required for each stage of your project?

Have you identified the range of skills available in your organisation?

Have you identified who would be interested in gaining new skills, should the skills required not be available?

Have you checked that resources are available for any training and recruitment required? Is there time to complete this before the skills are required at the necessary stage in your project?

Have you negotiated with external consultants to cover skills gaps? Will they be able to complete the work on time?

Engagement

Are the personnel you have chosen able to communicate effectively with a wide range of stakeholders?

Are their skills well-matched to the techniques you are using?

Do you have enough staff for the exhibitions, meetings and other public events which you are planning?

Have you arranged for staff to get a full briefing on the project to allow them to respond effectively to questions or comments?

Have you identified who will design any printed materials required? And who will write the text?

Practical information

Who participates and how?

The management of skills for your project will be overseen by the project manager, who will need to work in conjunction with other managers and with the personnel team in your organisation to identify which members of staff have the relevant skills. The project manager will also need to negotiate with any consultants or contractors who are involved in the project and with internal and external training providers.

How much does it cost?

Some staff hours need to be allocated to the planning of the project to determine the skills required and the resources available. Managing skills at an early stage will cost less than trying to call in contractors at short notice.

What skills are required?

Organising skills for a project requires long-term management skills and a familiarity with the work required at each stage of a transport project. It requires good awareness of the skills available within your organisation. Good contacts with reputable consultants are also valuable.

How is it used with other techniques?

The management of skills is closely related to the management of time and costs for a project. Decisions on the personnel, which will be used to complete a task, will influence the total cost and when the task can be completed.

What are the drawbacks?

Using the wrong people with inappropriate skills can incur additional cost, lead to poor quality work and demotivated staff.

FS 11: Managing resources: costs

Managing costs

Good financial management is essential if a project is to be completed on time and to budget. Management of a project's cost requires careful advance planning and careful monitoring of expenditure to ensure that the budgets for each task are not exceeded. It can also require flexibility, as it is possible that changes in circumstances can result in changes in costs.

It may be tempting to delay formulating a detailed plan for expenditure until financial support for the project has been secured, but this brings with it risks. It is easy to underestimate the minor costs on a project. Where a range of options are being considered, it is important to ensure that cost estimates have been prepared for each option and have been carried out using the same assumptions and to the same level of detail to allow fair comparison.

Cost management for projects

Financial barriers are a common cause of delay or cancellation of projects. It is important that costs are carefully managed. Planning costs and other resources for the life time of the project, including any operating and maintenance costs, can help to ensure that the project can be implemented and operated effectively. If the success of the project relies on a change in travel behaviour, remember to allow funds for promoting the scheme.

For most projects, it will be necessary to have a contingency plan in place. This should identify potential sources for additional funds and/or any aspects of the project which could be reduced in scale or cost if necessary. Take care to prioritise funding carefully; an over-spent budget can result in insufficient funding for future stages of the project.

Cost management for engagement

The costs of engagement activities must be carefully planned and included in the cost of the total project. It is important to plan an engagement strategy from the outset. This will help to plan the resource requirements, but will also allow you to have a clear level of commitment to engaging stakeholders. Whether you need to devise an engagement strategy which meets a fixed budget, or have devised a strategy and need to determine its cost, it is essential to consider the costs of all aspects of the strategy.

Some costs, such as staff time or the use of venues owned by your organisation, may not need to come directly from the project budget. It is still important to be aware of these costs to ensure that the strategy you design can be implemented successfully. A well planned engagement strategy can save money in the long-term by ensuring that stakeholder priorities are addressed.

Managing costs throughout your project

In the initial stages of problem identification and scheme definition you may often have no idea of the total budget for your project, as the final cost will inevitably depend on the scheme design. However, even at this early stage you will need to identify in broad terms the funds which might be available. For example, there may be a range of funding procedures in your country depending on the capital or revenue funds required for a project. In this case, identifying which procedure will be followed at an early stage will mean that the work plan can be designed with the approval process in mind. This can save on time and effort for exploring options which are unfeasible.

As the project develops, it is important to track the expenditure of the project carefully so that any overspend can be quickly identified. This can allow the work plan to be adjusted to prevent the problem escalating or, if necessary, seek additional funding.



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Managing the project budget

When you are planning your project budget, you need to consider how much money will be spent, when and on what. Once you have a detailed plan of the project expenditure, you will need to present this in a way which allows progress to be easily monitored. Start by producing a table showing the expenditure for each month, split according to the main tasks and sub-tasks. For each month, include one column for the predicted expenditure, one for actual expenditure and one for the difference. This can be easily adapted to show cumulative expenditure (and any overspend or underspend from the predicted costs). You will then be able to compare the total expenditure to date (for each task and for the project as a whole) with the predicted expenditure to check whether budget targets are being met. Using spreadsheet software can make it easy to update information rapidly and to produce graphs if required.

Be precise

Make sure you know what each figure in your budget actually means. You need to know: how long a quote will be valid for; whether an estimated price includes taxes or other associated costs; and whether any discounts or surcharges will apply for your project. Check which currency is quoted and any exchange rates which have been assumed. Small misunderstandings when planning your budget can turn into a large deficit and cause significant delays.

Cost checklist: projects

- ☑ Do staff cost estimates include any salary increases which may be due during the period of the project?
- ☑ Have you included any necessary overheads in the estimates of staff costs?
- ☑ Have you devised a contingency plan for over-expenditure?
- ☑ Have you allowed for inflation when estimating the cost of materials? Have you included any delivery costs or storage charges which may apply?
- ☑ Have you planned the costs for operating the scheme?

Estimating costs

As a guide when planning resources in broad terms, you may want to look at the costs incurred on previous projects of a similar nature. This can be a useful guide, but remember to adjust costs for inflation. Also, be careful if the previous project was on a different scale; many costs cannot just be scaled up or down. For an accurate estimate of costs, review staffing and other costs within your organisation and obtain up-to-date quotes from any consultants, contractors and suppliers you are considering using.

Be prepared for overspending

Decide in advance what will happen in the event of the budget for a task being overspent. This will allow you to quickly identify the actions to be taken in the event of a problem arising. There are three main options:

- Reduce the scale of the project;
- Compromise by diverting funds from another task within the project, perhaps by using cheaper materials or techniques than proposed in the original plan (if this course of action is proposed it is vital that compromises are carefully considered and that there is a full and open discussion amongst the project team and project partners about the pros and cons of such action); and
- Increase the total budget for the project by acquiring increased funds. This is likely to delay the project.

Cost checklist: engagement

- ☑ Have you carefully estimated writing, design, printing and distribution costs for printed materials?
- ☑ Have you budgeted for staff time to plan and attend meetings and other public events?
- ☑ Have you considered allocating a budget to reimburse costs of travel and child care to encourage 'hard to reach' groups to attend events?
- ☑ Have you considered ongoing costs, such as website maintenance to ensure information is kept up-to-date?
- ☑ Have you allocated funds to produce publicity material to advertise events?

Practical information

Who participates and how?

The overall management of the budget for the project must be under the control of the project manager but should include those responsible for individual tasks or sub-tasks.

How much does it cost?

This will depend on the staff time allocated to planning the finances of the project. Clearly, larger projects will require more time to plan than smaller projects.

What skills are required?

Key skills required are: the ability to estimate costs accurately in advance; financial planning to ensure that resources will be available to make the payments required; negotiation skills to agree costs with internal and external project partners; thoroughness and attention to detail to ensure that plans are comprehensive and accurate; and the ability to monitor expenditure and adjust the work plan, if necessary.

How is it used with other techniques?

The management of cost is closely related to other resources, particularly time, as many delays to the project will increase the overall cost.

What are the drawbacks?

Failure to develop, and adhere to, a detailed budget can lead to significant delays and even cancellation of the project.

FS 12: Preparing an engagement strategy

What is an engagement strategy?

An engagement strategy defines the engagement activities that will be undertaken during the 6 stages of a transport decision-making process. It specifies how stakeholders will be identified, when and how they will be involved and the way in which engagement will be undertaken.

The plan should define the roles and responsibilities of all stakeholder groups to be involved in the decision-making process. The strategy should clearly outline the type of engagement activities that are to be implemented. This is likely to include formal, as well as, informal engagement activities, public events and workshops.

Why should a project manager prepare an engagement strategy?

Preparing an engagement strategy at the beginning of the project allows all team members to understand their roles and responsibilities throughout the decision-making process.

Any engagement process, from a simple, straightforward one to a very comprehensive large process, requires an estimate of the resources needed from the outset. Some engagement activities can be costly to undertake, while others require specialist skills from trained experts. These resource requirements need to be identified so that they can be included in the overall work plan for the transport project.

What are the benefits?

- The strategy specifies the way that stakeholders will be involved in the decision-making process;
- All staff working on the project understand when information will be given to stakeholders and when stakeholders will provide feedback: this will allow the project team to plan for these stakeholder inputs in their own work plans;
- Planning the activities that will involve stakeholders in advance provides confidence in the decision-making process; and
- The decision-makers can see where inputs have been received from stakeholders and can measure these against the work prepared at different stages in the decision-making process.

When should you prepare an engagement strategy?

An engagement strategy should be prepared as early in the decision-making process as possible and should also be an integral part of the project management work plan.

When considering the level and extent of engagement, managers need to decide the resources to dedicate towards it. This will influence preparation of the engagement strategy and the strategies identified within it.

Techniques need to be chosen that suit the engagement situation, rather than a technique that the organisation is more familiar with.

How to select what techniques to use

Selecting the tools and techniques that will be used to engage stakeholders in the decision-making process is critical. However, the focus should not initially be on choosing a technique, but rather more on what exactly the project team wants to achieve by engaging with stakeholders. In other words, is the engagement activity going to be used to provide ideas and aspirations at the beginning of a transport project, or is engagement an information activity to be undertaken once the decisions have largely been made?

It is important that an analysis is undertaken of what is expected from the engagement activity and then these results are used to best select the techniques that will help to realise these expectations.

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What should be in an engagement strategy?

The focus of an engagement strategy is a description of the actual engagement activities to be undertaken, showing the sequence of activities and how they are interrelated. An engagement strategy at minimum should include:

1. Identify preliminary engagement

Most projects have a history that may have included engagement activities. The engagement strategy should review this information as a part of the analysis.

2. Identify issues

By identifying current issues regarding the project it can help to anticipate the types of technical studies required and the most appropriate techniques to engage participants.

3. Identify stakeholders

Identify who the stakeholders are. Who will be affected by the project, who has an existing interest, who will benefit from the project?

4. Identify level of public interest

To understand what the issues are and who the key stakeholders are should help to determine the level of public interest in the project.

5. Establish decision-making process

In order to integrate engagement into the decision-making process, the decision process must be developed. What steps will the project take and when will decisions be made?

6. Plan engagement activities

Steps 1-5 are designed to give the context required to select engagement activities and when these should be undertaken. Engagement activities should link to the decision-making process.

7. Contentious issues management

Identify what steps should be undertaken to anticipate and address any major issues likely to emerge during the course of engagement activities.

8. Determine budget & resources

After engagement activities have been identified a budget can be developed identifying staff required and the resources needed to undertake each activity.

9. Develop timeline of events

A detailed time-line of tasks and key dates should be developed for all engagement activities. This includes planning, implementation and evaluation for each activity.

10. Develop reporting procedures

Identify how the engagement process will be reported both internally to the project team and externally to participants of the process.

Assessing your engagement strategy

| BEFORE | DURING | AFTER |
|---|---|--|
| Have links between stakeholder input and the decision-making process been identified? Do you understand who the key stakeholders are? What techniques will you use to reach these stakeholders? Has the timing of activities been coordinated? Has a budget been developed? | How will you maintain communication with stakeholders when no formal face-to-face activities are planned, i.e. a newsletter or internet site? Has the material for stakeholders used non-technical language? Has necessary considerations been given to hard-to-reach stakeholder groups? | Have you shown how input from stakeholders influenced the decision-making process? How has this been communicated? |

Practical Information

Who is responsible for developing an engagement strategy?

In most decision-making processes there is one person designated as a 'project manager', who is responsible for overseeing all aspects of the project. This person will also be responsible for overseeing the preparation of the engagement strategy. As this is the person who can ensure that stakeholder engagement is an integral part of the decision-making process.

Who participates and how?

On larger more controversial projects, you may want to circulate a draft of your public engagement strategy to a range of individuals and groups that might be affected. If they see the plan as adequate and fair, it will help legitimate the engagement activities, the decision-making process and the outcomes of the process.

How long should my engagement strategy be?

There is no set length for engagement strategies. The key requirements are that the information is sufficient to:

- Allow development of budgets and staff time estimates;
- Allow management to assess the adequacy of the plan; and
- Clearly communicate to stakeholders what they can expect.

What skills are required?

An organisation may need to provide training to ensure that staff implementing engagement activities or have access to, the expertise they need to effectively implement them. Some organisations have a dedicated member of staff that oversees all engagement activities.

FS 13: Identifying stakeholders

Who are the stakeholders?

Understanding who the stakeholders are for a transport project is critical to successful delivery of an engagement strategy. A stakeholder is a group, organisation or individual affected by or who can affect a project and its implementation, whether directly or indirectly.

Stakeholders can include, but are not limited to:

- The community;
- Local residents;
- Other government agencies;
- Businesses; and/or
- Interest groups (including industry, environmental and welfare groups).

(See Volume 1, Section 2.1 for a detailed listing of stakeholders).

Why is it important to identify all the stakeholders correctly?

Stakeholders provide valuable inputs to the development of a transport project. For example, local residents can provide specific details regarding local conditions that a transport engineer may not be familiar with. The term stakeholder is important in that it implies something beyond the more traditional definitions, such as user or resident. A stakeholder can have a direct or indirect interest in a project.

Where stakeholders are not identified, the following problems can occur:

- Important issues may be overlooked or under-prioritised;
- Significant opposition could arise as people feel they have not had the opportunity to be involved;
- Designing a scheme that does not best address the concerns and priorities of everyone affected by the project;

- Ownership from stakeholders of the process and support for the subsequent decisions made, could be lost if key stakeholders are excluded;
- Stakeholders may resent decisions made and subsequently could delay or maybe even stop the project from being implemented; and
- Identifying the stakeholders for a project will determine the engagement activities that will be undertaken; if this fails to take place, the activities may be targeted at the wrong audience.

When should you identify the stakeholders for a project?

It is essential that a preliminary set of stakeholders is identified at an early stage to contribute to the engagement planning process. In some cases stakeholders, such as local residents, may only be identifiable once design options have been generated.

It is important to review the range of stakeholders involved in the project throughout the decision-making process, as this will change as the details of the project are refined. It is also important to evaluate the success in identifying stakeholders once the scheme is implemented. Careful evaluation of the project should allow the identification of any additional groups who have been adversely or positively affected by the measures introduced.



An example of different stakeholders that should be considered for the engagement process.

NOTES



How to identify 'who' the stakeholders are for a project

There are generally six reasons people might see themselves as affected by an issue and then choose to participate in an engagement process:

Proximity

People who live, work or spend time in or near to an area which may be affected.

Economic

People whose business, livelihood, property value or cost of living may be affected.

Use

People who use or may use transport or other facilities which will be affected.

Social/ environmental

People who may be affected by secondary impacts.

Values

People who have a moral, religious or political interest in the project or its effects.

Legal mandates

People who are legally required to be involved in the process.

Issues for consideration

The answers to the following questions will influence the way you can best engage with the identified stakeholders:

- Who are your stakeholders? Are they local, regional or statewide?
- What is the community demography? Are they accessible or is distance and timing an issue?
- What is the community's cultural background? How can they be effectively engaged?
- What skills and knowledge do stakeholders have? How can these best be harnessed for the decision-making process?

How stakeholders may change throughout the decision process

Not only are there many different kinds of stakeholders, but stakeholders that participate also change over time, as described below:

- The options selected will most likely significantly affect the range and size of the stakeholder groups;
- It is likely that different stakeholder groups will be involved at different times in the project life; and
- If certain issues emerge during the life of the project the range of stakeholder groups may need to be extended.

Assessing the identification of stakeholders

| BEFORE | DURING | AFTER |
|--|---|--|
| Have you identified a wide range of groups from each of the six boxes identified above? Have you publicised the process sufficiently to allow other groups to come forward in time to get involved? Have you planned your strategy to enable all the groups identified to be fully involved? | Are there stakeholder groups which you have identified as important, but who seem reluctant to participate fully in the process? Is it necessary to re-design or extend your engagement strategy to get them more involved? | Were all the key issues identified at an early stage in the project? Did the process bring forward any groups that you had not included in your list of stakeholders? Have you made arrangements to ensure that they are not excluded from future decisions? |

Practical Information

Who participates and how?

The range of stakeholders to be involved in the decision-making process should be initially identified by the project team, but it is also important to make use of other resources available to you. Draw on the local knowledge of your stakeholders to help to verify that you have not excluded other groups.

How much does it cost?

Identifying stakeholders will require some time commitment from the project team. It can also involve some publicity expenses at an early stage in the project to invite interested parties to come forward.

What skills are required?

Good local knowledge is essential for the identification of the stakeholders appropriate to your project. This can come from within the project management or engagement staff on the project, but may also be contributed by others, including elected officials or key community figures.

How is it used with other techniques?

Good identification of stakeholders is an essential prerequisite for successful engagement, and will effect the design of the engagement strategy and the use of engagement techniques.

What are the drawbacks?

Failure to identify stakeholders correctly can lead to important contributions being excluded from the decision-making process and may lead to costly or significant opposition arising at a later stage.

Managing the engagement process

Any transport project should be supported by a clearly formulated engagement process. This process should be embedded in the project's decision-making process and be linked to the key activities for the project.

In order to achieve an engagement process that does not just satisfy the stakeholders, it is important that this process has the commitment and active support of key project staff. This commitment will ensure that outcomes of the engagement activities will be considered at key decision points in the transport decision-making process.

The engagement process needs to be carefully managed so that all aspects of communicating the transport project to stakeholders are carried out successfully to time and within budget, in accordance with the engagement strategy.

What are the benefits of a well managed engagement process?

- Provides input to the transport decision-making process and suggests how it should be adapted to meet stakeholder requirements;
- Improves the effectiveness of stakeholder engagement techniques;
- Develops appropriate techniques for achieving particular objectives;
- Develops appropriate techniques for engaging stakeholders with differing needs;
- Records the process and outcomes of engagement;
- Assesses how stakeholder engagement affects the issues and processes central to its concern. This may require measuring attitudes or levels of knowledge 'before and after' the engagement process.

Common problems experienced in an engagement process

No stakeholder engagement process is without its potential problems, but thorough planning helps to avoid these. Common problems include:

- Self interested or aggressive stakeholders;
- Participants with unrealistic expectations or inaccurate information;
- Participants who dominate and don't allow others to speak;
- Dealing with activists who may not be representative of the broader community;
- Assessing the views of the silent majority;
- Participants challenging the constraints of the process i.e. wanting to have more influence on decision-making;
- Distrust towards the project team and engagement process;
- Managing conflicting views within the community; and
- Continued opposition to a proposal.

What strategies are there to deal with these problems?

By developing strategies to deal with anticipated problems, this will enhance the stakeholder engagement process. Many problems can be prevented in advance by selecting the correct techniques to ensure the best approach is adopted to engage properly with key stakeholders. The following approaches can help minimise conflict in difficult situations:

- Recognise that the process is not necessarily about consensus;
- Don't be defensive or judgmental about any views or opinions;
- Always begin the engagement process with 'tentative' ideas or possible solutions;
- Take an interest in stakeholder views and incorporate these into the technical aspects of the project design;
- Recognise that conflict is healthy and can be creative;
- Encourage ownership of the project by all stakeholders;
- Make it clear nothing is being hidden; and
- Provide many alternative engagement methods.



A full project team meeting to discuss the outcomes of an engagement activity.

NOTES



Managing an engagement process

There are many things to take into consideration when managing the engagement process. Selecting the appropriate engagement techniques is only one aspect of managing the engagement process. Also consider aspects of the following:

Project management

Manage the engagement process flexibly, since issues may evolve and ensure that any statutory, social and legal requirements are covered.

Engagement team

Ensure continuity of key skilled staff throughout the engagement process.
What availability is there of any back-up staff in case of unforeseen circumstances?

Managing resources

Estimate costs for the engagement process. Be aware of the results of the activities and how these impact on the project. This might have implications for future budget allocation.

Planning for engagement activities

Review the extent of planned engagement activities and balance transparency, openness and level of active participation against the level of stakeholder concern or interest.

Media

How will the media be involved in the decision-making process?
Review the history of media involvement and the appropriateness, timing or extent of any planned advertising, media briefings or press releases.

Marketing

Assess stakeholder expectations against project goals for congruence or potential conflict, and identify any gaps or shortfalls. What marketing techniques (if any) should be used?

Assessing an engagement process

The process itself

- The individual exercise or programme of involvement achieves its objectives:
 - The participants understand the objectives
 - The participants feel it achieved its objectives
- The individual exercise or programme of involvement provided all participants with equal opportunity to participate;
- The target audience was reached;
- The timetable was clear and kept to;
- The selected methods were appropriate for the objectives; and
- Suitable feedback was given.

The transport outcome

- Stakeholders perceive themselves to have had an impact on policy-making:
 - Participants feel they have gained from the process.
 - Participants feel they had an effect on the transport decision-making process;
- Proposals were actually altered as a result of the engagement activities;
- The engagement activities led to a review of particular aspects of the project; or
- The decision-maker was influenced by views given.

Practical information

Who is responsible for managing the engagement process?

The project manager of the transport project is responsible for the management of the engagement process. In some cases, however, there may be a dedicated staff member that is responsible directly for the day-to-day management of all engagement activities.

Who participates and how?

In managing the engagement process it is important that all stakeholders, both internal (e.g. politicians) and external (e.g. local residents) to the organisation are engaged with on a regular basis. The strength of a good engagement process is the transparency of the actual process itself.

What skills are required?

Outlined in FS 5 Project manager and FS 10 Skills, are some of the specific skills that are required to manage an engagement process. However, one skill that is critical to oversee the management of an engagement process, is the skill to 'LISTEN'. It is important to 'hear' the views of stakeholders and to incorporate these into the transport decision-making process at all key decision points.

How is it used with other techniques?

All details provided in the project management fact sheets in Volume 2 of this handbook, are relevant to the management of the engagement process, either in terms of necessary project management skills (FS1 to FS37), or the particular engagement techniques that might form part of the engagement process (FS 38 to FS69).

What is a feature article?

A feature article provides an extended description of a project or a particular aspect of it. It is longer than a conventional news story and might include photographs or drawings illustrating the project. A feature article may contain quotes from key individuals and organisations involved in the project and those affected by it.

While a conventional news item reports on a single event or circumstance, a feature article provides a broader overview, exploring the project in more detail. In some circumstances, a feature article may be written by a member of the project team, rather than by a journalist. If written by a member of the project team, there will be some control over the content of the article, although the editor will make final decisions.

How to use a feature article to inform?

A feature article can be an effective way to complement other news coverage, provide readers with a comprehensive overview of the project than can be provided in a short news story. This can improve the general level of understanding of the project's objectives and implications by clarifying details, particularly where issues have been over-simplified for attention-grabbing headlines and shorter news reports. A well-written feature article that identifies the main issues relating to a project can help to reassure readers that their concerns will not be ignored in the decision-making process, even if those issues have yet to be resolved.

How to use a feature article to encourage engagement?

A feature article is primarily an information tool, but there are ways in which it can be used with other techniques to encourage stakeholder engagement. It is likely to prompt readers to consider the ways in which the project might affect them, which may encourage some to get involved through engagement events or through letters to the newspaper. The letters pages should be regularly monitored to assess responses to the feature article and the project team should react to concerns or issues raised. It is important to remember that newspapers respond to the interests of their readers. A newspaper that regularly reports on your project, either through news items or feature articles, is likely to have readers interested in it or affected by it. Paid advertising in the newspaper may be an effective way to publicise engagement events.

When should you write a feature article?

It is possible that the idea to produce a feature article originates from a newspaper or a magazine. In this case the timing is in the hands of the publisher. It might still be possible to influence the timing of publication but this will depend on the view of the editor. If the idea for a feature article is generated by the project team it is important to discuss with representatives the possibility for including a feature article before committing the resource to writing the article. Editors may wish to ensure that the feature article has some topical relevance, so before approaching the newspaper, identify key dates and events for the project and how these dates could influence the feature article. The timing of the feature article could be aimed to coincide with many project events, such as the launching of engagement activities, the opening of an exhibition, the start of construction work, etc. Where the event forms a part of the engagement process the feature article might help to encourage stakeholder engagement.



A feature article in the local newspaper for the Medal Square project in Brno, Czech Republic.

NOTES



Writing a feature article

Project team member

A newspaper editor may invite an external contributor to prepare a feature article. This can be advantageous, as the article can be written by a member of the project team with a good understanding of the project. However, it is important to agree the scope and length of the article and any deadlines with the editor of the publication in advance. When preparing material for a newspaper feature article, remember that the writing style differs from that for marketing material; editors will be reluctant to allocate space to articles that represent a one-sided promotion of the project. There will also be a 'house style' for the newspaper governing the preferred layout of the material. Be prepared for your article to be edited to conform to this.

Freelance journalist

Preparing an article requires a significant time commitment and the skills required can differ from those needed by transport professionals. If project members lack the time or the experience to prepare the article, consider employing a freelance journalist. This may reassure the editor that the article will not be used as away of advertising the project. Some tasks, such as identifying appropriate individuals for interviews and how they can be contacted can be completed more efficiently by someone very familiar with the project than by an outsider, so good cooperation between project team members and the journalist is essential to produce a high quality feature article. You will also need to allow time to approve the article and make any necessary amendments before it is submitted for publication. It is particularly important that any factual errors are corrected at this time.

Newspaper journalist

A newspaper editor may prefer to use a journalist from their staff to prepare a feature article on the project. In this case you will have less control over the article and there is a risk that the project may be presented negatively. It is important to cooperate with the journalist and to allow them access to the appropriate information and individuals. Once a good relationship with the journalist has been established, you may be able to advise on the accuracy of information in the article.

Assessing your feature article

| BEFORE | DURING | AFTER |
|--|--|--|
| Have you researched your publication? Does it use articles from outside experts? Is it in your area of expertise? How long are the articles? Who should write your article - yourself, someone else in the organisation, a freelance journalist? | Have you got commission from a publication? Do you understand their house style? Have you decided on the main issues to be covered? Have you written notes? Have you decided on a structure? Have you found pictures? Can you meet the deadline? Have you made sure the article is accurate, lively and informative? | Will project partners or other journalists be interested in the article? How can you build on your relationship with journalists or the editor of the publication in question? Have you made sure that you have responded to feedback from the article, e.g replying to letters the article has generated? |

Practical Information

Who participates and how?

In addition to the writer of the article, there are a number of other actors involved in the preparation and publicity. A good feature article will include quotes from key project partners, so time must be allowed for interviews to take place. In order to discuss issues effectively and to present a more objective view, it is beneficial to undertake interviews with representatives of key stakeholder groups.

How much does it cost?

The primary cost is staff time. If the article is prepared by a journalist employed by the newspaper, staff time will be required for briefing the journalist on the project, for interviews and for responding to any letters or calls received in response to the article.

What skills are required?

The writer of the article must be able to collate information from a range of sources and present it in a clear and interesting way. The article will need to meet strict limits on length and style in order to conform with the style of the publication so an awareness of these issues are important.

What are the drawbacks?

The content of the article will be at the discretion of the editor, so there is the possibility that coverage of the project may be negative.

It is important to check factual content very carefully to avoid misleading readers. This is particularly important where decisions on the project have yet to be made.

FS 16: Press releases and news conferences

What are press releases and news conferences?

Press releases and news conferences are tools used to deliver new information on the project to journalists, who can then use the information as a source for a news report. A press release is a short printed document that outlines an event or issue and is distributed to a wide range of media organisations.

A news conference is a staged event that gathers journalists together to hear brief presentations from senior members of the project team and gives the opportunity for journalists to ask direct questions. They can be used to deliver information simultaneously to a large number of media organisations, but it may be useful to tailor the information provided to different groups. For example, for an innovative transport scheme it may be appropriate to adopt one approach for national and international media interested in novel aspects of the scheme and another for local media.

How to use a press release?

A press release is designed so that it can be easily adapted into a news story. It contains all necessary information for a short news report in a newspaper or for a radio or television news bulletin. It will also provide contact information so that a journalist can explore the story further. A press release is a cheap and effective way to provide media organisations with information about an event or issue. It is a short document and should only be used for announcements that can be clearly explained in a single page of text and where any further questions can be easily answered by your organisation's press office or media representative.

For detailed or controversial issues, journalists may prefer the opportunity to question project managers directly, so a news conference may be more appropriate.

How to use a news conference?

A news conference is used to provide important new information to the press. As it is dependent on the willingness of journalists to attend, it should be reserved for major new developments in a project and for complex or controversial issues.

Where it is possible to deliver the information effectively in the form of a short press release, this technique is likely to be more appropriate. A news conference allows reporters to direct questions to the project team or other invited panel lists, so is useful for complex technical issues requiring careful explanation or clarification.

When should you prepare a press release or hold a news conference?

You should release information to the press at all key stages of the project in order to maintain media and public interest. For general updates on the progress of the project, a press release detailing the milestones reached and forthcoming deadlines or events can be distributed regularly. Media attention will be increased if these coincide with major events or issues in the decision-making process or with other related news stories. Linking a news conference with other events, such as a launch or community visit, can be an effective way to raise interest and to present a visual angle for the media. Press releases and news conferences are also devices that can be used to respond to negative coverage of a project.

A press conference can be a useful tool for correcting misleading reports especially if these have become significant. It provides an opportunity to directly address particular issues that require clarification but these conferences require delicate handling and must be carefully organised.



A press release in a local newspaper outlining the Cycling Campaign for Maribor, Slovenia.

NOTES



Designing a press release

Below is an example of a press release that might be sent to local media:

Date

Put the date, followed by 'or immediate release' or 'embargoed until...' if you do not want the information publicised until a later date.

Spacing

Double or 1.5 spacing is easiest to read. But avoid going onto a second sheet.

Heading

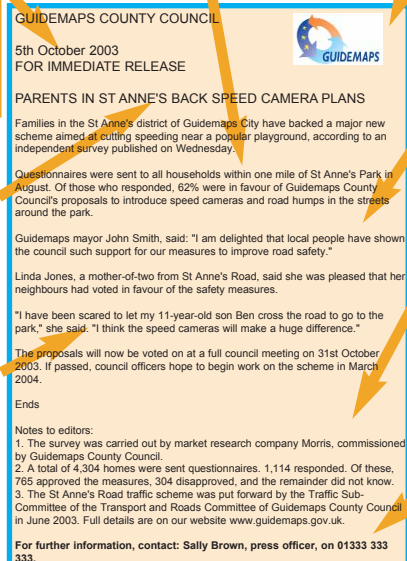
Use headed notepaper.

Title

If you can think of a catchy headline, do so. Otherwise, keep it simple.

Text

Put the most important information first. Keep sentences and paragraphs short. Avoid jargon or technical details. For local media, highlight the 'local angle' in the first sentence.



Quotes

Quotes from prominent figures or local residents can add interest.

Technical information

Put technical information (including financial details and names of partners) in the 'notes to editors'.

Contact information

Include a name and phone number for journalists to call and make sure that person will be available. The contact details must stand out.

Tips for news conferences

- Wherever possible, pick a time that suits journalists and tell them well in advance;
- Find a venue that suits the needs of all types of journalist; TV and press;
- Work out in advance what each speaker will say;
- Prepare visual aids, such as maps and photos. Reproduce these in format that journalists can use;
- Think about the backdrop for the speakers;
- Choose a moderator to open the news conference and introduce the speakers;
- Speak directly to journalists, rather than read from a prepared statement;
- Keep presentations brief. Expand on them during questions;
- Anticipate awkward questions, and work out answers in advance;
- Allow time for one-to-one interviews afterwards; and
- Prepare a summary for journalists, and send one to those who do not attend.

Assessing a press release / news conference

| BEFORE | DURING | AFTER |
|---|---|---|
| Does the news conference/ press release fit in with your media strategy? Have you got a press pack ready? Have all people from your organisation who might deal with journalists been properly briefed? Have you found an 'angle' for your press release? Will it be topical? Is the issue 'hot' enough to merit a news conference? Is your venue suitable for television cameras, radio microphones, newspaper photographers? Are senior figures available to front the news conference? | Have you included the who, what, why, where and when in your press release? Have you made sure that the person named as the contact will be available? Is it written in clear, jargon-free language? Have all questions been answered? Can you arrange one-to-one interviews after the news conference? Have there been any awkward questions that could lead to future problems? | Have you got a write-up or photos of your event to send to any journalists unable to attend? Have the events or issues been covered in the media? Was the coverage what you wanted? Do you need to correct any mistakes or rebut any allegations in the resulting coverage? How can you build on the coverage to ensure more in the future? |

Practical Information

Who participates and how?

If you have a press office, staff might write the press release for you. Project leaders must be ready to provide more technical information and answer questions. Project partners might also want to contribute. Most of the media like the 'human interest' angle, so it can be a good idea to find a member of the community to speak to the media.

How much does it cost?

Preparing a press release can be a low cost exercise. You might want to post a press release and include photos, leaflets or other information. News conferences are more costly in terms of personnel, and might also need venue hire or refreshments.

What skills are required?

You need a basic understanding of how different media organisations work; for example, their various agendas, deadlines, technical requirements. Clear writing skills are essential for press releases, and speaking and presentation skills for news conferences.

How is it used with other techniques?

Press releases and news conferences must be part of the overall media strategy. In particular, they should be backed up by good contacts with journalists, and interview skills. You should have a press pack - containing written background materials - ready to send to journalists.

What are the drawbacks?

Every media organisation will receive hundreds of press releases every week, and many will be ignored. Journalists are busy people, and will only attend news conferences on topics important to their organisation and/or their readership. A press conference requires careful handling. Journalists are not there to give the speakers an 'easy ride' and can ask difficult questions.

What is a press pack?

A 'media kit' or 'press pack' is a useful tool for communicating important information to the public via the media. For a transport-related project, media kits might include a collection of information about the project, issue or decision which is presented to journalists for inclusion in a newspaper article, journal or website. A press pack is often prepared to support a press release and is typically paper based, but can be prepared electronically on a CD-rom or on the internet. The press pack should adhere to two basic rules:

1. Less is more: presenting too much information might hide key messages which need to be communicated to the public; and
2. Time matters: journalists are typically working to tight deadlines and need to absorb information quickly. The press pack must be well organised and coherent.

How to prepare a press pack?

Consider carefully the messages you would like to communicate to the public and judge whether materials need to be tailored to suit different media audiences. A press pack will typically consist of a folder containing a press release, details about the project, issue or event (e.g. the background, aims and objectives) and contact details for obtaining further information. Material is more likely to be used by the media if the journalist is not overburdened by too much information and if material is well organised. Consider using the following techniques:

- Summarise key information: bullet point lists can be a useful way to communicate key issues or arguments;
- Graphical material, such as images and pictures can make the pack more visually interesting; and
- Think about the types of questions which the media might ask and provide coherent responses in the press pack.

What are the benefits of using a press pack?

A press pack is designed to communicate key information to journalists and editors. An effective press pack will help to improve their understanding of the issue or decision-making process, enabling them to write informed and accurate media material. They are more likely to use your material if it is easy to understand and interesting.

Producing consistently high quality press packs will help to build strong working relationships with journalists. Additional material could be offered to them for writing more in-depth articles or features.

Press pack material can be useful to distribute at events, such as workshops or public meetings and materials can be reproduced for publication in newsletters or on websites.

When should you use a press pack?

A press pack can play an important role in supporting a media strategy at various stages of the decision-making process. When launching a new strategy, policy or project it is useful to prepare a press pack for journalists to encourage them to write informed material in the media. This will help to promote your project and to inform the general public about key issues and/or events. In this situation, a press pack might comprise general background information, a description of the decision-making process, key milestones, opportunities for public engagement and contact details for acquiring further information. Example situations where a press pack can be useful, include:

- The launch of a new project or policy initiative;
- Key milestones within the project life;
- To support press conferences or other media events;
- To provide additional information about the outcomes of a study or the results of engagement activities or events; and
- To provide additional clarification about issues and concerns.



Part of the press pack announcing the internet forum for Cologne.

NOTES

Designing a press pack

Consider including the following elements in a press pack:

A press release

Identify the key messages you want to communicate. The press release should be informative, coherent and concise.

Contents page

Provide a description of additional and supportive information presented in the press pack. Use clear and short headings.

Background information

Only include information which is important and useful to the journalist. This should be well organised and easy to read. Consider including bullet point summaries of reports and key documents.

Printed materials

You may want to include recent newsletters, fact sheets or brochures in press packs. Ensure all materials are as up-to-date as possible.

Graphics

Graphics are a powerful way of communicating a message or argument and can make written material more visually interesting. Use good quality diagrams and photographs.

Contact details

Provide journalists with information on who to contact if they would like further information. Provide phone numbers, email address and office hours of the contact.

CDs and online press packs

An alternative to paper based press packs is to produce CDs or deliver press packs on-line. Consider the following issues if you are planning to use either of these techniques:

Online press packs

- Press packs can be continually updated online;
- Using the internet can reduce printing costs associated with paper-based press packs; and
- The internet potentially exposes press packs to more people, not just your core media contacts.

Tips

- Promote the website and online press packs;
- Ensure information is well organised and can be easily found on the website;
- Ensure information can be easily printed out from website pages;
- Ensure information is regularly updated;
- Do not use too many graphics as these can considerably slow internet speed and affect the ability to download or print information; and
- Provide contact details for obtaining further information.

CD press packs

- CDs ensure that journalists are not over burdened with large quantities of paper documents; and
- CDs can be produced at very low cost.

Tips

- Ensure CDs are clearly labelled with the name or contact details of the organisation and the CD's contents;
- Ensure CDs are easy to navigate around;
- Include key material on the CD, don't include too much information; and
- Consider whether paper based press packs should also be made available.

Practical Information

Who participates and how?

The project manager will need to identify the key messages and material required for the press pack. Press officers (if they are available) will need to be consulted on the structure, layout and content of the pack. Journalist contacts will be required in order to disseminate the press pack appropriately.

How much does it cost?

Press packs are a relatively low cost project expense. Staff time will be required for the compilation and collection of materials and some costs will be incurred with the production of folders and printed materials. CDs can be produced at low cost and consideration should be given as to whether photocopying written materials or using CDs is more cost effective, in terms of material costs and staff time. If the website is already set up, delivering online press pack can be relatively inexpensive.

What skills are required?

An understanding of what journalists/editors require from the press pack is essential. Staff will need to be well informed about the project and have excellent writing skills to be able to compile coherent information for a press pack.

How is it used with other techniques?

Material produced for a press pack can be used for other engagement techniques, such as newsletters, exhibitions, public meetings and websites.

What are the drawbacks?

The material you have prepared will not always be used by a journalist. Consider carefully how much money and time should be allocated to produce the press pack.

FS 18: Institutional marketing

What is institutional marketing?

Institutional marketing seeks to inform and motivate people in the various organisations that have a role in the planning, design and implementation of the project, or who are part of the key decision-taking group (e.g. local politicians).

This helps to ensure that each such organisation is fully committed to the project, and that those who might come into contact with other stakeholders (e.g. members of the public) are sufficiently aware of the details of the project. For new types of projects, this may require a change in the culture of the organisation.

Institutional marketing utilises a number of tools, such as leaflets, brochures and newsletters, but also internal reports and reports prepared specifically for selected target groups.

How to use institutional marketing to get support for a project?

Institutional marketing includes all measures taken to create the board support of politicians and institutions. In every project it is important to foster a good relationship with politicians responsible for strategic decisions and institutions with a stake in the project. Institutional marketing formalises these contacts by the introduction of a clear strategy and the definition of objectives for these contacts. It also brings together the approaches of different project partners by using a common approach.

Institutional marketing on a political level has to start early on before the public is informed about a project. In this phase institutional marketing has two goals, first it tries to create acceptance for a project and second it wants to establish what is realisable from a political viewpoint. Wrong or insufficiently informed viewpoints of politicians or institutions are often a major

obstacle for the implementation of transport projects. Therefore, institutional marketing also aims to reduce these incorrect perceptions through the provision of informative material.

When working with politicians it is necessary to keep in mind the timing of elections. For example, it is easier to obtain support for a project that will produce positive outcomes before the next election. This is especially important for controversial projects. As it is not always possible to fully implement a project within one term of office, especially if it is a larger project, the creation of a wide political acceptance for a project is an important consideration. The success of institutional marketing can be measured by the swiftness of overcoming institutional and political barriers and by the smoothness of the decision-making process. Another indicator is the extent to which political opposition to a project was reduced after a campaign took place.

When should institutional marketing be used?

Institutional marketing is very important in the early stages of the decision-making process to get the project going. Members of institutions acting as experts play an important role in influencing the decision-making process especially in controversial projects. Their interest in projects at an early stage is often very low and it is the task of institutional marketing to create or increase this interest. Institutional marketing is also important prior to the voting on a particular project or policy initiative.

It can help to solidify support for the scheme by providing clear arguments for support. Institutional marketing is also important in the later project stages, for example, during implementation but then it is less a question of creating support for a project and more a question of keeping actors informed about, and involved in a project.



Stakeholders involved in an institutional marketing campaign in Germany.

NOTES



Implementation of an institutional/political marketing campaign

Identify stakeholders

Identify all stakeholder groups, whose support is necessary to get a decision in favour of a project and all institutions with a special interest in the project and/or a strong influence on the decision-making process.

Who: Politicians, local and regional authorities, transport bodies,...

Identify project objectives/aspects of interest for these target groups

Comparison of project objectives and of the interests of the targeted stakeholders. In most cases this means selecting from the project objectives those that correspond most with the goals and interests of the targeted stakeholders. In cases in which they do not fit it can be sensible to create/identify additional objectives.

For example, to motivate a politician mainly interested in health issues to support the development of a cycling network it is more effective to point out the positive health effects of cycling than to only argue on the basis of transport benefits. With environmental authorities it is best to point out the environmentally friendly aspects of the planned project.

Chose adequate marketing tools (direct/personal approach recommended)

The selection of marketing tools depends on the targeted groups and available resources. As it is quite expensive to produce customised marketing materials for every target group it is important to use instruments like expert meetings, excursions and personal meetings to communicate with these groups.

Implement campaign

Checklist: institutional/political marketing campaign

- ✓ Politicians interested in a project want to be sufficiently informed before the general public receives information.
- ✓ Check whether there are any key political or administrative stakeholders that could be recruited by institutional marketing to act as active project supporters.
- ✓ Politicians are more willing to support a project if a majority of the population is in favour of it. Therefore include information materials that show the support of the population in your marketing materials. Opinion polls, surveys, support meetings and positive media support of the project can be used as instruments to demonstrate this support.
- ✓ Did you check with all affected authorities whether they see any major obstacles that can significantly delay or disrupt the project?
- ✓ Decision-makers are often thinking in terms of election periods. Will a project increase or reduce ones chances for re-election? Will the project lead to visible positive outcomes within one election period?
- ✓ Does your project have sufficient political backing to be implemented? For major infrastructure projects, whose planning and implementation can take 10 years or more, you should try to win the political support of all major parties (also the opposition).

Practical information

Who participates and how?

It is best to let the organisation responsible for project management run the activity. However, if another partner has special (better) contacts with certain politicians or municipal departments it is more effective to let them handle the contacts.

How much does it cost?

The costs of institutional marketing need to be calculated as part of the project costs but it should be noted that material produced for this activity can be used for other marketing that will take place during the life of the project.

What skills are required?

The skills necessary are similar to other marketing activities as the information and techniques are mostly the same. Good personal contacts with politicians and different departments are helpful for a successful institutional marketing campaign.

How is it used with other techniques?

Institutional marketing is only one aspect of marketing and has to be combined with other marketing efforts targeting a more general audience. As the materials used for institutional marketing are often similar or even the same as for marketing to the public there is an opportunity to test the tone and content of the information provided.

What are the drawbacks?

A key aspect of institutional marketing is that the target groups receive the information in advance of the general public. If the institutional marketing fails to have an impact on the selected groups there is a risk that the project may be delayed or even cancelled. There is also a risk that opponents of a scheme use material provided to them as the basis for stimulating opposition amongst other groups including the public.

FS 19: Information and image campaigns

What are information and image campaigns?

Successful stakeholder engagement depends heavily on the provision of information that is timely and easy to understand. In some situations it may be appropriate to go beyond this and to adopt consumer marketing techniques to help 'sell' the project and improve its image.

Image campaigns can play a role in encouraging the public and other stakeholder groups to take an interest in the project, to increase support for particular proposals (e.g. traffic restraint scheme), and subsequently to increase patronage levels (e.g. bus or tram priority scheme). Organisations need to be careful, however, that by promoting a project they do not lose their credibility. Information and image building activities need to be carefully differentiated, particularly when involving government organisations, and those charged with taking the final decision about project implementation.

How to use an information and image campaign?

The provision of clear information to stakeholder groups is a vital part of any engagement activity. It is a part of being open and engaged with stakeholders. It is essential that an engagement strategy contains details of when, what, how and to whom information will be provided during the life of the project. It is clearly not feasible or desirable to communicate the totality of the information held by the project team. The selection and the timing of the release of information is a critical aspect of the project planning. Certain questions should be asked about the release of information to the stakeholder groups: who is the information aimed at? Is the information relevant for these groups? What is the objective of releasing this information? The key objective of an information campaign is to provide stakeholders with the material they require to make better judgements.

The key objective of an image campaign is to ensure that a project or a policy initiative is given the best chance of success. At the early stages of a project the emphasis will be on the provision of information and will focus on:

- Promoting an understanding of the project and its objectives;
- Promoting engagement and political action;
- Demonstrating how people can contribute; and
- Reducing public opposition.

At later stages in the project, the objective of the image campaign will shift to:

- Maximising support for the preferred scheme; and
- Encouraging use once it has been implemented.

When should information and image campaigns be used?

Even though it is important to start such campaigns early on during the project, to create public support and to inform the public, the basic requirements for such a campaign makes it necessary to wait until some information is available. Without clear ideas regarding the objectives and contents of a project it is not practical to start a campaign.

It is also important to conduct information and image campaigns during the implementation stage of a transport project especially if the project includes a lot of infrastructure measures. This might mean for example, informing stakeholder groups about potential disruption during the course of engineering works.

Information and image campaigns are also an instrument to increase the acceptance of a transport project and to initiate behavioural change if they are conducted after the implementation stage of the project.

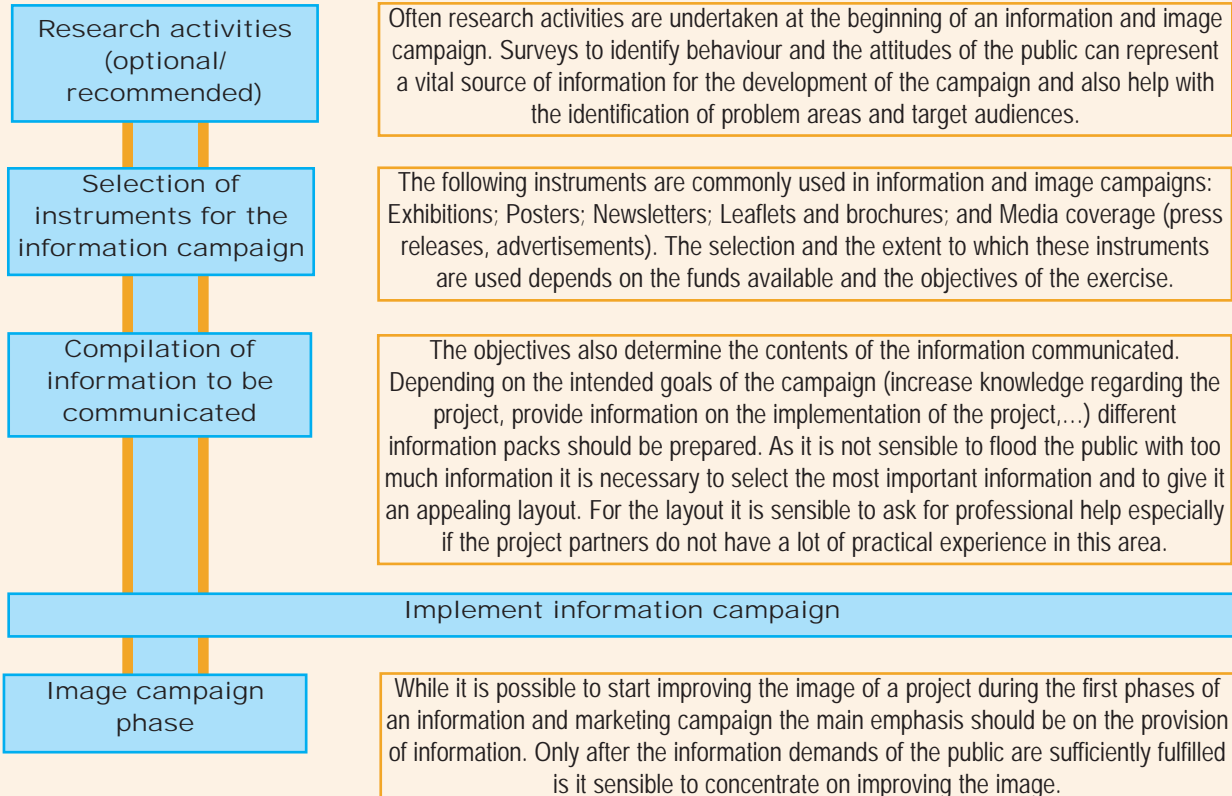


Materials used in an image and marketing campaign in Graz, Austria.

NOTES



Conducting information and image campaigns



Checklist: information and image campaigns

- ✓ Think about an adequate budget for information and image campaigns before a project starts and not only after public opposition has enforced a campaign.
- ✓ If specific target groups are chosen the best approach is to reach them in their own setting for example, children and young people at schools and local communities in community centres.
- ✓ When employing external consultants check their experience of transport related marketing and not only with product marketing.
- ✓ Provision of detailed information on expected traffic obstructions during implementation is of special importance for large infrastructure projects as this can significantly reduce public opposition.
- ✓ Do not start a campaign if you do not have the necessary facts about a project as people become angry when they get the impression that they are not being sufficiently informed.

Practical information

Who participates and how?

The partner with the highest public credibility should take leadership of the campaign. In some European countries, if a public transport company is involved in a project, it is often sensible to let it take the leadership as its image maybe better than the image of public authorities.

What skills are required?

Extensive knowledge about marketing and communication techniques are necessary to select appropriate strategies.

How is it used with other techniques?

Information and image campaigns are a fundamental part of engagement activities. The provision of information to stakeholders is essential if real engagement is to take place.

What are the drawbacks?

The costs of such a campaign make it important that a budget is reserved for it from the beginning as it is often difficult to organise the necessary funds later during a project.

FS 20: Awareness campaigns

What is an awareness campaign?

Awareness campaigns, as their name suggests, seek to raise levels of awareness concerning a particular problem or issue. They may be aimed at the general public, at certain communities (e.g. local residents, businesses), or at staff within the organisations directly involved in the project. Such campaigns may be associated with a particular project, but more often provide a basis on which to promote a series of strategies and schemes designed to promote more sustainable transport (e.g. TravelWise in the UK).

Where the campaign is linked to a particular project, raising awareness may be intended to increase recognition of the need for the project (e.g. because it is designed to improve air quality), to change perceptions and attitudes, to encourage direct involvement through the various planned engagement activities, or to encourage changes in organisational or personal behaviour.

How to raise awareness of a project or policy initiative?

Awareness raising requires the use of a variety of tools, including the media, advertising, posters, leaflets, and local events. In order to maximise cost-effectiveness and success, it is important to:

- Be aware of your target audience(s) and the messages that are most likely to be recognised and have the intended effect; and
- To link the campaign to a series of local initiatives and events, both to increase awareness and credibility.

Long-running awareness campaigns often have their own identity (logo, cartoon character, etc.) and strap lines - reducing the various issues being addressed by the campaign down to a few simple phrases.

Who do they target?

Awareness campaigns can be designed to target key actors, such as politicians, community leaders, the media, business leaders, public transport operators and interest groups with the aim to:

- Persuade them of the benefits of the campaign and project;
- Build a consensus on the problem;
- Secure a budget;
- Encourage their support of the project; and
- Reduce the chances of opposition.

Running a campaign for the public aims to:

- Increase the public knowledge and awareness of the project and of sustainable transport solutions;
- Encourage public acceptance of the project; and
- Get people to rethink their travel behaviour.

When should awareness campaigns be used?

General awareness campaigns are likely to have started well in advance of this particular project. Where an awareness campaign is directly linked to the project, it should begin as soon as project funding has been secured and the programme of work agreed, in order to raise awareness of the project and the need for it. It is often the starting point for engagement and other marketing activities.

Awareness campaigns can also be used early in the project life to make the goals and content of a project known to politicians, institutions and the public. Changing public attitudes generally takes a considerable amount of time and effort and consequently an awareness campaign might be run throughout the life of the project and well into the implementation stage.



Stakeholders participating in a cycle awareness campaign.

NOTES



Conducting awareness campaigns:

Select audience

Subtypes of campaigns include:

- Awareness campaigns for the public (traffic problems, environmental issues etc.);
- Awareness campaigns targeting key groups and individuals (households, community leaders, politicians etc...); and
- Awareness campaigns linked to projects and events.

Chose concept

Provision of good quality information is the basis for any effective campaign. New technologies like electronic real time information, CD-Rom, trip-planners and the internet play an increasingly important role, but also the provision of written information in different forms remains important. For public campaigns it is of special importance to try to use a wide range of mediums which might include advertisements, leaflets, posters, radio and newspaper articles. The appropriate mix that should be used is an area that requires the involvement of communications expertise.

Some key themes are relevant for all awareness campaigns promoting sustainable transport projects even if the main campaign topic is very specific including:

- A majority of the population is interested in a reduction of individualised motorised traffic; and
- It is possible to replace at least some car journeys by public transport, cycling or walking.

Implement campaign

Monitoring and
Evaluation

Monitoring the campaign includes tracking the content and amount of media coverage, recording and analysing enquiries, but also surveying the attitudes, actions and perceptions of politicians, key stakeholders and the public. Panel surveys can contribute to the monitoring and evaluation of the campaign. Market research techniques are an important source of information but these need to be designed by specialists to ensure that they are providing accurate measures of changes in public attitude.

Practical information

Who participates and how?

Public awareness campaigns should be the combined effort of the entire consortium involved in the project.

How much does it cost?

The costs depend on the number of tools and techniques used in the campaign. Compared with other marketing activities the costs are often spread over the life time of the project.

What skills are required?

Sufficient knowledge regarding sustainable transport is one requirement, the other is a detailed knowledge of marketing, communication and market research techniques.

How is it used with other techniques?

If the awareness campaign is not limited to specific topics of a project it is quite useful to combine and implement it as an integral part of other awareness campaigns for sustainable transport.

What are the drawbacks?

Public awareness campaigns are long-term measures. An overnight change in public attitudes is unlikely although increasing awareness of a problem is often a more achievable first step towards changing attitudes.

Checklist: awareness campaign

- ☒ Keep an open mind about attitudes you wish to influence. The public may be more open to change than might be thought.
- ☒ The campaign has to be customised for the project to which it is connected. Check whether the contents and objectives of the project can be found in your campaign.
- ☒ Did you include more interactive tools (interactive workshops, forums...) in your campaign to establish a dialogue with the population?
- ☒ Did you identify the views of the target groups as a first step to enable you to plan your campaign accordingly?

What is individualised marketing?

The main characteristic of individualised marketing is the dialogue with individuals using customised information, instead of sending the same information to the entire target audience. A key problem for transport organisations has been that providing information to the public has tended to be at the general rather than the specific or individual level. For example, providing the complete service timetable rather than giving residents timetables that relate to the actual journeys they make. Advances in computerised technology has made the latter more feasible at a lower cost.

Another goal of individualised marketing is to support behavioural changes towards using sustainable modes. This can involve a very focused activity, where customised information is given personally to individuals. In this way a greater understanding is obtained of customer needs, and advice can be provided on travel options to encourage the use of sustainable modes.

How to use an individualised marketing campaign?

Individualised marketing involves establishing a dialogue through direct contact rather than through more generalised forms of marketing. Although generalised marketing campaigns for transport projects are important, the particular nature of transport choice decisions is complex and this is where individualised marketing can be beneficial.

Underpinning most individualised marketing campaigns in transport is the idea that there are certain individuals who are more pre-disposed to changing their behaviour than other and that if attention can be focused on these people then there is a greater chance that a change will be affected. For example, in the transport context, residential location, workplace location, etc, have a major impact on behaviour. The key to individualised marketing is to identify these variables and the people that are more likely to change their behaviour, and to

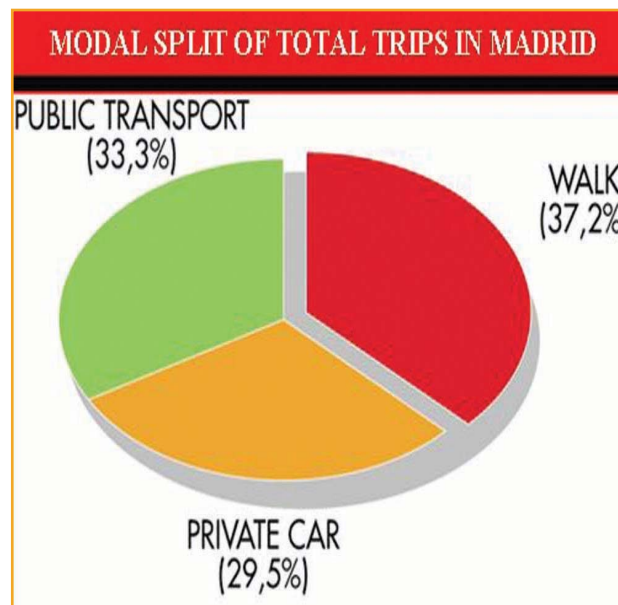
focus and intensive marketing activity such that effort is not wasted.

The majority of individualised marketing exercises will first undertake a segmentation analysis to identify sub-groups. For example, geographic or demographic groups that might be more susceptible to behavioural change. One approach is to identify, through a survey, particular individuals who state a receptiveness towards changing travel behaviour. These individuals can then be approached directly with more detailed information or incentives to try out the new transport system.

When should an individualised marketing campaign be used?

A pre-survey to identify the travel behaviour of individuals before the implementation of a project is used to select people for the marketing activity and to provide base data for a post-implementation evaluation stage. In most cases a behavioural change is the main aim of an individualised marketing campaign and in these cases the campaign has to take place as part of the implementation stage (soft measure project) or after the implementation stage (infrastructure project).

An individualised marketing campaign can also be a 'project' in itself to encourage greater use of existing infrastructure or to assist in the implementation of policy initiatives. The evaluation survey to identify changes in the travel behaviour has to be done after the implementation stage of a project. It is possible to conduct additional surveys later on, to identify long the time effects of a project and/or a campaign.

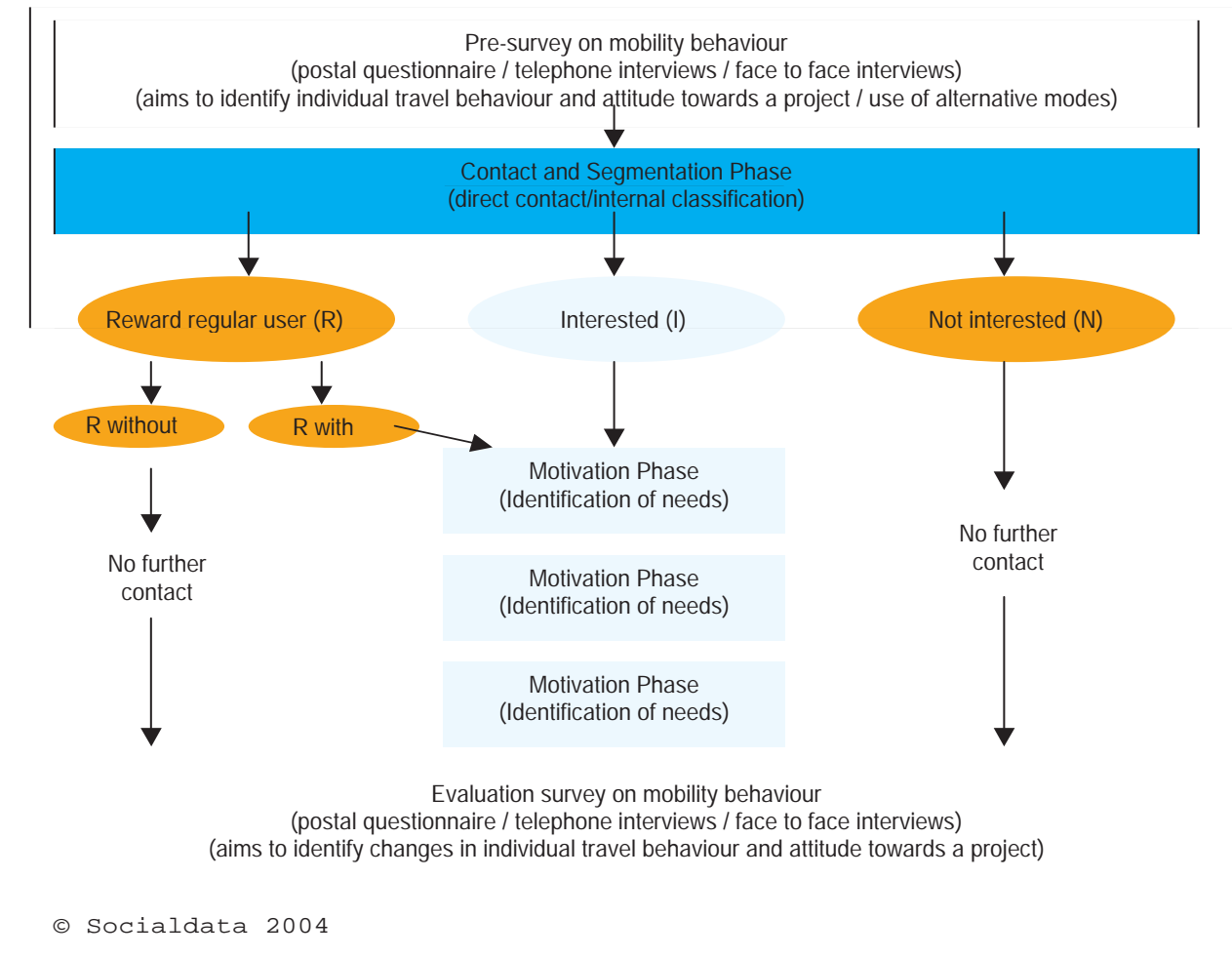


Understanding the modal split for individuals in Madrid, Spain.

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Blank lined area for notes.

Stages of individualised marketing



Checklist: individualised marketing campaign

- ☒ Do you have the necessary logistics (telephone lines, experienced personal, know how, etc.) to conduct an individualised marketing campaign?
- ☒ Did you use the initial survey to identify individuals willing to change their travel behaviour (target group for the actual campaign)?
- ☒ Did you try to involve project partners in the campaign?

Practical information

Who participates and how?

The partner with the most experience of individualised marketing should take leadership of the campaign. If a public transport company is involved in the project, try to involve its employees in the marketing campaign to create personal contacts with its customers.

How much does it cost?

Compared with other marketing tools the costs are higher due to the necessity to create personal contact and to prepare customised information. However, individualised marketing can have financial benefits if the marketing is proved to be more effective in changing behaviour.

What skills are required?

Extensive knowledge about marketing measures are necessary to select an appropriate technique and target group. People responsible for personal contacts need good communication skills and sufficient training. To successfully conduct an individualised marketing campaign, resources such as telephone interviewing facilities are useful.

How is it used with other techniques?

Individualised marketing will most often be used as a targeted technique within more generalised marketing activity. Individualised marketing can be used alongside infrastructure and policy implementation, as well as initiatives that relate primarily to the provision of information. An individualised marketing campaign can also represent a project in itself, to stimulate use of existing environmentally sustainable modes of transport.

What are the drawbacks?

Compared with other marketing measures the costs are relatively high. Besides this, an individualised marketing campaign requires certain logistics, such as telephones or internet access.

What is the elected official's role in transport decision-making?

Elected officials are chosen by the electorate to represent their interests in key decisions. They are the representatives of the community: taking decisions that will benefit local people, and acting as channels for their suggestions and objections. Elected officials, such as councillors, take part in the decision-making process by initiating ideas, or supporting or opposing others' proposals. They do so firstly by shaping the policies of their political parties. Within the work of the local authority, they contribute to debates and vote in council meetings. They may also have a say in appointing officials, drawing up budgets, and forming strategic policies, as well as, approving specific projects. An elected official may also take part in sub-committees and working groups with special responsibilities, e.g. for transport and planning.

What are their interests and priorities?

Elected officials are accountable to the communities they represent. They are public figures, and are usually the first point of contact for a resident with a complaint. This can mean that councillors are familiar with the concerns of people that will be affected by a transport scheme. They may also have a wider perspective on local issues, such as economic and social problems that might have a bearing on the preparation of your project.

A local councillor will usually belong to a political party and consequently will have party policy to consider in any decision-making process. The amount of control exercised by each party over its members varies enormously. Councillors may be given freedom to act according to their personal principles in a given vote, or may face censure if they go against party policy. Their political allegiances can cause problems for transport projects;

they might choose to use a controversial scheme for 'point-scoring' against opponents.

Councillors' priorities can also be shaped by their need to be re-elected, and the timing of elections. Their need to get public approval means they might be keen to see a high-profile project completed before a vote, even if it has to be rushed. While elected officials often get involved in the finer details of a project - through work on a sub-committee or working group - most will be concerned only with the broader picture. They may not fully understand its complexity: why certain measures need to be taken, and the amount of technical or administrative work involved. They can place planners under considerable pressure in terms of time and budget restrictions. However, supportive councillors can boost a project significantly. Their higher public profile can help win government funds, private sponsorship, and public approval.

Managing the role of elected officials throughout your project

It is worthwhile undertaking an audit of political attitudes for the elected officials who may impact on your project. This should indicate the strength of likely support or opposition to a scheme and identify key 'movers and shakers' within the political context as these may be very important at later stages of the decision-making process.

It is important to be aware that the role of elected officials will vary throughout your project. It is probable that interest will fluctuate with the level of stakeholder involvement or opposition to the scheme, and will also be affected by the political process, including the dates of elections and of votes on your project. You should also remember that most elected officials are elected to represent their electorate on a wide range of issues of which transport is only one and there is likely to be considerable pressure on their time.

It is important that you make it easy for them to quickly assimilate the information required to make informed decisions about your project. Presenting a transport project in the context of other social issues and potential social benefits to a politician can increase the level of support for the project.



An elected official talking with local community members about a local transport scheme.

NOTES



POLITICAL DECISIONS

Decisions made by elected officials will affect many aspects of your project, including, but not restricted to, those outlined below. These decisions may be taken by local, district or city councils or by regional or national parliaments depending on the political infrastructure of your country and on the scope, scale and type of your project. It is important to be aware of which levels of government will take crucial decisions for your project and when any key votes or debates will take place.

Planning permission

Decisions to allow construction or changes in land use.

Project finance

Decisions to commit funds to a project, or allow a proposal to proceed to a formal bidding process.

Legal changes

Approval for new laws or procedures to enable a proposed scheme to be implemented.

Political representation
Remember that the interest of elected officials in your project will not be confined to those empowered to take the key decisions affecting it. At all levels of government, the purpose of the elected official is to represent the best interests of the electorate. Often, an elected official may be approached by constituents or by the media to discuss a project, so it is advisable to provide all relevant elected officials (from local councillors to the local members of national or European parliaments) with information on proposals or the development of a scheme.

The influence of elections on the decision-making process

Be aware of the dates of forthcoming elections. These can effect your project in a number of ways:

Before the election:

- It is possible that your project will become a political issue; and
- Politicians will spend considerable time campaigning in the weeks preceding an election. It will be more difficult to expect them to participate in other events during this time.

After the election:

Assess the implications of changes to the political landscape as a consequence of the election:

- There are likely to be some newly elected councillors who are less familiar with the history of your project. Be aware that they will be trying to absorb a lot of new information at this time; and
- Don't forget the former councillors who expressed interest in your project in the past. Their experience is valuable, and they may be able to offer suggestions for improving the scheme from a political perspective.



The mayor of Saarbrücken together with German ministers at the opening ceremony of the Saarbahn project.

Practical information

Who participates and how?

The coordination of the management of the role of elected officials should be overseen by the project manager. It can be helpful for the day-to-day contact with officials to be undertaken by a single staff member to enable a good working relationship to be established. The level of participation in the process will depend on the position of the elected official and their interest in the project. Some elected officials may become very involved, and may act as project champions.

What skills are required?

In addition to the general communication skills required for any staff members in contact with stakeholders, those managing the role of elected officials must have a good awareness of local political structures and practices. It is important to have a good awareness of the motivations which can influence political decision-making.

How is it used with other techniques?

Elected officials may be willing to become strongly involved in events or tools which engage stakeholders in decision-making. Their contribution can be valuable, particularly where the official is a trusted and well-known member of the local community.

What are the drawbacks?

Politicians can become strong supporters of a project but they can also be very high profile critics of a project. Politicians often have strong links with the media and their views can gain considerable attention from the media.

What is the media's role?

The media can play a significant role in informing the public about your project, but the information that they provide is beyond the direct control of the project team. As such, the media can have a beneficial or detrimental impact on the public perception of the project. It should be remembered that the media are interested in a 'story' rather than just the presentation of objective data. The stakeholders may well take a stance on a project's merits based on the media coverage.

Being open with the media can be a difficult strategy to pursue but it is important to provide high quality information for the media. The press office within your organisation should coordinate contact with the media. It is also important that the press office responds very quickly to inaccurate and misleading media coverage.

What are their interests and priorities?

The prime interest of the media is in identifying and writing stories that are of interest to their target audience. The decision as to whether a story is newsworthy and the way in which it is treated will vary depending on how and when a story will be broadcast or published. You can make your story more appealing to editors by emphasising particular newsworthy points, but this needs to be carefully managed, as different news outlets will have different interests. Factors influencing whether a story will be considered newsworthy include:

- The relevance of the story to the local community that is the target audience;
- The availability of personal stories relating to the impact of the project or the problem which it is addressing;

- The relevance of the story to other prominent media issues or stories;
- The distinctions between this story and others relating to the same project or to other similar projects - stories relating to novel projects or novel approaches to engagement are more likely to receive coverage; and
- The level of controversy associated with the project. A further priority for journalists will be the time required to produce a good story. Often, publication or broadcast deadlines are not flexible.

A strong media strategy with good quality press releases and news conferences and an efficient and effective media contact within your organisation can make it significantly easier for journalists to produce accurate and interesting reports quickly.

When should you manage the role of the media?

It is important to prepare your media strategy and to manage your relationship with the media from a very early stage in the project. This establishes the way in which you will communicate with them as the project progresses and helps to ensure that media reports are accurate from an early stage.

Maintaining media and public interest can be difficult, during particular stages of the decision-making process which are time-consuming, but where there is little evidence of progress. Consider emphasising engagement activities or other progress with a press release or news conference, or staging additional events, such as site tours or launches. Try to maintain media interest after the project has been implemented with a press release or news conference discussing the results of monitoring and evaluation of the scheme once it is operating.



A newspaper article in a local paper in Maribor, Slovenia.

NOTES



Forms of media coverage



Internet news sites will generally include a wide range of stories; national websites may be interested in your project even if national television and radio are not. Ask the organisation to provide a link to your project website. Information can be updated or changed relatively cheaply and easily, so check the material regularly and maintain contact with editors.



Radio news bulletins are usually short and feature only a few main stories. Focus on a simple message and don't expect every press release to be broadcasted. Interviews with key figures involved with the project will be beneficial.



Television news programmes will be interested in stories with a strong visual interest, so be aware that they will want to film at construction sites or problem areas (such as, examples of congestion). As with radio, fewer stories are reported than in a newspaper or news website; unless the project will affect a high proportion of the viewers, it may only be reported if it is novel or controversial.



News agencies will look for breaking news, particularly about innovative or controversial projects that are relevant to problems and issues experienced in other areas, both nationally and internationally.



Newspapers cover a wide range of stories and often have a more localised audience than other media. Most local newspapers will report on projects that affect their readers.

Dealing with journalists

Honesty and cooperation with journalists can reduce the likelihood of negative or inaccurate coverage. Have an appointed team member to establish and maintain a working relationship with journalists interested in the project. This ensures that journalists know how to clarify information or request further details. It also ensures that the project media contact knows how and when it is best to stage events. Using a single point of contact avoids contradictory information being provided. For very large projects there may be value in engaging external public relations experts who are used to dealing with large scale projects.

When things go wrong

Even a good media strategy cannot prevent all unfavourable coverage. Consider negative press coverage carefully as it may identify issues that have been overlooked or reflect common misconceptions about the project. It may be appropriate to respond to the article through a letter to the newspaper or through a press release or news conference, but confrontation should be minimised. Clarification of what mitigation measures will be taken or what the project's impacts are expected to be may be beneficial, but dismissal of issues or opinions as unimportant will reflect badly on the project and increase public opposition. If reporting is inaccurate or misleading, advise the journalist or editor to ensure that mistakes are not repeated in future articles. Legal action is costly and damaging and should only be threatened or pursued only in very extreme circumstances.

Assessing a media strategy

| BEFORE | DURING | AFTER |
|--|--|--|
| Have you researched the media you want to target? Do you have the name of one or more journalist to contact? Have you written a press release? Do you have a press pack ready? | Have you explained your story simply and clearly, highlighting the main points? Have you avoided technical jargon? Does your material reflect a human face to the project? | Have you responded to any queries resulting from the media coverage? Have you offered the journalist who covered your topic a new angle on the same story? Or a new story? |

Practical information

Who participates and how?

Engagement with the media will generally be managed by a dedicated staff member or by the press office of your organisation. Other project partners and stakeholders may have contact with the media through news conferences or interviews. For very large projects there may be a need to bring external communications and public relations experts.

How much does it cost?

The staff time required to secure good quality media coverage should not be underestimated but poor media management can be very costly and time consuming and can even lead to the project being cancelled or significantly delayed.

What skills are required?

Communication skills and a good understanding of the project and of media practices are essential for the media contact person in your organisation. Project team members should be thoroughly briefed in media skills and in the project's media strategy before speaking to journalists.

How is it used with other techniques?

Managing the role of the media is an integral part of the media strategy, which, in turn, is just one element of communicating information to the public.

What are the drawbacks?

Communication with the public through the media is indirect, with the editor deciding which stories appear and how they are represented. Stories may be inaccurate or misleading and even if accurate may provoke public opposition.

FS 24: Special interest groups

What is the role of special interest groups?

Special interest groups include any organisations whose members may affect or be affected by your project. This can include a very wide range of organisations and it is important to manage their involvement carefully. Effective engagement with these groups can ensure that a wide range of views are represented and can provide a valuable resource of local or specialist knowledge which can significantly improve the quality of your project. These groups will normally be involved through formal engagement activities, including attendance at public meetings or by inviting representatives to take part in a technical working group. Be aware that some special interest groups can be very vocal and can lead the debate if they are mixed with citizens who do not have a particular focus.

What are their interests and priorities?

The groups involved may have an interest only in your project, or in projects affecting only a small area, or may have a more general interest in transport issues. They are likely to focus on a particular aspect of the project which is of particular concern to them. This may be the impact at a specific location (e.g. residents association) or the impact on a particular mode of transport (e.g. cycling or motoring organisation). Other groups will be concerned with impacts on particular members of society (e.g. disability groups, parent-toddler groups or groups for the elderly). There will also be groups whose interests in the project focus on a particular impact, e.g. environmental impact.

Remember that each group does not represent a single opinion, but rather a group of people with a common interest or affiliation. You should also remember that members of these

groups might be affiliated to more than one of the organisations you include.

Opinions on your project may differ widely across each group. It is important to ensure that the members are sufficiently well-informed about your project to evaluate it in their own terms and according to their own priorities. Representatives of special interest groups may have specialist knowledge in one aspect of your project, but may lack technical experience or expertise in other areas and may be unfamiliar with the procedures involved with the planning of transport project. It is important to inform them about the decision process and their role in it and to explain when key decisions will be made and by whom.

Managing the role of special interest groups

In the early stages, the input of special interest groups can prove valuable in establishing the nature of the problem to be addressed by your project. They can provide a perspective that can add significantly to information which can be obtained from other sources. The input of special interest groups can also be particularly valuable during option generation assessment, as they are likely to offer suggestions and comments based on personal or group experience which can improve the project's design.

It is important to be clear about your commitment to the engagement of the special interest groups from the start. Be honest about what you are asking them to tell you and what you will do with the information. Remember that many of these groups will be interested in other projects carried out by your organisation and that you are likely to want to engage them again in future projects.



University students at a focus group meeting discussing the location of bus stops in Madrid, Spain.

NOTES



Schools

Involving schools in the engagement process will allow parents and children to become involved. This is particularly important if the project will affect the area close to the school.

Business organisations

Local businesses will be concerned about the impact of your project on trade; amongst other things. They are a good source of local knowledge.

Disability groups

Such groups represent people who are often excluded from engagement processes, these groups will also be able to provide practical insight into accessibility issues.

Environment groups

These groups are likely to be interested in most transport projects affecting their area. They can help identify potential issues for your project.

Historical societies

Likely to be interested in projects near to historical buildings or monuments, these groups can help identify sites of special interest.

Special interest groups

Here are just some of the special interest groups which you may wish to involve in your project. The key is to establish contact with all local interest groups and organisations, in order to include the ideas and opinions of a wide range of people. Some will be interested in your project as whole, others will only be interested in a small geographical area, or in particular issues or problems.

Job clubs

This can be a useful way to include those on very low incomes. Be sure to reimburse for any costs associated with involvement.

Transport groups

These groups are often particularly interested in one mode (cycling, rail etc). They are likely to possess detailed knowledge of local transport issues.

Religious organisations

This can be an effective way to contact individuals from minority groups who would normally be less likely to get involved in the engagement process.

Residents associations

Likely to be interested in all projects affecting their area, these groups can be a good way to obtain local insight and knowledge of the local area.

Unions

Where there is a major employer likely to be affected by your project, find out if there is a union spokesman able to represent the views or concerns of the employees.

Checklist: identifying special interest groups

- ✓ Have you involved a wide range of groups? This should represent the stakeholders affected by the project.
- ✓ Have you identified a contact person for communicating with each group?
- ✓ Make sure you are proactive rather reactive to contacting these groups.

Checklist: engaging with special interest groups

- ✓ Do you know when the group meets? Have you asked whether they would like you to attend a meeting to discuss your project?
- ✓ Have you obtained views representative of the group, or just of one person?
- ✓ Have you considered the special needs of your group for engagement activities? This includes arranging or reimbursing child care, providing transport.

Practical information**Who participates and how?**

Engaging with special interest groups is a key part of your engagement strategy. You will need to decide whether it is sufficient to contact only one or two spokespersons for these groups or whether you should survey opinions within the group more widely. You will also need to select techniques appropriate to each group.

How much does it cost?

The cost of engaging stakeholder groups will depend on the type and scale of your engagement exercise. Engaging more groups may be more expensive, but it is important to include a wide range of perspectives.

What skills are required?

General written and spoken communication skills are essential, as well as management skills to maintain contact once it has been established. You may need to use translators for work with some minority groups.

How is it used with other techniques?

Identifying and maintaining contact with a range of stakeholder groups can be used to select participants for engagement activities to ensure that a range of backgrounds are represented.

What are the drawbacks?

Management of relationships with a large number of groups can be time-consuming if information is to be kept up-to-date. It can be difficult to ensure that the views represented are not those of only one or two individuals within the group. Groups can also be used to build opposition for a scheme if it is seen to go against their interests.

What is the role of opposing groups?

Those opposing a project, or a particular aspect of it, can represent a significant obstacle to its progress, causing delays, major modifications, or even the eventual failure of the project. Opponents may seek to prevent the project, or be aiming to achieve substantial modifications to the objectives or to the proposals. Opposition to a project can spread rapidly, particularly if any misunderstandings are left uncorrected. This effect can be reduced by ensuring that people receive clear and accurate information on the project and so are able to make their own informed decisions.

Remember to pay attention to what those opposing the project are saying. Constructive criticism could significantly improve your project, or even lead to it being replaced by a more effective measure. Simply hiding from opposing views will not mean that they will go away and aggressive confrontation can strengthen the position of the opponents.

What are their interests and priorities?

The interests and priorities of opposing groups will vary significantly according to their reasons for opposing the project. Some may be entirely opposed to the project in principle, and are unlikely to accept a compromise solution. Others may be opposed only to a certain aspect of the project.

Listening carefully to the views of opponents can provide very valuable information about their concerns and interests, and is an important source of ideas for improving the project.

The level of organisation of the opposing groups will affect the way you negotiate with them. For larger or more controversial projects, several groups and individuals may form an organised opposition, often uniting very diverse interests and priorities. Some opposition to the project may be politically motivated. It is important to recognise when politicians are using their

opposition to the project to raise their political profile. This can occur when a project is perceived to be controversial or to be opposed by certain sections of the electorate. Political motivation may be enhanced at election time, when the project may become a campaign issue.

Some groups may have an established platform from which they are opposing the project. These may include motoring organisations or groups concerned about local or global environmental issues.

Including these groups at an early stage in discussions can often help to avoid opposition at a later stage, as it demonstrates that their concerns have been considered. It will also reduce the likelihood of such groups disrupting public meetings and other engagement events.

Managing the role of opposing groups throughout your project

It is important to be aware from the beginning of your project which issues are likely to be controversial or widely opposed, and to plan for how you will handle any opposition. Direct engagement with likely opposing groups at the outset can help these concerns to be identified and addressed in the early planning and design stages, to minimise later problems.

Effective management of opposition at key points in the process (such as during option selection or when the project is seeking financial backing or planning permission) is also important. Try to avoid the project becoming a political issue, or it may be rejected for the wrong reasons. To do this, it is important that key figures in the decision-making process are given clear and accurate information from an early stage, and that this information is presented objectively.

But, in a few cases, this may not be sufficient and it may become necessary to invoke formal mediation and negotiation procedures (see FS 29).



Protest from local restaurant owners and employees against the temporary inner city ring road closure in Cologne.

NOTES



Communicating with opponents

Deal with complaints and opposition to the project calmly and efficiently. Often it will be possible to provide reassurance or correct misconceptions and avoid the issue becoming more serious. It is always important to identify the reasons for opposition.

Handling a written complaint

Always respond promptly to written complaints. Failure to do so will only increase dissatisfaction. If you cannot respond in full immediately, write explaining why. Make a commitment to follow-up with further information and be sure to meet this commitment. Do not use a standard form letter to reply to criticism about a project. Thank the complainant for taking the time to write to you about the project and answer all their concerns clearly. You may need to correct factual errors in the original letter, but do this politely. Explain how their comments will be included in the decision-making process.

Dealing with opponents in person

Some people may be strongly opposed and may confront staff at public events. Listen to what they have to say. Explain how they can become involved in the decision-making process.

Dealing with opposition in meetings

Make sure people are aware of the meeting's agenda and when they will be able to express their views. This can reduce disruption at other times. When there are opportunities for contributions, do not try to silence those who oppose the project, but do ensure that the debate is not dominated by one or two individuals. Also, be prepared to respond to complaints and have evidence to support your statements.

Dealing with opponents by telephone

Make sure that your staff are prepared to deal with calls from people opposed to the project. It is important that staff have a good understanding of the project and its likely impacts and should remain calm if the caller becomes distressed or angry.

Typical reasons for opposing the whole project

'There is no problem to be addressed'.

'There is a problem, but this solution won't work'.

'This solution will solve this problem, but will cause other problems'.

'There is another solution which would be cheaper/better'.

Typical reasons for opposing one aspect of the project

'The project should be bigger/smaller'.

'The site is environmentally or historically important and the route or location should be changed'.

'Local residents/businesses should be exempted from the scheme or receive compensation'.

'The scheme follows the wrong route'.

Checklist: managing opposition to the project

- ✓ Have you identified the different reasons for opposition to the project?
- ✓ Have you provided information clearly to allow any inaccurate assumptions to be corrected?
- ✓ Have you established the level of opposition (e.g. through a survey)?
- ✓ Have you told opposition groups and individuals how they can participate in the decision-making process?
- ✓ Have you used comments, complaints or suggestions to improve the design of your project?
- ✓ Have you responded promptly and thoroughly to all complaints about the project?
- ✓ Have you avoided allowing the scheme to become a political issue?

Practical information**Who participates and how?**

Opposition may arise from any individuals or groups who will be directly or indirectly affected by the project. All partners in the project should familiarise themselves with the basic principles for engaging with opponents, as one confrontational incident that is badly handled can have considerable adverse repercussions. It is particularly important that staff involved in engagement activities are suitably equipped to listen to concerns and discuss complaints.

How much does it cost?

Good management of relationships with those opposing the project does not need to incur any significant additional costs. It is principally about following best practice in general engagement with stakeholders. If staff involved in engagement activities are unfamiliar with handling opposition, or if the project is particularly controversial, then a short training course may be a worthwhile investment.

What skills are required?

As with any engagement activities, good general written and spoken communication skills are essential. In addition, the ability to listen and to remain calm in potentially confrontational circumstances is extremely important.

What are the drawbacks?

Poor relationships with opposing groups can increase resentment. Any confrontation can deter other stakeholders from participating in future engagement events, and can also lead to unfavourable media coverage, which will further worsen the reputation of the project.

FS 26: Expert advisors

What is the role of expert advisors?

Expert advisors will be included in a project at various stages in the decision-making process to offer advice to the project team. These advisors may include people with:

- Specialised knowledge relating to one subject;
- Extensive knowledge of the local area;
- Extensive knowledge of the procedures which apply to your project;
- Experience of implementing similar projects elsewhere; or
- Knowledge gained from studying the decision-making process.

Drawing on the expert knowledge of these individuals is essential to ensure the highest quality of project delivery and to ensure that mistakes made on previous projects are not repeated. It can also reduce the overall workload, as an expert may be able to provide more efficiently specialist information or identify issues or priorities associated with a project.

What are their interests and priorities?

Most expert advisors will be involved in the project as a result of their knowledge or experience in one aspect of the process. The priority of expert advisors should be quality, particularly with regard to their subject of expertise. They will be involved in the project to provide their knowledge and to recommend a best practice approach in their specialist area. This can make it difficult to identify the most appropriate option when other concerns, such as time or cost must be included. However, it is important to make advisors fully aware of any constraints relating to your project while they are considering their recommendations such that they maintain a realistic perspective on what can be achieved.

There may also be issues of conflicting recommendations either from experts in the same field, or between fields of interest. It is important to remember that each expert will provide his or her educated opinion on issues that they are asked to consider, and that opinion will be shaped by their personal and professional experience.

Asking experts to indicate their level of confidence in making each comment or recommendation can be useful when you are collating a range of expert opinions. When the recommendations of different experts conflict, the project team will need to establish priorities for the project and use these to reach a conclusion.

Managing the role of expert advisors throughout your project

There should be some level of involvement of expert advisors throughout the decision-making process as this can often avoid costly mistakes. It can also provide reassurance that key issues have been considered in the planning of your project. During scheme definition and option generation, the contribution of people with extensive experience of transport planning in other cities or areas can vastly increase the range of ideas considered.

Experts will also be able to identify which of the options should undergo further exploration and which are unlikely to be successful in your particular context. At the stage of option assessment the role of technical advisors is particularly important. Advisors from a number of disciplines can each assess the merits of the options under consideration. This can allow the advantages and disadvantages of the different options to be considered for a range of criteria and enable people to make an informed decision. Expert advisors can also provide guidance on how to monitor and evaluate certain impacts of the implemented project.



An expert advisor facilitating a project team meeting.

NOTES



Skills and expertise

Expert advisors can contribute significantly to many key tasks in the project, including:

Identifying techniques for effective stakeholder engagement

Identifying innovative design ideas or construction techniques

Interpreting the outputs of engagement activities

Understanding environmental impacts

Understanding economic impacts

Understanding impact on traffic flow

Understanding links with other projects

Identifying and avoiding potential barriers

Understanding impacts on social exclusion

Checklist: managing the role of expert advisors

- ☒ Have you involved a wide range of experts in the project?
- ☒ Have you explained to the experts how they will be involved and when?
- ☒ Have you made sure that the comments of the experts are interpreted accurately and are clearly understood by yourselves and by other stakeholders, including elected officials, the media and members of the public?
- ☒ Have you arranged how (and when) the experts will be paid for the time they contribute to your project?

Making sure experts are understood

Technical language

Experts may from time-to-time use highly specialised technical words or acronyms which are commonly used within their industry, but may not be understood by outsiders. Some words may have a different or more precise meaning in the technical context than in everyday use. It is important to consider this when planning how information from experts is passed to non-experts.

Experts at meetings

If you are arranging for experts to speak at a meeting or event, make sure they are aware of the level of knowledge they can expect from their audience. Ask them to explain any terms which might not be familiar to the audience. It may be helpful to prepare a fact sheet explaining the key terms likely to be discussed at the meeting, but make sure that people are given time to read this in advance.

Reports by experts

Be careful with internal reports produced by experts, as these may not be appropriate for distribution to non-experts, including elected officials, who may be asked to make a decision based on the content of the report. If necessary, prepare a summary of the document which identifies the key points and explains them clearly. Alternatively, it may be possible to provide an introductory document with the background information required to understand the main report. Before this is distributed, make sure that it is checked by the expert, to ensure that their comments have been interpreted accurately, and by a non-expert in the subject to ensure that the summary is easy to understand.

Taking comments in context

It is essential to make sure that the comments of experts are represented accurately. Sometimes a statement will be given along with a large amount of qualifying information which limits the context in which the statement is true. Don't ignore this information. Be aware that others (including the media, elected officials or those opposing the scheme) may interpret the expert opinion differently, particularly if public statements are unclear or ambiguous.

Practical information

Who participates and how?

The range of experts you include will depend on your project. Identify a team member in your organisation to manage the relationship with each expert. Choose someone from a relevant department (e.g. someone from the planning department to liaise with a planning expert) but do make sure that information from experts is shared effectively between departments.

How much does it cost?

Experts are often employed on a time and resources basis, charging a daily rate. For some professionals these rates can be very high, so use their expertise sparingly include a cost limit in the contract.

What skills are required?

You will need to ensure that technical issues or recommendations are communicated effectively. This is an important skill, which requires the ability to write and speak clearly and to explain technical concepts using non-technical language.

How is it used with other techniques?

As well as contributing ideas to the project, expert advisors can play a particularly useful role in engagement activities involving panel discussions. The media may also wish to include interviews or quotes from your technical advisors in their reports.

What are the drawbacks?

If a recognised expert in a certain field publicly criticises your scheme, this can raise opposition. Difficulties can also arise when experts disagree.

FS 27: Identifying issues for engagement

Why identify issues for engagement?

If the views of stakeholders are to be fully incorporated within the decision-making process it is essential that the engagement strategy is inclusive, open and reaches out to those who wish to express their opinions.

The engagement strategy should be flexible and should be designed to explore the issues that might generate concerns and opposition amongst stakeholders, as well as, those for which stakeholders may be able to offer suggestions for improvement or change. It is important that very early in the project life the project team identifies as many of the issues as possible that could create controversy during the life of the project such that the engagement activities can be appropriately designed and the reactions evaluated.

How to identify issues?

Once the project has begun, it will be possible to identify contentious issues as part of the stakeholder engagement and media activities. However, specific market research or professional inputs will be needed to identify a preliminary range of issues to be taken into account by the project management team.

At a very early stage of the project life it is necessary to undertake a review of the range of issues that the project is likely to generate. This requires a good local knowledge as well as a thorough understanding of the transport, social and environment context in which the project will take place. This review can involve internal, as well as, external expertise. This process will provide a starting point for the development of an engagement strategy and will evolve over time as the outputs of the engagement activities are assessed.

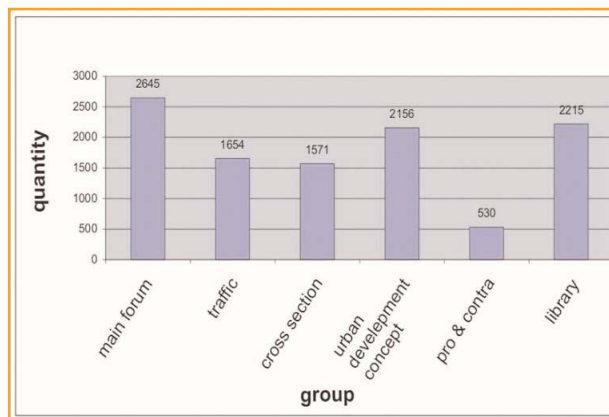
Identifying issues through engagement

There are many techniques that can be applied as a part of an engagement strategy. For example, where large and costly engagement activities are planned, such as surveys or exhibitions, the use of techniques such as focus groups can be helpful in refining the content of these activities. Focus groups amongst stakeholders can provide a valuable insight into the range of issues that are held amongst these different groups. This will help in the design of material for other more structured forms of engagement, such as quantitative surveys. Most engagement strategies will contain elements which explore the range of issues that are of concern to people (open-ended techniques), as well as identifying how these concerns or issues are distributed within the population as a whole.

When should you identify issues for engagement?

The initial identification of potentially contentious issues should take place before the start of the project, as part of the development of the engagement strategy. This should identify the types of issues that might be raised, by which stakeholder groups, and consider the type of response that could be made.

Once the project commences, there will be various sources through which the issues that need to be addressed by engagement will become apparent. These are wide ranging and include: media articles, letters to newspapers, complaints and comments received by the promoters or the project management team, and comments made during engagement events (e.g. public meetings). Issue identification forms part of the on-going monitoring process, and will need to be carried out from the start of the project to beyond the project implementation stage. It needs to be closely linked to the project management activities that respond to issues raised.



Results from an engagement activity, indicating to the project team what the stakeholders views are.

NOTES



Identifying issues for engagement

The issues associated with a transport project can be very wide ranging. Some possible project management and engagement issues are outlined here. Many of these can be addressed through good management and communication. See 'FS 25: Opponents' for other issues that may be raised in the course of a project.

Project management issues

Concerns with the project management process can become significant issues and cause major media and public debate, which can divert attention from the objectives and impacts of the project itself. Possible project management issues include:

- A perception that resources are being used inefficiently or inappropriately, particularly on publicly funded projects;
- Concerns about the involvement of contractors or financiers previously associated with ethically or environmentally controversial projects;
- Evidence or allegations of political corruption, particularly with regard to the awarding of contracts or of planning permission;
- A perception that the project management is distant for the stakeholder concerns and aspirations; and
- Concern that the project is overly concerned with technical or even academic issues rather than human and social concerns.

Engagement issues

Problems can occur as a result of badly designed engagement strategies and the ways in which stakeholders have been involved in the engagement activities. The engagement issues include:

- A lack of ownership of the project, typically characterised by a feeling that it has been imposed by transport planners with little input from the local community;
- Unrealistic expectations of the engagement process, which may either lead to a reluctance to become involved due to lack of faith in the ability to influence the project or disillusionment with the process due to a perception that all major decisions had been made before engagement began;
- Fear that the engagement process will be or has been dominated by certain organised stakeholder groups;
- A lack of feedback to stakeholders from the project team on the decision-making process and the impact of engagement on these processes; and
- Lack of trust in the project management or in politicians.

Assessing your identification of issues

| BEFORE | DURING | AFTER |
|---|---|---|
| Have you identified the issues you expect to arise and adapted the project and the engagement process to ensure that they will be considered? | Have you consulted a wide range of stakeholder groups in order to resolve or mitigate identified issues? Has the engagement process revealed any further issues that require engagement? Have other decision-making processes or external factors (such as legal or political changes or research outcomes) raised new issues relevant to your project? | Were engagement activities successful in achieving their objectives in terms of the resolution or mitigation of issues or the reaching of consensus? Have those people who were involved in the engagement activities been thanked and informed about the outcomes of the engagement? |

Practical information

Who participates and how?

Often, the project management team or other project partners will undertake the identification of issues for engagement. Broadening this process to include a wider range of stakeholders (through small groups techniques, such as focus groups) can significantly improve the identification of the issues likely to cause concern at later stages of the project and so can improve media, marketing and engagement strategies, the design of project options and the prioritisation of characteristics during project appraisal.

How much does it cost?

Issues identification can be significant but failure to take full account of the concerns of stakeholders in the engagement process can result in project delay or even cancellation.

What skills are required?

Identification of the priority issues for engagement requires a thorough understanding of the local community and of the potential social, economic and environmental impacts of a transport project. Above all, it requires a good awareness of the issues that may predominantly concern those who are less likely to participate in conventional engagement processes, to ensure that their views are not overlooked.

What are the drawbacks?

Failure to identify issues and target engagement appropriately can lead to increased opposition to the project. This can be particularly damaging when a failure to adequately explain an issue results in opposition to the project based on inaccurate or incomplete knowledge (for example, where there is resentment towards a privately funded project on the mistaken assumption that the project has been financed from local or national taxes).

FS 28: Managing outputs

What are outputs of engagement?

The wide range of potential engagement tools available to the project management team can result in a broad range of quantitative and qualitative outputs, varying both according to the form of stakeholder engagement and the stage in the project decision-making process at which they are used.

Engagement is about achieving better outcomes, which might include: an increased sense of local ownership of a project, improved community relations, more effective implementation of the project and an overall improvement to the quality of life in the area affected by the project.

Applying outputs of engagement to project issues

The outputs of engagement can be analysed and processed as appropriate to identify the key areas of concern. This can improve understanding of the issues, including the different motivations for public opposition to a project or to aspects of it, and can be used to inform further engagement or communication. Comments received through engagement can also include valuable suggestions for addressing issues or for avoiding them in future projects.

The outputs of engagement may take many different forms and include: quantitative and qualitative research data, letters from stakeholders, minutes of meetings, telephone calls, feedback forms from websites and even the content of informal discussions with stakeholders. Bringing together all this information is a complex and subtle task.

Applying outcomes of engagement to project issues

Local communities and other stakeholder groups will have been involved to varying degrees in a range of transport and other projects in the past, which will have resulted in a history of engagement practices and attitudes to local authorities and other decision-making bodies.

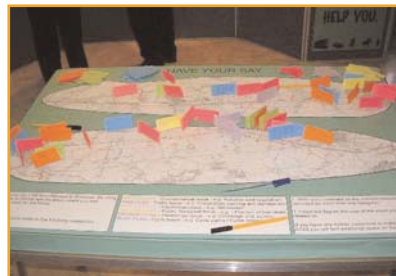
Where historically engagement has been limited or poorly handled, the project management team will start with a hurdle of negative experiences and expectations to be overcome before constructive involvement can occur. In such cases, public meetings may appear very hostile events, where people give vent to their anger and frustrations regarding previous experiences. Conversely, if your project takes stakeholder engagement seriously, and this is recognised and respected by those who take part, then it will leave a positive legacy for future projects to capitalise upon.

When should you use the outputs and outcomes of engagement?

Outputs of engagement should be processed quickly to enable ideas and opinions of participating stakeholders to influence project decision-making during any of the stages. It is also essential to provide feedback on engagement activities to participants explaining how their contribution has benefited the project. Publicising the outputs of engagement and the way they have influenced the project can reassure those affected by a project that their concerns have been considered.

The outputs of engagement activities may also prove instructive for identifying and quickly resolving possible issues for future projects of a similar type or in a similar location.

Monitoring and evaluation of the project should consider the wider outcomes of engagement, such as an improved sense of community identity.



Examples of outputs gained from interactive engagement activities.



NOTES



Applying outputs and outcomes of engagement

Applying outputs

IDEAS

The outputs of engagement can include a range of ideas or suggestions from stakeholders, which can include suggestions for: improved designs for the current project; new or alternative projects that may better address existing problems; measures which could remove or alleviate current transport problems without major infrastructure changes; or improvements that could increase the accessibility or popularity of existing or future transport systems. These ideas should be identified from the engagement outputs, and passed on to other relevant organisations or individuals, if appropriate.

OPINIONS

It can be difficult to assess the weight that should be attached to opinions given in engagement activities fairly and objectively, as inevitably more vocal participants tend to dominate discussions, and the voice of one participant cannot be assumed to be representative of others. Opinions cannot be used to draw firm conclusions regarding the views of all stakeholders, but can provide a guide for the identification or interpretation of issues relating to a project.

STATISTICS

Survey results and opinion polls can provide statistical evidence of the levels of public feeling relating to certain issues associated with a project. If the survey has been well designed and a suitable sample questioned, this evidence can be used to support the decisions of the project team. Obviously, if the survey shows an issue to be a major public concern, this may require additional effort to resolve it successfully.

Applying outcomes

OWNERSHIP

One objective of engagement is to encourage attitudes in a positive way regarding the ownership of the project. To achieve this it is essential that the opportunity to participate in the project is extended throughout the community and that substantial feedback on the role of engagement is provided. The sense of ownership will be increased if there is a clear stakeholder influence on the development and appraisal of options, even if option selection remains a political decision.

KNOWLEDGE & ACCEPTANCE

Another outcome of engagement is an increased level of knowledge among participants regarding the project and the transport decision-making procedure. This may lead to an improved understanding and acceptance of political decisions, particularly where participants become more aware of the reasons for certain decisions being taken. It may also lead to a desire for increased access to information relating to transport projects and other related areas.

TRUST

Providing clear and honest explanations of how and why the outputs of engagement have, or have not, been applied to the project can gradually increase the level of trust in the project management and local authorities. This can lead to a less confrontational atmosphere, making stakeholders less likely to assume that recommended projects are inappropriate and instead more likely to consider each proposal on its own merit.

Practical information

Who participates and how?

The integration between engagement outputs and outcomes and project issues must be coordinated between the engagement team and the project management team.

How much does it cost?

The costs of collating and interpreting the outputs of engagement should not be underestimated. The cost of the collection of data and its subsequent analysis should form a part of the budgeting of the engagement strategy.

What skills are required?

The analysis of outputs from engagement activities is a highly complex activity. It requires a range of skills which include the ability to interpret quantitative and qualitative data, and the experience to balance potentially conflicting information.

What are the drawbacks?

Unless outputs of engagement can be successfully applied to addressing project issues, the long-term benefits of engagement will be minimal, and the resources invested in the engagement exercise will have been wasted.

Successful application of outputs does not necessarily mean changing a project design to meet a stakeholder demand; it can be as simple as identifying issues requiring further explanation in the media or through other communication techniques. Many of the positive outcomes of engagement depend on improving confidence in the decision-making process and will be lost if responses received are simply ignored.

FS 29: Third party mediation and negotiation

What is 'mediation'?

Mediation is a conflict-resolving procedure that was developed in the United States in the sixties and seventies and has been successfully applied in many areas since then. Mediation or 'negotiation', tries to find a solution acceptable to all persons involved. Important characteristics of mediation are:

- Involvement of all conflicting parties;
- Mediation is carried out by a neutral third party;
- The participation of individuals is voluntarily and self-determined;
- The purpose of negotiation is consensus-oriented, to find possible compromise 'solutions';
- The process is informal, and may replace or supplement formal conflict procedures (e.g. legal proceedings); and
- Mediation can take place within many types of forum (e.g. round tables, workshops, working groups).

Why is 'mediation' useful and what are the benefits?

Mediation can help to overcome the tendency in some situations for the transport decision-making process to be 'one-sided'. It also encourages a more holistic view of problems and can provide an equal balance of power through direct involvement. Mediation helps:

- Resolve differences without resorting to legal proceedings;
- Facilitate agreement and address the primary concerns of those involved;
- Local residents and/or interested groups to work together to smooth the implementation of a project;
- Obtain agreement without an organisation imposing an unpopular decision; and
- Directly engage project opponents or organisations, as an equal participant.

Aspects of successful 'mediation'

To ensure successful mediation/negotiation proceedings, the following conditions need to be satisfied:

- The willingness of all participants to learn from the process and to be self-critical;
- Participants need to be open to negotiation and modification of viewpoints;
- All persons involved must be able to participate on an equal basis;
- In some cases it is helpful to make an expert advisory service available to all the non-professional groups involved; and
- Expert knowledge must be introduced into the discussion in an understandable way.

Mediation may be helpful under a range of different circumstances. The need for negotiation may not be evident until a highly explosive situation has emerged, while at other times mediation might be used to avoid potential conflict situations.

When should you use 'mediation'?

Mediation is most effective when other less formal consensus-building methods fail and the conflict cannot be easily resolved, perhaps leading to the possibility of expensive and time consuming legal procedures. The mediation process can help to find amicable solutions which are agreeable to all the different interest groups.

While the mediator helps to encourage all the interested parties to agree to a 'solution', it is ultimately the responsibility of the interest groups themselves to find the best way to resolve their problems and to work out an acceptable compromise solution.

Mediation can be used to help resolve conflicts in almost every field, including transport projects. However, more general projects which are less specific or focussed (e.g. developing a local transport plan), are less suitable topics for mediation, which works best in the context of a well formulated transport scheme, where the processes and outputs are clear to all.



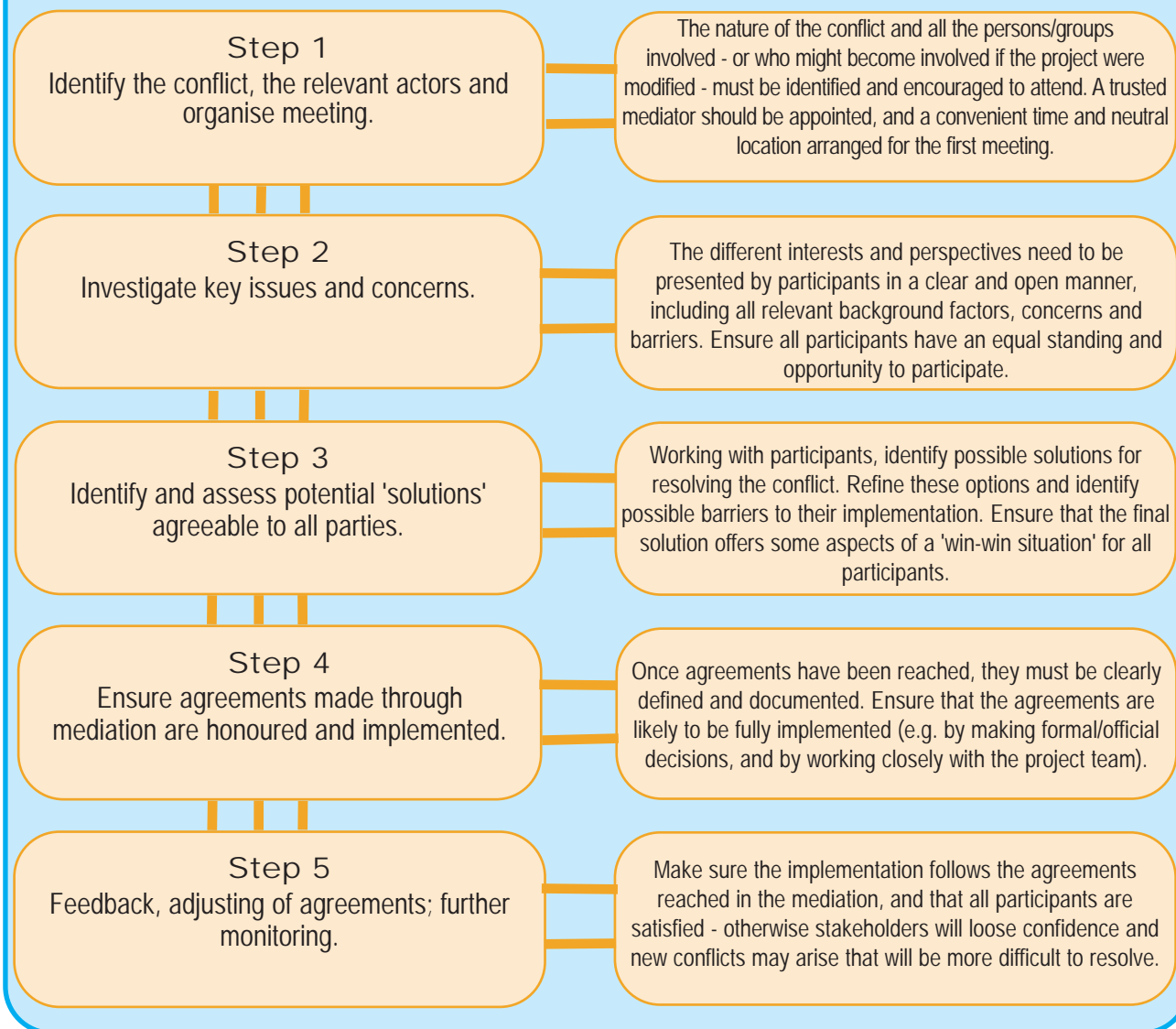
Stakeholders agreeing on a direction forward.

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How it works: steps for 'mediation'

Mediation is usually accomplished during a series of face-to-face meetings. All participants should be given equal status during the process and be encouraged to present their views on each issue. The main steps of a mediation process are:



Practical information

Who participates and how?

Typically, national and municipal bodies are the initiators of mediation procedures. But it is essential to include all potential stakeholders in establishing the dispute resolution process: these may include local residents, local businesses, regional interest groups, elected officials, and other government organisations. Ensure that you find neutral mediator, who is trusted by all the participants.

How much does it cost?

The costs for such a procedure (e.g. external venue, external mediator etc.) can be considered to be quite high, both in terms of money and the time required, particularly for those with small budgets or on a tight schedule. However, this has to be put in the context of negative impacts of the on-going conflict (both on the project team and more widely through the media), and the risks of legal proceedings.

What skills are required?

Mediators are highly skilled and must:

- Be neutral, open-minded, unbiased towards each participant;
- Be reliable and perceived to be trustworthy;
- Manage the procedure and have responsibility for monitoring implementation;
- Have knowledge and experience in communication techniques, in negotiation and in conflict management;
- Be able to facilitate constructive dialogue; and
- Help develop potential solutions to the conflict which can benefit all parties.

What are the drawbacks?

Individuals and groups must be willing to negotiate with others - this can be difficult for people who feel passionately about a particular issue. Where this condition cannot be met, in some cases it may not be possible to find an acceptable solution.

Contextual factors: institutional, legal, financial barriers

It is not possible to plan and implement transport projects without taking into account the institutional and legal context in which the project has to operate. Despite all harmonisation efforts of the European Union this background/context still strongly differs from country to country. These factors set the scope of the project. They cannot be avoided or overcome like other barriers. But it is important to identify them early on in order to match the work plan from the outset with the respective requirements. Only in rare occasions is it possible to use a project to change one of these factors. For example, by introducing a new law that makes the implementation of sustainable projects easier or by creating new/improved institutions that make the planning process easier. Another possibility to 'widen the scope' are new ways of financing such as a private-public partnership (PPP).

How to deal with these barriers?

The best way to deal with contextual factors is to identify them early on and to plan the project accordingly. Always keep in mind that it is much easier to implement sustainable transport solutions if: there is public support for these initiatives, there is economic growth, and low levels of unemployment. Early identification of conflicting interests helps to minimise their influence on the planning process. The same goes for an early involvement of experts on legal and financial issues and those representing opposing interest groups.

Institutions involved in the process of planning and implementing transport projects usually have quite rigid and well established organisational systems but may find it difficult to undertake these activities at a fast pace. One solution is to introduce a new project management structure that can cut across bureaucratic delays. It can help to enlist the co-operation of project champions across the organisational

structure. There are some common rules that apply for minimising the affect of different legal barriers, such as finding out at the start of a project what the legal regulations surrounding your project are, by following the existing regulations as strictly as possible and by planning your project according to these regulations.

A contextual financial barrier would include the impossibility of obtaining the required funding. This may result in the need to look for other fund raising mechanisms. During the life of a project it may become necessary to seek additional funds and it is best to have in place, early on in the project life, strategies for obtaining additional funding, if required. All contextual factors can be a reason for the development of conflicting interests during a project and also the background for the development of management and communication barriers.

When will institutional, legal and financial barriers arise?

Institutional, financial and legal barriers provide a context in which the whole transport decision-making process takes place. Most of them will be in existence before the project planning commences, and should be fully identified during the initial Scoping Phase of the project (see Section 2, Volume 1). This may require inputs from specialists, for example, in relation to the regulatory and legal framework, or in terms of understanding funding regimes and constraints - both on when and how funds can be spent.

In some cases, contextual barriers may be so severe as to prevent the development of a transport project; for example, charging drivers for using existing roads is not allowed in many urban areas. In other cases, the Scoping work may identify potential problems that should be addressed in more detail in the detailed Preparation Phase, before the main project commences. For example, it may be necessary to establish special joint working arrangements with other agencies.

Once the main project commences, then contextual barriers may again influence the progress of the work. It is also necessary to be aware that some contextual barriers may change during the course of the project (e.g. new legislation, or funding regulations) - which can either assist or hinder progress.

Stages where such contextual barriers can emerge include:

- Institutional barriers mainly come up during the decision-taking stage when it is necessary to mediate between the interests of different institutions in order to come to a decision;
- Legal barriers can come up at the option generation stage (e.g. failure to gain planning permission), or during/after implementation, when the effects become visible and opposition groups go to court; and
- Financial barriers often come up during implementation as this is the project stage with the highest costs, especially in case of major infrastructure projects.

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Overcoming institutional barriers

Differing or colliding interests of the involved institutions often cause major problems in the decision-making process, therefore it is important that the project manager and the management board have a clear understanding of the interests of the different institutions involved and how decisions are made in these institutions. This allows an early identification of upcoming problems and enables the project partners to understand and influence decisions in these institutions. In this regard, problems between different institutions are easier to overcome if a clear differentiation of responsibilities and tasks exists from the beginning or is agreed on during the early project stages by all stakeholders.

A radical approach to avoid and limit institutional barriers is the creation of project specific institutions for the planning and/or implementation of a project. While this approach is not possible for all kind of projects it is sensible and is often used for the implementation of major infrastructure projects.

A failure to overcome institutional barriers can lead to management and communication barriers, as these three barriers are closely associated.

Overcoming financial barriers

To overcome financial barriers it is advisable to plan your budget with unexpected barriers in mind, reserving funds for such problems. Convincing decision-makers of this necessity may be difficult, but it is more efficient than to wait until financial problems arise and then be forced to ask for additional money. Prediction of project costs, the skill to allocate an adequate budget to all project stages and tasks, and a close monitoring of expenditures are important ways to avoid and overcome financial barriers.

Despite all efforts and skills it can be the case that the budget for a stage or task is overspent. In these cases it is necessary to react flexibly, by shifting funds, start actions to reduce expenditures or request new funds. Improved of fund raising mechanisms and new funding sources play an important role.

Overcoming legal barriers

Legal barriers are often the result of conflicts between personal interests and common goals. For example, in infrastructure projects when the implementation of the project requires the purchase of private land. The best method to limit these barriers is to plan as much of the necessary infrastructure on public owned land as possible.

Sometimes it is not possible to implement a project without confronting existing legislation. This problem can be more significant for sustainable transport projects as the existing laws are not always up-to-date and consistent with the objectives of sustainability in transport planning. In such cases the law will need to be modified or changed. To do this successfully it is necessary to be aware of the legal problems from the beginning, to have strong arguments and to plan the project allowing enough time for to change the law.

Checklist: overcoming institutional, legal and financial barriers

- ☑ Does your project organisation facilitate the smooth co-operation of all partners involved? Do not exclusively rely on existing structures, they may be inappropriate.
- ☑ Does your project management team have sufficient knowledge of the relevant institutional and legal background for your project?
- ☑ Have you established procedures that provide all relevant information on the institutional and legal background at the outset of the project?
- ☑ Did you check the legal and financial background with the legal and financial departments of your organisation?
- ☑ Have you ensured that the required financial resources are delivered as agreed and in due time?
- ☑ Have you looked at comparable projects and how they tackled the limitations that are a problem in your project?

Practical Information

Who participates and how?

Experts for institutional, legal and financial issues and representatives of conflicting interest groups should be involved from the beginning of the planning process to provide input for their field of expertise.

How much does it cost?

To invest in the overcoming of contextual barriers is not a cost factor in a project, as it is much more expensive to neglect this and to wait until these factors start to obstruct and delay the project planning and/or implementation process.

What skills are required?

While a certain level of expertise is necessary for the handling of contextual factors, the main input has to come from external experts and from those representing conflicting interests. Technical and legal experts that are able to select and collect the needed information (especially legal) and experts with fundraising experience should be involved. If conflicting interests are involved, good mediation skills are important.

How it used with other techniques?

Taking into account these factors is an integral part of the overcoming of barriers and of the project management process.

What are management barriers?

Management barriers may arise from project planning errors, such as, unclear roles and responsibilities, blurred assignments, an unrealistic time plan, etc. Other management barriers include insufficient staff resources and skills, an unsuccessful attempt to gain political acceptance for a project. They are often the hidden cause behind other barriers, such as running out of time and budget, poor communication, mutual mistrust, etc. Thus, strong project management is important. It requires a manager and a management team with relevant skills and experiences. As the skills and experience of the staff are the main instrument for overcoming these barriers, it cannot be emphasised enough that it is important to recruit the right staff at the beginning of a project as it becomes difficult to correct such omissions later in a project.

How to deal with these barriers

Difficulties in project management are a major obstacle for the smooth planning and implementation of a project as they can cause delays or even the termination of a project. In general terms, project management is connected with almost everything in the project, but more commonly to management barriers result from planning errors, particularly:

- Poor project organisation: late involvement of key stakeholders, unclear roles and responsibilities, confusing communication structures;
- Inappropriate planning of the project: starting without clear objectives and performance criteria, unrealistic financial and time plan, unclear tasks for the project team; and
- Insufficient tracking of progress such that problems come up 'unexpectedly' and force a re-active approach instead of a pro-active one.

Further essential requirements of good project management are:

- A clear common understanding within the project team;
- Clearly defined objectives; and
- Measurable performance criteria.

As always with barriers, the best approach to overcome them is to avoid them from the start of a project. Unfortunately, it is not always possible to anticipate and avoid management barriers in advance; therefore, it is also important to prepare in advance for dealing with management barriers. A possible solution is to manage the available resources, plans and support in a flexible way, for example, by shifting staff resources. In the case of severe management barriers this may not be enough making it necessary, to seek additional resources, revise the entire work plan or to obtain additional political support.

When will management barriers arise?

Management barriers are most likely to arise during the Running of the Project Phase, though they may begin to arise as early as the initial Scoping Phase (see Section 2, Volume 1). They may sometimes result from personality clashes, but are more commonly due to lack of clarity in roles and responsibilities of different organisations and individuals. This can be minimised by establishing the Core Project Team in time for them to take responsibility for the Detailed Preparation of the transport project.

As part of this Detailed Preparation in advance of project commencement, efforts should be made to anticipate possible management barriers and put in place procedures and contingency plans to deal with them.

Once the main project has commenced, management barriers can arise at any stage in the transport decision-making process:

- Insufficient resources can be a problem for all project stages, but they are most severe during implementation (cost intensiveness) and at the end of a project when resources cannot be easily redirected;
- Poor project planning can become a major barrier in all project stages;
- Lack of support for a project becomes a major barrier if the project becomes disputed (during planning stages or implementation stage);
- A lack of clear objectives will become a problem during the stage of option selection and decision-making; and
- A lack of performance criteria are a problem throughout the project, since it will be impossible to measure whether progress is made as planned.

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Overcoming management barriers

Lack of resources

There are two different meanings to lacking resources:

(1) General lack of availability: this refers to financial barriers, management has only a limited influence.

(2) Inefficient use of resources: this problem and its solution is fully up to the management.

There are various ways in which management barriers can be avoided or overcome. To avoid a funding shortfall the project management team needs to provide a detailed and well constructed argument for the project and ensure that there is strong political support for the project. It is advisable to include contingency budgets within the cost planning to allow for unexpected problems. Having obtained the funding for a project there are certain actions that can be taken to avoid management barriers arising:

- Flexibility in the use of resources;
- Monitoring and reporting of progress; and
- Training staff to handle such problems and to use resources more efficiently.

Lack of support on an institutional level

It is important to start with clear objectives. This will help to ensure that stakeholders agree on the direction of the project and to limit disputes on choosing the direction to achieve these objectives. Commitment of the senior management is a vital ingredient in avoiding these barriers. The causes of the barriers must be clearly identified. Barriers may occur if there is poor communication at the institutional level. This may require the setting up of a new structure to encourage dialogue.

Inappropriate planning of the project

A full understanding of the project goals and a review of similar transport projects is necessary to avoid inappropriate planning of a project. If the necessary knowledge and experience is not available in the project consortium then its members must look for it elsewhere and recruit external assistance.

Tracking progress

Delays on a daily basis and a general non-compliance with the work plan are often caused by insufficient tracking of progress. The development of a reasonable work plan at the start of the project and the continuous use of monitoring instruments are the main means to overcome such problems.

Lack of political support

It might appear that it is only necessary to get the support of the political majority (and most transport planners follow this approach). However, this can involve risks as it is possible to lose some of this support during the implementation of a project and quite difficult to get additional support when a project is in the later planning or the implementation stage. Therefore, it is advisable to try to get a broad political support at the beginning of a project.

Poor or unsuitable project organisation

Implementing a project without a structured project organisation is the cause of many barriers. For all projects it is vital that there is a project manager, management team and a detailed division of roles and responsibilities. In most cases this organisation is based on existing structures and previous experience. However, for large infrastructure projects it may be advisable to develop new structures and organisations.

Practical Information

Who participates and how?

All project partners should be involved and work together to handle management barriers as a joint effort. It is not always possible to solve management barriers. Consensus decision-making structures can enable the project manager or the management team to overcome them.

How much does it cost?

Foresighted investments in the overcoming of management barriers are not a major cost factor. In any case the costs caused by management barriers and the connected delays are higher.

What skills are required?

Extensive knowledge and practical experience of project management techniques by the project manager and the project management team are the main skills required for overcoming management barriers. Experience with similar projects are helpful to identify possible barriers early in advance.

How it used with other techniques?

The overcoming of all kinds of barriers is interrelated. Contextual limitations, such as, lacking resources or lacking political support make it more difficult or impossible to manage the project appropriately. Poor management leads to a whole series of subsequent problems such that the initial problems are aggravated.

What are the drawbacks?

It is often difficult to allocate a lot of resources for the overcoming of unexpected management barriers as it is not possible to specify them in detail in the work plan.

Overcoming communication barriers

Finding practical solutions for communication problems is a critical aspect in transport projects. This applies to the interactions between project partners and engagement activities. The overcoming of these barriers between project partners require good communication and mediation skills and a willingness of all involved to negotiate. Solving problems in communication with stakeholders requires certain skills and experiences on the side of the project partners to enable sensible decision to be taken regarding who and how stakeholders should be involved. Communication problems can hamper the decision-making process, as if stakeholders feel ignored they will not fully support a project, and will also have a negative impact on the working climate of a project. Unsolved communication problems in the engagement process are even more problematic as they can lead to stakeholder opposition to a project.

Overcoming communication problems between project partners

Many communication barriers between project partners centre around technical, administrative or financial issues. The main risk is that they destroy the unity and working relationships within a project consortium. Several instruments exist for overcoming these barriers. The most appropriate ones for dealing with these barriers are consensus building techniques involving small groups amongst the project partners. A project manager should be well trained in these tools. However, the precondition is that all involved partners are willing to discuss problems and to reach commonly agreed decisions (compromises). Good communication and mediation skills of the project manager and a clear project structure, defining the roles and responsibilities of all involved partners, are also helpful to avoid and overcome internal communication barriers.

Overcoming communication problems with external stakeholders

Problems in the communication with external stakeholders, such as politicians, the media, lobby groups and the public most often stem from:

- Non-involvement of key stakeholders;
- Use of unsuitable techniques for engagement;
- Provision of information not customised for the targeted group; and
- Wrong timing of communication activities.

To solve these problems, at least one of the project partners should have the necessary communication skills and experience to find out what went wrong and to suggest alternative communication strategies. Personal contacts with the concerned groups are also an effective instrument for solving communication problems, as they allow informal talks to clear up misunderstandings.

Overcoming communication barriers throughout your project

Communication barriers can occur at any point during the life time of a project. Developing a positive communication climate within a project in the early stages determines how communication problems between project partners will be handled later during the project.

The origin of communication barriers with external stakeholders is often as a result of an unsuitable or non-existent engagement strategy from the outset, in which stakeholders have been omitted or involved too late in the process. Such groups may call all previous decisions into question which can cause serious delays to the project. Therefore, starting the communication with all affected stakeholders early on in the project can significantly reduce the number of major communication problems later in the decision-making process.



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Managing the overcoming of communication barriers

The main objective of internal project communication is to create a positive communication environment between all project partners. The main aim behind the engagement with external stakeholders is to reach a broadly accepted solution. Ideally, even the least supportive group should say: 'I still disagree, but I comprehend why and accept how the decision has been made'. If this point can be reached then the conflict management was successful.

Early identification of communication barriers

In order to limit and overcome communication barriers it is necessary to identify them early on during their development:

- Find out which project partners have differing opinions or interests regarding a project;
- Keep a close eye on the internal communication process so that no project partner is isolated within the project;
- Try to identify possible opponents at the beginning of a project; and
- Keep a close eye on how a project is discussed by politicians, media and general public.

If you are able to identify a communication problem early in its development, it is often possible to solve it before it becomes a major barrier. This does not need extensive resources; it could require an informal talk with a project partner that shows signs of dissatisfaction, the inclusion of an additional actor in the engagement process, or the provision of some specific information regarding the project. The preconditions for such an approach are project structures and a project management that allows an early identification of communication problems and an immediate implementation of solutions. Since this approach requires less resources, as it is easier to solve small obstacles than big barriers, it is preferable to tackle communication problems during their development, than to wait until they have become major barriers.

Checklist: overcoming communication barriers between project partners

- ✓ Are the roles and responsibilities within the project team well defined?
- ✓ Is there a clear list of requirements in a written form for all tasks outsourced to external consultants?
- ✓ Does the internal communication structure provide for an early identification of problems?
- ✓ Are there project partners with differing opinions and interests regarding the project?
- ✓ Does your project manager have good communication and mediation skills?
- ✓ Were you able to create an atmosphere of mutual trust for the communication between project partners?

Checklist: overcoming communication barriers during engagement

- ✓ Did you identify the most probable sources of opposition at the beginning of the project?
- ✓ Did you involve all stakeholder groups interested in the project?
- ✓ Did you start your communication activities early on in the project?
- ✓ Is your communication/engagement strategy customised for the targeted stakeholder groups?
- ✓ Does your project and project management structures allow a fast reaction to communication barriers?
- ✓ Are the resources available sufficient for overcoming major communication barriers?

Practical Information

Who participates and how?

External communication should follow the predetermined communication strategy and be led by the project manager and project team. Project partners should also be closely involved in the communication strategy.

How much does it cost?

The costs for overcoming communication problems early on during their development are minimal. If a major communication problem emerges there can be major expenses for campaigns, additional engagement activities and delays in the work plan.

What skills are required?

For overcoming internal barriers between partners the person coordinating the project needs the ability to negotiate compromises. For identifying solutions for external communication problems, extensive skills and experience regarding communication and engagement techniques are required.

How it used with other techniques?

The overcoming of communication barriers depends on the availability of resources and has to be coordinated with the overcoming of other barriers.

What are the drawbacks?

Communication problems with external stakeholders (e.g. regarding project acceptance) cannot always be entirely resolved. However, if all stakeholders have been involved in the process there is a greater chance that even opposing groups will feel that their views have been taken into account.

FS 33: Measuring indicators

What are project indicators?

Project indicators are generally quantitative in nature and can be grouped into three main categories:

- Input indicators, which document the main resource inputs to the project at each stage;
- Process indicators, which monitor on-going project activities (and may include qualitative indicators); and
- Output indicators, which document the products and services produced by the project.

A fourth group of indicators, known as 'outcome' indicators, assess the success of the completed project in terms of meeting its objectives; this is covered elsewhere. (see FS 36)

Why use project indicators?

Project indicators perform a crucial role in effective project management, at each stage of the transport decision-making process, by enabling resource use and delivery to be carefully monitored. Monitoring requires the systematic and continuous collection and analysis of information about the progress of a project over time, and is therefore dependent on a set of well-chosen indicators.

Indicators provide a means of quantifying progress, and assessing the efficiency and effectiveness of the project. While certain types of indicator are common to most projects, the precise definition of each indicator may vary from project to project and according to whether this is a strategy or a scheme.

Principles underlying selection of indicators

Choosing the most appropriate set of indicators requires careful thought. It should be guided, on the one hand, by the specific nature of the project (types of resource use, type of project operation, etc.) and on the other by the ready availability of information.

If the wrong item is measured, or if it is measured in an inappropriate manner, then the resulting data may be misleading and the quality of decisions could be adversely affected. To ensure that a suitable set of project indicators is collected, indicator selection should involve a number of people, including the project management team, project partners and key stakeholders, as well as those who have the technical expertise to understand the strengths and limitations of particular indicators.

Hints for selecting project indicators

Project indicators should be:

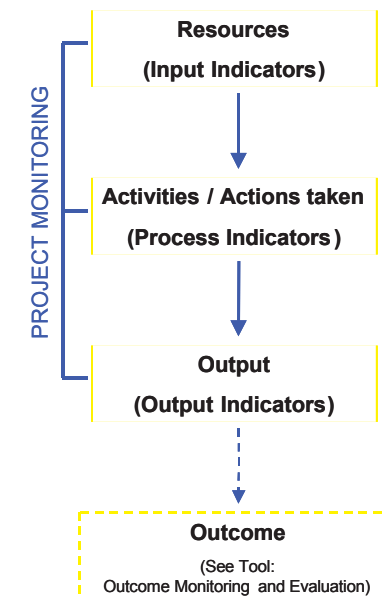
- Cost-effective, in terms of supplying the required information at reasonable cost;
- Capable of being collected at pre-determined time intervals in a consistent manner;
- Able to give insight into the expected result or condition, and collectively meet the needs of project managers and address the concerns of various stakeholder groups; and be
- Quantitative wherever possible, though in some cases a combination of qualitative and quantitative indicators can provide additional insight.

Clear responsibilities should be assigned for indicator data collection, collation and analysis.

Recommendations

Based on the experience of GUIDEMAPS, we recommend that:

- Flexibility in the choice of monitoring techniques and indicators is crucial;
- Simplified approaches should be used for smaller scale projects;
- Once a particular set of indicators has been agreed, it should be applied consistently;
- The costs for monitoring will vary according to the type of project, but are likely to increase with the:
 - Number and variety of sources that need to be monitored;
 - Frequency of monitoring and reporting;
 - Accuracy-level that is required; and
 - Complexity of monitoring techniques.



Measuring input indicators

Input indicators measure the resources, in terms of time, cost and skills, that have been consumed during each stage of the development and delivery of a particular strategy or scheme. The skills and experience of the available project staff will influence the decision as to whether to undertake the monitoring process in-house, or in partnership with other agencies or using external consultants.

Input indicators should:

- Cover all the main types of resource inputs to the project, using units that match those in the work plan; and
- Be collected on a regular basis, taking particular account of key timing points, such as project milestones.

Measuring process indicators

These measure how well the project management process is working, and whether the programmed activities are being carried out as planned. Among the project management team, this includes assessing internal and external communications, and the speed and effectiveness with which problems that arise are recognised and resolved. In terms of stakeholders, there is a need to regularly assess whether and how their concerns are being addressed, and to measure their satisfaction with the engagement process. Some process indicators draw on the input and output indicators to derive overall measures of project efficiency (e.g. outputs per unit input), which can be monitored over time.

Process indicators should:

- Address all aspects and stages of the transport decision-making process;
- Cover both internal project management and external stakeholder engagement activities; and
- Provide key data for project managers, both in the form of quantitative measures of progress against targets, and in terms of satisfaction indicators

They can also be used to motivate and focus the project team on achieving project milestones, and can provide staff with the necessary data to communicate progress to stakeholders. (see FS34: Tracking progress).

Measuring output indicators

Output indicators measure what the project has achieved in terms of delivery to clients and other stakeholder groups, both at the conclusion of the project (e.g. km of cycle lane constructed), and at key stages (e.g. completion of preparation of track bed for laying light rail track). Other examples of output indicators for transport schemes might include:

- Total length of new tram routes; or
- Successful implementation of new internet-site for mobility management; or
- Number of schools with adopted travel plans.

Examples of output indicators in relation to stakeholder engagement might include:

- Number of public hearings or meetings at a given stage in the transport decision-making process;
- Number of leaflets distributed;
- Number of people visiting an exhibition; and
- Number of visits to a web site.

Practical Information

Who participates and how?

The development of a successful set of project indicators that will form the basis of the monitoring of the project decision-making process requires the involvement of a wide range of specialists and key stakeholder groups. This is best begun during the early stages of project formulation, and can then be refined as the project develops.

How much does it cost?

The costs of measuring indicators is strongly dependent on how much of the data already exists, whether it requires additional processing, and how many of the indicators require a special data collection effort. Monitoring can be expensive, so start with an inventory of existing data sources across a wide range of relevant organisations.

What skills are required?

Detailed knowledge about techniques for data gathering, data processing and data analysis is needed.

What are the drawbacks?

Measuring project activities and progress by using indicators gives a clear picture what has been achieved, and can avoid costly delays. However, problems can arise if there is a failure to agree on a set of indicators from the start. It is most important that the team selects the right indicators, with broad agreement, as the decision-making process will be damaged if the wrong things are being measured or there are important omissions.

What is tracking progress?

Once a preliminary work plan has been completed, with clearly stated aims and objectives, it is important to decide how progress will be monitored and how this will fit in with quality management strategy and with the final evaluation of the strategy or scheme. Tracking progress is crucial in order to give appropriate and timely notice to project managers, stakeholders, decision-makers or the general public about how the project is developing.

Tracking progress is sometimes defined as 'process evaluation', which includes the monitoring and control of the daily workload, as well as a more strategic comparison of objectives against outputs. This would include an assessment of the various project activities (e.g. what was intended to be done to benefit whom and was it really done?).

Benefits through transparency

The detailed documentation of progress can help to mobilise further resources and attract other partners to support the goals and the implementation of the strategy or scheme. Those who can assist in project delivery in some way need to be sure that their interests and concerns are being taken into account during the process, and that any resources they have provided are being used in an efficient manner. Other agencies and private companies are more likely to co-operate with municipalities or other commissioning bodies that show an interest in improving their management and decision-making processes.

Tracking of progress should show transparency, accountability, and efficiency, and should be carried out as a participatory task. This means collaboration and partnership across professional and sector boundaries, and with potential users of the new services.

Asking the right questions

The effective tracking of progress involves asking the right questions about the transport decision-making and implementation process, including:

- What (especially) do we want to accomplish?
- Whose opinions and goals have to be considered?
- What work has to be performed?
- When does the work have to be done?
- What specific responsibilities will different people have? Have all the people the required expertise?
- What additional resources may be needed to support the work?
- What might go wrong, and how will it affect the project if it does?

Developing a 'tracking progress' plan

There must be agreement on techniques or procedures for tracking progress from the start. This should be in the form of a written statement, to help focus attention on what the project is intended to achieve and how. Such a statement of work normally includes:

Purpose

Why and by whom the project was established, the scope of work to be performed, and the general strategy for accomplishing this work, including:

- Objective: particular results to be achieved;
- Constraints: restrictions on how the project can be designed and delivered; and
- Assumptions: information that is not at present known with certainty.

Identifying the people involved

Begin to develop a list of all the people or groups interested in, affected by, or needed to support the project, at the earliest opportunity. People will have different interests and roles, such as:

- Drivers: people who will define, to some extent, what results your project is to produce;
- Supporters: people who will enable or perform your project work; and
- Observers: people who are interested in your project, but are neither drivers nor supporters.

Assigning roles and responsibilities

Clarify the roles and responsibilities that each person will have in the project team, to encourage well coordinated, collaborative working. Prepare a responsibility chart to identify, for each activity in the project, who will work on it and what that person's particular responsibilities will be.

Developing a realistic schedule

Prepare a realistic schedule for performing all the project activities. Developing such a schedule requires taking into account:

- The time it will take to perform each activity individually; and
- The order in which the activities must be performed.

It may help to create a flow chart of the work to be performed and the amount of time each task will take.

Estimating resource requirements

Identify all resources (input indicators) needed to enable the project tasks to be carried out, in the time frames specified. For each type of resource, develop a resources matrix (i.e. what quantity of each resource will be needed for each activity and when).

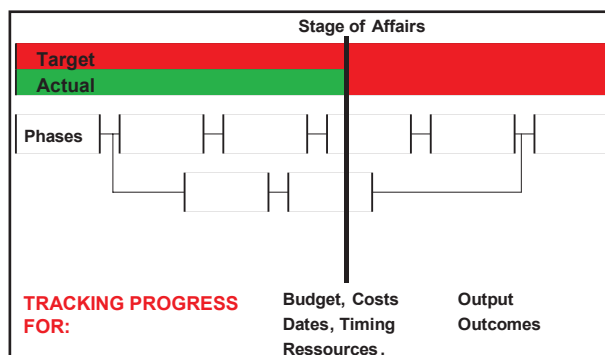
Dealing with risk and uncertainty

Risk covers both the possibilities that things will not go as well as expected, and that things will go better - but perhaps differently - than expected.

Tools for tracking progress

Tracking progress through software tools

Specific project management tools could be used to track progress (e.g. software tools like MS-project). This could also be done using paper and pencil (which might be simpler in small projects), but most software tools have special features to collect, analyse and present the data. This will be especially useful if you have to track several connected projects in parallel.



Tracking progress through meetings

A process or progress monitoring working group, operating at different levels of the project, also provides a means of tracking progress. Such a working group has two functions: to collate information on progress and to solve problems. Often a meeting gives more insight to the 'real' progress than reading a report or just checking objective indicators: it can be very easy in a written document to say that everything is going well. Therefore, it is wise to directly ask the people involved about their experience and concerns at various points during the process.

Tracking progress through reports

The programme manager needs to have an overview of the general progress of the project. The information required is essentially an aggregation of the status information for each individual subproject. However, the complexity of aggregating status information to provide a top-level view for decision-makers and stakeholders should not be underestimated: by the time the data is collected, entered into the tool and the aggregate reports are generated, the information is no often longer current.

Large technical documents are not appropriate for a monitoring report. A summary report is required, in which key findings and trends are described in a readable format.

Monitoring the progress of a project should show a clear link between objectives, outputs and outcomes. It might be helpful to illustrate this in a simple table, as shown below.

| Indicator | Source of data | Objectives & targets | Baseline year | Actual year |
|--------------------------|---------------------------|--------------------------|---------------|-------------|
| Annual growth in bus use | Public transport operator | x% by yr 1 x% by yr 2 | x % | y % |
| Reliability | Interview survey | +x% by yr1 | x % | y % |

Tracking progress through surveys and questionnaires

Where there is a need for feedback from users or customers, or the project group is very large, it might be helpful to use a questionnaire survey to track progress over time. While this can give very valuable insights, it can also be resource intensive and time consuming, so it should be used sparingly.

Practical Information

Before and during project implementation, the following points should be kept in mind for tracking progress:

- Tracking progress is a continuous task and needs significant effort;
- It provides the basis for identifying necessary corrective actions to put the project back on track and save further resources;
- The goals and targets that are set should be specific to the local strategy/scheme;
- As part of tracking progress it is important to define milestones;
- Using information from progress tracking needs to be done on the basis of clear responsibilities, especially regarding who will decide about any necessary adaptation of the original plan;
- The current 'state-of-the-project' should be reported on a regular basis;
- Qualitative techniques should also be used as part of progress monitoring, that ask people about their opinions and concerns about the process;
- The results of progress tracking and any resulting decisions should be transparent to all the persons/institutions involved; and
- Tracking progress can be assisted by advanced (software) tools, though they are an aid to and not a substitute for management.

FS 35: Data collection and data storage

Why consider data collection and storage?

Successful project management relies on the timely delivery of a wide range of data of appropriate quality, and this has to be collected, checked, analysed and stored. Like other processes, data collection (or collation) and storage requires planning, on-going attention and fine-tuning, through process monitoring, error checking and staff training. It also requires a dedicated budget throughout the project decision-making process.

The specifics of data collection and collation vary according to the type of strategy and scheme, and the local availability of existing data. But, it is important that data collection/collation activities are proactive as well as reactive. For example, for outcome evaluation, 'before' and 'after' data will be needed in a comparable form, so this requires a well planned data collection and storage plan from the start of the project.

How to set up a data collection system

Data collection and data storage should be embedded within the whole process of project management. It is strongly connected with project objectives, decision-making processes and indicators.

There should be one person within the project team who has responsibility for data collection, data collation and data storage - though more specialist types of data analysis might be carried out by other project team members or external consultants.

The keys to efficient and effective data utilisation are:

- Good documentation of data sources (content, date of collection, reliability, etc.); and
- Easy data access to project team members and nominated outsiders (subject to safeguards), in a form suitable for a variety of analyses.

Different types of data

There are two main kinds of data - quantitative and qualitative - and in each case the techniques used to obtain the data, to store the data and to present or analyse the data are different.

Quantitative data presents information in terms of numbers. This includes 'hard', measurable indicators such as:

- Money spent on the project.
- New road infrastructure (km/miles).
- Number of stakeholders attending an event.

But some aspects cannot easily be quantified. Here it is necessary to use qualitative data. These can include the more intangible benefits of increased acceptance of public transport, improved community relations, or increased interest in sustainable transport programmes. Qualitative data are provided in the form of narrative accounts, interviews, or observations.

Key steps in collecting and storing data

| | |
|-----------------------------|---|
| 1. Selecting a data source | Will a sample be necessary (e.g. monthly sample from a continuous data source; population sample for a survey)? |
| 2. Collecting data | Which method is best suited to collecting new types of data: group discussions, interviews, observations, counts? |
| 3. Storing data | How will data (raw and analysed) be coded, stored and documented, by whom and where; who will have access, will there be a backup ? |
| 4. Analysing data | Which programs will be used for data analysis? How will the information be presented in reports? |
| 5. Feedback & dissemination | At what stages will information be shared with other staff, stakeholders, the public etc. and how will it be presented ? |

Successful data collection and storage

There are some characteristics which are central to the success of a data collection and storage system:

- 1) Data collection usually involves several people. Therefore, one success factor is to encourage a well structured and clear communication flow between the team of people who collect, store and analyse data, as well as the various client groups. At each point in the data collection/collation/storage process, one person should be given primary responsibility, with someone retaining an overview, reviewing data needs and correcting information that is missing, incorrect or incomplete.
- 2) It is generally an iterative process, with defined checkpoints and feedback loops. Error-checking procedures should be specified at defined points (e.g. when forms are first completed, after data entry, prior to report submissions etc.) and someone assigned to correct the data, if necessary.
- 3) A good documentation system is required, which describes how the data is stored (e.g. file-names, locations), the time period the data refers to, who was responsible for collecting, summarising, analysing and reporting on the data, etc.
- 4) Staff members must be well trained; they need to know for which tasks and target group the data will be used, their own roles and responsibilities, and be given the necessary tools and resources to deliver.

Techniques for collecting data

| Method | Overall purpose | Advantages | Challenges |
|---|---|---|--|
| Questionnaires Surveys Checklists | To gather information from a large number or range of people relatively quickly. | <ul style="list-style-type: none"> • Can be administered to a large number of people. • Relatively inexpensive. • Can be relatively easy to analyse data. | <ul style="list-style-type: none"> • Responses may lack detail. • Impersonal. • May require a sampling expert. |
| Personal Interviews | To explore in-depth someone's experiences, views and ideas or learn more about their responses to questionnaires. | <ul style="list-style-type: none"> • Obtain a range and depth of information. • Develops relationship with individual/group. • Enables discussion of sensitive issues. | <ul style="list-style-type: none"> • Time consuming. • Complex to analyse and compare results. • Can be costly. • Interviewer could influence results. |
| Documentation review | To examine the operation of a project or programme without interrupting it e.g. review of applications, finances, memos, minutes. | <ul style="list-style-type: none"> • Provides comprehensive and contextual information. • Information already exists. | <ul style="list-style-type: none"> • Time consuming. • Information may be incomplete. • Data restricted to what already exists. |
| Observation | To gather accurate information about a project, programme, group or event. | <ul style="list-style-type: none"> • Observe discussions and practices as they are actually occurring. • Can react and adapt to events as they occur. | <ul style="list-style-type: none"> • Can be difficult to interpret behaviour. • Difficult to categorise observations. • Observer can influence behaviour. |
| Focus groups | To obtain in-depth and insightful information through group discussion. | <ul style="list-style-type: none"> • Gather rich information on people's experiences & opinions. • Provides a forum for debate and discussion. | <ul style="list-style-type: none"> • Time consuming to analyse results. • Requires an experienced facilitator. • Can be difficult to organise participants. |
| Case studies | To understand fully details and experiences of a project or area. | <ul style="list-style-type: none"> • Provides in-depth and focused information. • A powerful way of communicating information to outsiders. | <ul style="list-style-type: none"> • Time consuming to organise and report information. • Represents depth of information rather than breadth. |

Practical information

Who participates and how?

Data collection, collation and storage involves a wide range of people from many organisations, including those who hold relevant data (e.g. bus operators, police, traffic engineers, planners), and those who may collect new data, or become involved in data analysis and reporting. Communication should be co-ordinated by the project team member with overall responsibility for this aspect of the work.

How much does it cost?

In general, the costs and difficulty of data collection increase as indicators shift from input through output to outcome. It should be possible to collate data for most input and output indicators from current reporting systems, whereas data for many outcome indicators may need to be collected through specific surveys.

How long does it take?

Staff who are inexperienced in data collection are often surprised how long it takes to collect data, to check the data, to store it in the right format, to prepare suitable documentation and to make presentations to decision-makers, politicians etc. A common mistake is, therefore, to allocate insufficient resources to the task.

How to ensure data quality?

Regular formal and informal staff meetings, with those who collect/collate and those who use the data, provide a good way to discover how well the process is working. Frequent reviews and checks of data, as part of data entry, also provide an opportunity to ensure that the data is useful and accurate.

What are outcome indicators?

Outcome indicators measure the impacts, benefits and changes that are experienced by different stakeholder groups during or after implementation of the project.

To determine what impact a project has had, it is necessary to compare conditions 'after' implementation with those that existed 'before' implementation, taking into account other external factors that may have had an influence on the observed outcome (e.g. changes in car ownership, or a national publicity campaign). Thus, monitoring outcome indicators needs to start before the project begins.

Outcome indicators measure what impact the project has had, in terms of meeting underlying policy objectives. For example, are more people cycling now? Has car use decreased? Has air quality and traffic safety improved?

The role of outcome indicators in evaluation

Post-implementation evaluation examines the consequences of implementing a strategy or scheme, and how these relate to the intended consequences that provided the justification for going ahead with the project. Outcome indicators thus provide crucial information about the performance of the project and, in conjunction with data on resource consumption (i.e. input indicators), enable factors such as cost effectiveness to be assessed. Outcome indicators may need to be provided in the short, intermediate and long-term. The timing of a post-implementation evaluation (and the collection of the associated outcome indicators) is important, because if it is carried out too soon, the full impacts arising from the project may not be captured (e.g. build up of patronage on a new tram line). Conversely, if it is undertaken too late, resources will be wasted and similar projects will not benefit from the lessons learnt.

Using outcome indicators

Before selecting indicators, establish:

- Whether you need to compare your results with those from other projects, or to conform to certain reporting formats (e.g. national requirements for large infrastructure schemes);
- Over what time period the outcome indicators need to be measured;
- How the impacts of the project will be determined (e.g. by collecting 'before' and 'after' data; by collecting data in another area to control for the influence of external factors, by interviewing key stakeholders to assess their views on the projects impacts);
- What level of detail and accuracy is required (and your stakeholders expect) from the outcome indicators and evaluation; and
- What data already exists that might be used as part of the post-implementation evaluation.

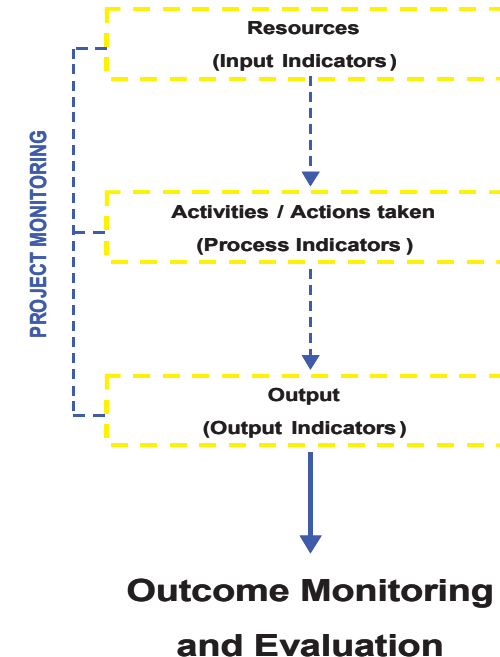
The focus of post-implementation evaluation: individuals or systems?

Impacts and associated outcomes can be assessed at two main levels: the individual and the system levels. It is generally necessary to evaluate at both levels, but where the emphasis is placed will have a major impact on the types of outcome indicator selected, the data collection and analysis techniques, the time-frames, costs, etc.

Individual level impacts measure the change of behaviour of individuals or similar groups of persons. At this level it might be necessary to have a 'target' group and a 'control' group, to establish whether the observed changes in behaviour are really due to implementing the project, or to some other external factors. This usually requires surveys and interviews. Members of the control group should have similar characteristics to the target group, and the data should be collected at the same time as for the target group.

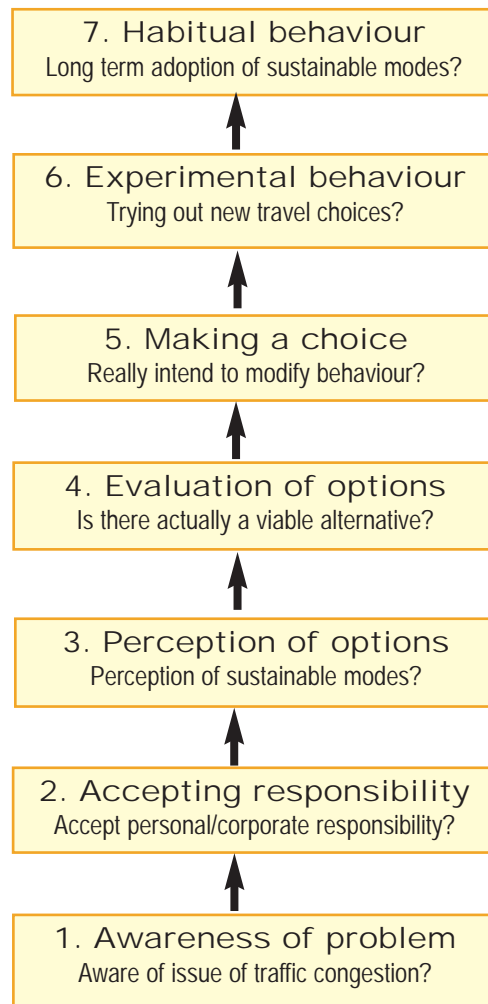
In order to identify what has changed and why, it is important to recognise that there are different stages in the behavioural change process, each of which may require monitoring, under certain circumstances. An example of such a behaviour change model from the European research project TAPESTRY is illustrated on the opposite page.

At the system level, aggregate changes in the use of the transport system, or project impacts on, say, the environment are the centre of attention. At this level, some wider outcomes of a project can be evaluated, such as corridor accident reductions or increases in city centre economic activity. Much system level data is already collected by different agencies, though often large amounts of data have to be handled (e.g. continuous traffic counts), and judgements will need to be made about how to sample from or compress the data. Hence, data analysis and interpretation will be very different from that at the individual level, and requires different skills. Again, the question has to be addressed as to whether the observed changes or effects were caused by the project or other external factors or measures.



A model of behaviour change

The EU TAPESTRY project views change as a 'bottom up' process, starting with awareness raising and ending with a new pattern of habitual behaviour. Each stage could be measured as a potential project outcome, depending on its project objectives.



Source: EU TAPESTRY project

Examples of outcome indicators

Transport projects often have various levels and types of impacts. According to the variety of measures and actions within a transport project, outcome indicators have to be defined for a particular time period (such as the peak-hour) and geographic area (such as a particular destination, district or region). The following examples give an idea of possible outcome indicators, though it is not a comprehensive summary:

Transport system

- Average annual transportation expenditures per capita.
- Quality of the pedestrian and cycling environments.
- Increase in public transport trips (%).

Safety

- Number of fatal, serious and minor accidents.
- Crashes and crash fatalities per capita.
- % of roads which have a footpath on at least one side.

Accessibility

- User satisfaction with ease of access (for motorists, transit users, pedestrians etc.).
- Mode of transport used by residents to go into the central business district.

Travel times

- Reductions in traffic congestion.
- Peak travel times to/from important destinations from the city centre.
- Percentage of bus journeys operated on time.

Environment

- Levels of carbon monoxide emissions in the city centre.
- Proportion of residents disturbed by traffic noise.

Social

- Quality of transportation options for non-drivers and lower-income people.

Practical information

Who participates and how?

Since the outcome indicators define the overall success of the project, and this affects a wide range of decision-makers and stakeholders it is very important to involve a range of interested groups in the selection of these indicators - more so than in the case of the selection of project indicators. This might be achieved through a variety of engagement techniques, such as workshops or focus groups.

How much does it cost?

Important system level outcome indicators are often already being collected by an organisation - though it may be difficult to find out who holds the data and obtain their permission to access it. Here costs are more associated with specialist technical data analysis. Significant costs are more likely to arise in collecting individual level data, but this can be reduced through carrying out on-mode or on-street surveys, or distributing self completion questionnaires. It may also be possible in some cases to use observational surveys (e.g. counts of people arriving at a worksite by different modes) as a substitute for personal surveys.

What skills are required?

Specialist skills may be needed for different types of data collection and analysis, such as household surveys, focus groups, analysis of traffic count data, or of accident data.

What are the drawbacks?

While the measurement of outcomes is an essential part of post-implementation evaluation, it is possible to spend large sums of money with little effect. The key problem is often establishing project impacts against a constantly changing urban environment, so this has to be carefully planned from the start.

FS 37: Post-implementation evaluation

What is post-implementation evaluation?

Post-implementation evaluation is the final stage in the completion of a transport project, and is concerned with examining how well the project has 'performed' against a range of objectives, in the context of various contextual barriers and other restrictions. In doing so, it draws on both project and outcome indicators.

A primary distinction is drawn in this handbook between transport 'strategies' and 'schemes', each of which requires a different type of evaluation:

- a) Strategies - set out an approach to achieving a set of high-level objectives, relating either to particular problems (e.g. air quality) or desired behaviours (e.g. increase cycling); they usually comprise a range of schemes.
- b) Schemes - single, non-divisible actions, delivering a specific output, with a fixed time schedule and dedicated budget.

Why conduct post-implementation evaluation?

This is the most important point at which to review the project planning and implementation stages, and the overall results of the project decision-making process. This helps in:

- Identifying any constraints or bottlenecks that have impeded the project;
- Assessing the actual benefits and the number of people who have benefited;
- Providing guidance on the strengths and weaknesses of the project, for future replication; and
- Identifying the extent to which the intended objectives of the project have been realised.

Characteristics of evaluation

Evaluation involves the assessment of a project's performance, efficiency, and effectiveness (both expected and unexpected) in relation to the stated objectives of the project. It is a process of codifying the various impacts, in some form of assessment table, and then judging the value of what a strategy or scheme has achieved, possibly in monetary terms. Hence it is different from monitoring, which is mainly concerned with observation and the reporting of observations.

Since post-implementation evaluation is carried out ex post, it can make use of empirical data on reported or observed impacts, rather than relying on forecast impacts, as in the case of option assessment. However, it should also include the judgments of people involved in the process, and the valuation of different impacts may be a very subjective process.

The process

Phases of post-implementation evaluation

1. Definition of the scope and purpose of the evaluation, including assumptions about the possible types and range of factors to be included.
2. Planning the evaluation, including the sub-tasks:-
 - identifying the aims and objectives of the project;
 - identifying relevant input, process, output and outcome indicators that will be used to judge progress and achievements;
 - deciding how impact and causation will be assessed ('before' studies, 'control' areas, etc.);
 - choosing an evaluation method for weighting the various indicators, and perhaps deriving a measure of cost effectiveness.
3. Data collection and collation, data control and data storage.
4. Analysis of data and comparison of results against the various project objectives.
5. Formal evaluation, to assess cost-effectiveness (optional)
6. Reporting and dissemination of findings, including recommendations for future projects.

Questions to be addressed by the evaluation

The following types of questions should be addressed during the post-implementation evaluation:

1. Relevance - Did the project provide a good solution, given the nature of the situation requiring improvement? Did it address various stakeholder concerns?
2. Effectiveness - Have the planned aims and objectives been fully realised, in terms of the outcomes of the project?
3. Efficiency - Were inputs (resources and time) used in the best possible way to achieve the agreed outputs? What could have been done differently, to improve the cost-effectiveness of implementation, at an acceptable cost?
4. Wider Impact - To what extent has the project contributed towards broader or longer-term policy goals? What unanticipated positive or negative consequences has the project had? Why did they arise?
5. Sustainability - Will the project contribute to sustainable transport over time, now that it is in operation?

Aspects of post-implementation evaluation

Various forms of detailed evaluation can be carried out, by drawing on and comparing various input, output and outcome indicators. There is a wide range of potential areas to evaluate, such as:

- Behavioural impacts;
- Accessibility impacts;
- Cost effectiveness;
- Traffic impacts;
- Economic impacts;
- Social impacts;
- Environmental impacts;
- Safety impacts; and
- User and stakeholder perceptions.

The evaluation should take into account the distribution of impacts - since some groups/areas may gain at the expense of others.

Distributional effects

Each of the types of impact to be evaluated could be subdivided to explore the distributional consequences, both for certain population groups (e.g. local residents or businesses), and for different geographical areas (e.g. city centre versus suburbs).

For each subject area (e.g. road user benefits), the particular impact of interest (i.e. objective) needs to be tightly defined, as should the precise units of comparison. There might be several types of scheme that could deliver similar kinds of benefit, by using different mechanisms and with varying degrees of cost effectiveness, so it is essential to be able to make strictly comparable assessments of each one.

An example of what is required is provided below for one subject area:

| | |
|------------------|------------------------------|
| Subject area: | benefits for transport users |
| Objective: | reduction in travel time |
| Indicator: | travel time saved per person |
| Comparison-unit: | hours/year |

Reporting on Lessons Learned

It is useful to prepare a written post-implementation evaluation report. The report should examine the project performance, outputs and outcomes. There are some general questions that should be addressed in this report, such as:

- Were time and cost estimates accurate? How could they have been improved?
- What aspects should be repeated or avoided in similar projects in future?
- Should the project management approach and techniques be changed for similar future projects?
- Was the evaluation process able to address the questions of concern?

Evaluation methods

There is a wide range of different evaluation methods from which to choose, with different traditions and preferences to be found among the European Member States. They can be used - with some modifications - both for post-implementation evaluation, and at the option assessment stage. A number have a strong economic background.

A Cost-Effectiveness analysis compares the costs of implementing different options for achieving the same specific output or outcome. The latter is fixed and the evaluation focuses on the different input costs.

A Benefit-Cost analysis compares the total monetarised benefits against total costs of each option. While it is not limited to a single objective or benefit, they have to be capable of being monetarised, so that they can be added together.

Least Cost Planning is a type of Benefit-Cost analysis that considers two very different strategies (e.g. new infrastructure versus mobility management) for achieving the same objective.

Multiple Criteria Analysis can incorporate both quantitative and qualitative criteria, and can be used when some impacts cannot be converted to a monetary basis. Each option is rated on each criterion, though the difficult part comes in deciding how to combine and weight the different impacts to provide an overall ranking or rating.

In one way or another, these methods evaluate the economic impacts (costs and benefits) of a policy or project, to determine the net benefits or net value (incremental benefits minus incremental costs). Where benefits are monetarised, there are often standard values that are applied to value certain impacts in different countries (e.g. values of time, or values of life), or they can be derived locally using techniques such as stated preference or contingent evaluation.

Post-implementation evaluation should ideally combine both qualitative and quantitative indicators of the impact of the project. So that, where cost-benefit analysis is used, this should be combined with the qualitative information from user-surveys, in-depth case studies and interviews, to provide a richer understanding of the impacts of the project on different stakeholder groups.

Practical information

- Early agreement needs to be reached on the evaluation method(s) to be used to assess the project, as this will have a strong influence on the kinds of indicators to be used and the data that will need to be collected and assembled from the start of the project.
- It is important that the project has been fully implemented and operational for a sufficient period of time for its benefits and costs to be accurately assessed.
- Initial operational problems must have been resolved, and sufficient experience and data must have been accumulated to determine whether the project has achieved the intended objectives, and was successfully completed within the anticipated timescale and budgetary constraints.
- The best time after implementation to conduct the evaluation depends upon the nature of the strategy or scheme.

Benefits of post-implementation evaluation:

These include:

- Evaluation measures performance: evaluation can provide tangible evidence that the resources that have been put into a project has benefited residents and other stakeholder groups. More importantly, it helps direct future resources to support the types of projects that deliver.
- Evaluation demonstrates benefits to funding sources and to the community: if the projects include external funding, it is important to share the results of the post-implementation evaluation with funders, residents, and the community.
- Evaluation can help to improve future processes: another benefit of conducting a post-implementation evaluation is that the findings will help to improve future transport decision-making processes and procedures.

Choosing an engagement technique

| | T12 | | | | | | T13 | T14 | T15 | T16 | | | | | | T17 | | | | | | T18 | | | | | |
|---|--------------|----------------------------------|----------------------------|------------------|------------------|------------------------|----------------------------|-----------------------------|---------------------------|------------------------|-----------------------------|-----------------------------|------------------|--------------------------|------------------------------------|----------------------|----------------------|-----------------------|-------------------|----------------|----------------------|-------------------------------|-------------------------------|----------------------------------|----------------------|---------------------------|------------------------|
| Classifications ● generally applicable ○ partially applicable | FS38: Letter | FS39: Posters, notices and signs | FS40: Leaflet and brochure | FS41: Fact sheet | FS42: Newsletter | FS43: Technical report | FS44: Telephone techniques | FS45: Radio Shows& TV Shows | FS46: Internet techniques | FS47: Web based forums | FS48: Questionnaire surveys | FS49: Key person interviews | FS50: Exhibition | FS51: Information centre | FS52: Information session/briefing | FS53: Public meeting | FS54: Topical events | FS55: Community visit | FS56: Focus group | FS57: Workshop | FS58: Citizen juries | FS59: Technical working party | FS60: Stakeholder conferences | FS61: Transport visioning events | FS62: Weekend events | FS63: Planning for Real ™ | FS64: Open space event |
| Who to engage? | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Wider audience | ○ | ● | ● | ○ | ● | | ● | ● | ● | ○ | ● | | ● | ● | | ● | ○ | | | ○ | | | ○ | | | ● | ○ |
| Targeted audience | ● | ○ | ● | ● | ○ | ● | ● | ○ | | ● | ● | ● | | | ● | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● |
| When to engage? | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Problem definition | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● | ○ | ○ | ● | ● | ● | ● | ● | ○ | ● | ● | ● | ● |
| Option generation | | | | ○ | | | | ○ | | ● | ○ | ● | | ○ | ○ | ○ | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| Option assessment | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● | ● | ○ | ● | ● | ● | ● | ○ | ○ | ● | ● | ○ |
| Formal decision taking | ○ | | | ○ | | ● | | | | ○ | | ● | | | ○ | | | | | | ○ | ● | | | | | |
| Implementation plan | ○ | ● | ● | ● | ● | ● | | ○ | ● | | | | ● | ● | ● | ○ | ○ | ○ | | ○ | | ○ | | | ○ | | |
| Monitoring and evaluation | | | | | | ● | ● | | | ○ | ● | ● | | | | | | | ○ | | | ○ | | | ○ | | |
| Type of Project? | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Strategy | ○ | ○ | ● | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| Scheme | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● | ● | ○ | ● | ● | ● |
| Duration of engagement | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Restricted | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ○ | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| Continuous | | ○ | | | ○ | | ● | | ● | ● | | | | ● | | | | | | | | ○ | | | | | |

NOTE: To be most effective, Engagement Tools should be used in conjunction with the development and implementation of a Media Strategy (Tool T5, FS15-FS17) and a Marketing Strategy (Tool T6, FS18-FS21).

Information giving and gathering

T12: Printed public information materials

FS38: A letter
 FS39: Posters, notices and signs
 FS40: Leaflet and brochure
 FS41: Fact sheet
 FS42: Newsletter
 FS43: Technical report

T13: Telephone and broadcasting

FS44: Telephone techniques
 FS45: Local radio and television shows

T14: Internet

FS46: Internet techniques
 FS47: Web based forums

T15: Surveying individuals

FS48: Questionnaire surveys
 FS49: Key person interviews

Interactive engagement

T16: Information events

FS50: Exhibition
 FS51: Information centre
 FS52: Information session and briefing
 FS53: Public meeting
 FS54: Topical events

T17: Engaging selected stakeholder groups

FS55: Community visits and study tours
 FS56: Focus group
 FS57: Workshop
 FS58: Citizen juries
 FS59: Technical working party

T18: Engaging large groups

FS60: Stakeholder conference
 FS61: Transport visioning event
 FS62: Weekend event
 FS63: Planning for Real TM
 FS64: Open space event

Engaging hard to reach groups

T19: Engaging 'hard to reach' groups

FS65: Ethnic minorities
 FS66: Impaired people
 FS67: Young people and the elderly
 FS68: People with low literacy levels
 FS69: Apathetic people

Engagement Fact Sheets

What is a letter for?

Letters can be used as a part of an engagement process, by sending a personally addressed letter to all affected households, businesses or stakeholder groups. It should outline the issue at hand and can invite comments, and should always indicate where the comment should be directed to within an organisation.

A letter can be particularly useful where messages are simple and targeted to a relatively small number of people who are directly affected by what is to be done. Personalising a letter can be an important way to reassure people that their views and problems are being considered in the decision-making process for your project.

In addition to widely-distributed letters, there may also be occasions when a letter to a single recipient must be written in response to a complaint or query.

Using a letter to communicate

A letter is useful if you want to communicate in writing. The following factors will help you to decide if it is the best way to communicate your message, or whether it is better to use other forms of printed materials (for example a poster, leaflet, fact sheet, etc).

The number of people affected plays a considerable role. A letter is not seen as affordable when there is a large number of affected persons. Moreover, people expect a personalised message if the issue is of significance to them. Letters should be kept for relatively short and simple messages. If it is important to include visual materials (maps and illustrations), it is better to use another form of printed material.

A letter is most effective when a particular person or a particular group is addressed (for example, a list of representatives of stakeholder groups, or to maintain contact with people who

have already indicated their interest in a project). Even when the letter is addressed to its recipient by name, there is a risk that it will be dismissed as junk mail, particularly if the relevance of the information to the reader is not immediately apparent.

Official letters are often written in an overly formal language style which is unlikely to encourage people to read them. Special care should be taken to avoid this by using clear, simple language. If a large number of your target audience are likely to have limited literacy skills in the official language, a tool with more visual content is likely to be more appropriate.

When should you use a letter?

A letter can be used to announce the commencement of a project or to invite people to a project event. It can also be used to engage statutory agencies and organisations, to seek issues to be considered in a project or to request feedback on the project.

Letters can be an effective way to reach people when the target audience is known, such as residents of a local area, or even employees of local business if letters are sent to the work place. However, letters cannot be used if you need to target people without knowing their home or business address, for example if you wish to communicate with current users of a particular public transport route. In this case, posters along the route, or leaflets distributed at work or at interchanges would be more effective.

A letter can be used to consult a small number of people and may be more cost effective than preparing a large brochure or newsletter. A letter should be personally signed by somebody of importance within the community, such as the local mayor or the head of the department in order to stress the importance of your communication.



Official letter from the City of Cologne to residents announcing the start of an internet forum.

NOTES



Writing letters

Give the logo and full address of your organisation and the date of the letter.

Address the letter personally. Use mail merge software if you are writing to a large number of people.

Keep text short and simple.

Give direct contact details queries or complaints.

Give your name, and state your role in the project.

If your letter is more than 1 page long, it is probably the wrong tool for the information you need to communicate; a fact sheet might be more appropriate.

The envelope

Important information on Littleborough roads enclosed.

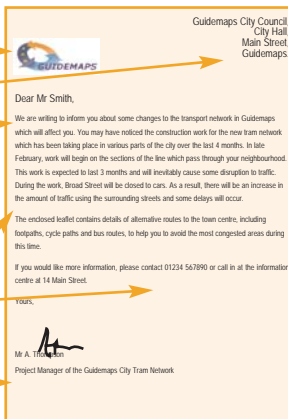
Mr Smith,
1 Anywhere Road,
Littleborough,
Guidemaps.



Check if name and address details are accurate, otherwise the letter may not reach its target. Letters addressed "To the Occupier" are less likely to be read.

Add your logo.

Make sure your letter is not mistaken for junk mail by labelling it carefully.



Distributing letters

For important information, it is useful to type a message in large dark font across the front of the envelope such as 'IMPORTANT INFORMATION ABOUT YOUR AREA - PLEASE READ'. This may attract more attention than other letters that look like 'junk' mail. Placing the letter in an envelope that displays the logo of the organisation can also make the letter look important.

Replies to letters can be filed and registered in a project database. This can form the basis of a future mailing list for the project. All people added to the mailing list should be made aware that their names and contact details will only be used for project purposes and will not be forwarded to a third party. This is particularly important in countries in which new privacy and data protection laws have been introduced.

Delivering letters

Letters can be distributed via a distribution company or the local postal service. If using a distribution company, make sure you give the company clear instructions about where you want your letters distributed - it is best to define the area on a map and state whether they are to include all properties such as residences, businesses, blocks of flats, flats above shops or community facilities; when you want your letters distributed - specify the date you need them distributed by; and how many letters you want distributed.

The local postal service will usually only deliver to defined postal areas and often require more notice than a distribution company, but may be more reliable.

Practical information

Who participates and how?

The audience for a letter can vary depending on the intended message. Letters can be used to communicate with key stakeholder groups, individual households and businesses, properties directly affected by the project and respondents who have requested more information about the project.

How much does it cost?

It generally costs more to post letters using the national post office than employ distributors to deliver door-to-door, but it is more reliable.

What skills are required?

A letter writer should be able to communicate information using short, clear sentences. You should be able to clearly and simply communicate a message. The purpose of the letter should be stated upfront.

Organisational skills are important to make sure the letter is prepared in time for distribution. Some distribution companies require the letter two weeks prior to distribution. Letters should be dated to reflect the time they are distributed and likely to be received by residents. A letter should be kept to a maximum of 1-2 pages. Any longer and people will not read it.

How is it used with other techniques?

You will often want to combine a letter with other means of communication such as advertising, posters, leaflets / brochures, newspaper articles, etc.

What are the drawbacks?

Letters that are not personally addressed are often not read by people or get lost in 'junk mail'. For large amounts of information a letter may not be the best medium. Alternative and more appropriate techniques such as newsletters and fact sheets can be used however are more expensive.

Assessing a letter

| BEFORE | DURING | AFTER |
|---|---|---|
| What is the objective of the letter? Is it the right tool for communicating or engaging on your project? Have you researched the best way to distribute the letter and contacted relevant companies and the local post office? Who do you want to distribute the letter to and is it the best form of communication for these people? | Have some people reported that they have not received the letter? Have you confirmed with the distribution company/postal service that all letters were delivered on time and to the identified location? | Was the letter the right tool for the project and the message you were trying to communicate? |

What are posters, notices and signs?

Posters, just like papers, reports, and presentations, are used to communicate something. The something may be a project, a piece of research, a proposal, an idea, and so on. When preparing a poster, as with the other examples mentioned here, it is important to consider a number of factors, including:

- Who is your intended audience? Just like anything else, you need to know who you are designing for.
- Why would they want to know? What motivation does your audience have for reading your poster?
- What do you want to communicate to them? You need to have some content worth communicating!
- How will you achieve it? What ideas do you have for the design and layout of your poster to communicate your content?

Analysing your audience. Who is going to read your poster?

Different stakeholder groups will affect your content and design decisions:

- What critical concepts/terms/issues will need to be defined for each stakeholder group?
- What visual aids (tables, graphs, and so on) can be used to convey information to stakeholder groups with a wide range of interests and experiences?
- What questions can you anticipate stakeholder groups having about the information conveyed in your poster?
- What questions do YOU want to answer for these stakeholders?
- What are the key messages?

How to start

- **It all starts with an idea:** you must turn that idea into a succinct message and support it with a combination of images and short blocks of text;
- **Know your message:** what is the one thing you want your stakeholder to learn?
- **Know your audience:** your stakeholder determines the tone and content of your poster;
- **Write simply:** your poster must be understood - and get people interested in viewing it;
- **Create an effective poster:** carefully plan, draft, edit, and construct your poster;
- **Present your poster effectively:** investigate the most effective location for your poster; and
- **Evaluate your results:** incorporate what you've learned into your next poster.

When should you use a poster?

Posters, signs and notices can be used to advertise an engagement event or increase awareness of a project. They can be used during any stage of the decision-making process depending on what you are trying to communicate and to whom.

They are often useful to attract the attention of passers-by who may be visiting an area and who may not have otherwise been aware of the project.

Posters, signs and notices can be displayed in shop windows, on community notice boards and at bus and train stations. They can also be attached to street posts and other public spaces with the permission of the relevant authority.

It is important to date the poster, sign or notice so people know if the information is current. Furthermore, you should remove them if they are no longer current.



A poster used to promote the community exhibition for the 'Old A120 By-pass scheme' in Essex, England.

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Planning your poster

What's my message?

- Pick one thing that you want your readers to learn;
- If visuals and text do not support your message, leave them out!

How much room do I have?

- Determine specific size requirements - this affects what you can fit, what you'll have to leave out and how things will be organised.

How much money do I have?

- What materials will the poster be made of? Glossy paper, cardboard, foam core, Electronic reader board;
- Can the poster be produced by existing staff or is a contractor required?

Details Matter

- Check for consistent formatting, correct grammar, and correct spelling;
- Avoid abbreviations and acronyms; and
- Always include contact details.

Set up some deadlines

- Preparing a poster will take as much time as you let it. Allocate your time wisely;
- There are always things that can go wrong, so don't wait until the last minute to do even a simple task. This is especially important if the poster is multi-authored.

A quick poster checklist

- ☒ What is the theme of my poster?
- ☒ Does my poster have a title?
- ☒ Are my lines straight and margins even?
- ☒ Are the sentences punctuated and is the spelling correct?
- ☒ Do I have a good balance of text and graphics?
- ☒ Is my arrangement simple and uncrowded?
- ☒ Does my eye flow naturally from one point to the next?
- ☒ Can I read the introduction and other paragraphs from at least 1 metre (3 feet) away?

Creating your poster

Layout

- Balance the placement of text and graphics.
- Use white space creatively to define the flow of information.
- Don't fight 'reader gravity' that pulls the eye from top to bottom, left to right.
- Column format makes a poster easier to read in a crowd.

Graphics

- Graphics should be simple and clean.
- Stick to simple, 2-D line graphs, bar charts, and pie charts.
- Avoid 3-D looking graphs unless you're displaying 3-D data.
- Use photos that help deliver your message.
- Use spot art -- but not too much -- to attract attention.

Text

- Minimise text! Keep text elements to 50 words or less.
- Use phrases rather than full sentences.
- Use an active voice.
- Avoid jargon (depending somewhat on audience).
- Use no more than two fonts.
- Text should be large -- at least 36 point for title panels; 24 point for text.
- Text used in figures should also be large.
- Title should be at least five centimetres (two inches) tall.
- Headings help readers find key sections -- objectives, results, etc.

Colours

- Use light colour background and dark letters for contrast.
- Avoid dark background with light letters -- very tiring to read.
- Stick to a theme of 2-3 colours, no more.
- Overly bright colours will attract attention, but wear out readers' eyes.

Software tools

- MicroSoft PowerPoint is a good, relatively easy-to-use tool for creating posters.
- Adobe Illustrator is also good for figures.
- Adobe Photoshop is good for manipulating images.
- MicroSoft Excel can create graphics and export them for PowerPoint.

Edit and evaluate

- Edit! Edit! Edit! to reduce text.
- If it does not support your main message, remove it!
- Have colleagues comment on drafts -- hang a draft with pens and invite them to critique.
- Try the 60 second evaluation.
- Are your objective and main message obvious?
- Will readers be able to contact you?

Practical information

Who participates and how?

A poster, sign or notice attracts the attention of people in a defined area. They are used to alert people to your project and to encourage engagement by including contact information for project staff. It encourages participation by any number of people who may view the poster.

How much does it cost?

If professionally designed, in full colour glossy, a poster can be a relatively expensive technique. However, simple two colour posters with limited graphics can reduce overall costs. It can be costly if the poster needs to be durable requiring waterproof and wind proof finishings.

What skills are required?

Graphic design skills can assist in the preparation of a poster. The ability to write short simple phrases that capture a key message is also important. A poster should grab the attention of the passer-by.

How is it used with other techniques?

A poster is generally used to advertise another engagement event such as an exhibition or open day. It can also include project contact details.

What are the drawbacks?

If not designed properly a poster, notice or sign may not grab the attention of people. This may result in less publicity about the project, and wasted effort.

What are leaflets and brochures?

A brochure or leaflet is a short printed document, usually with a strong emphasis on design. It is useful for delivering a simple message to a large number of people. It is not the appropriate tool for complicated technical information.

A brochure may be used to briefly introduce a project, to advertise forthcoming engagement events such as exhibitions, or shortly before implementation to prepare the public for changes.

If you distribute a brochure widely, this will raise the profile of the project so you should be prepared to respond to queries from the media, stakeholder groups or members of the public. Some people may request more detailed information than can be provided in a brochure. It may be possible to provide a telephone hotline and/or a website or to refer them to a fact sheet providing more information.

How to use a leaflet/brochure to INFORM?

A leaflet or brochure is short, 'eye catching' and aimed at communicating a key message to readers. It can provide a short and simple description of the project, how stakeholders can be involved, a timeline for upcoming events and a list of contact details for how people can find out more. It is usually widely distributed either to named individuals or to addresses in a large defined area. A brochure/leaflet is easy to read through, with the use of large font, spacing and bullet points or numbering to summarise key information. Headings should be large and eye catching, particularly if the brochure/leaflet contains important information that might affect residents. The information presented is simple, with limited use of jargon and technical expressions, and includes positive rather than negative statements. Where possible, key information can be summarised in a diagram or map that should be clearly labelled.

How to use a leaflet/brochure to ENGAGE?

A leaflet/brochure can be used to publicise a project or event. It can be used to invite stakeholders to attend an event or make them aware that an event is taking place. Some brochures/leaflets can include a small tear-off section requesting names for a project mailing list. Others can also include a short closed ended survey asking an opinion on a certain topic. Often, they will also be made available at key public locations such as information centres, public transport interchanges or shopping centres. As many types of brochures/leaflets are produced and distributed throughout the community, it is important to ensure your leaflet/brochure grabs people's attention. This will assist in increasing participation in the project.

When should you have a leaflet/brochure?

A leaflet/brochure may be useful during any of the stages of the transport decision-making process. It can be used to introduce a project or publicise an event.

- Do you want to increase the exposure of the project and increase public awareness?
- Do you have a message that is short and simple that you want to publicise widely?
- Will your audience benefit from this publication?
- Do you have an event that you want to publicise?



A stakeholder accessing information about transport projects in the local area.

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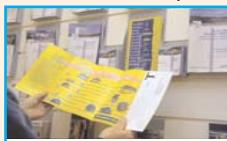
Producing a leaflet / brochure

A leaflet/brochure can be produced in a number of ways. Some examples are illustrated here:



This leaflet from Ile-de-France uses strong pink to attract attention. The leaflet is small and the layout simple, with a single fold in the middle. Photographs and drawings make it easy to recognise what the leaflet is about and informal lettering is likely to appeal to a wide audience.

This leaflet, also from Ile-de-France, is printed on a larger piece of paper, but folds to the same size as the one above. Again, the colour is strong and the text is supported by illustrations. This leaflet also includes a questionnaire section, allowing readers to return their comments easily. Distributing this leaflet at railway stations made it possible to target train passengers cheaply and without needing to know where they lived or worked.



The cover of this brochure produced in Bochum is clear and simple and shows that it is not always necessary to use complicated graphics or designs to get your point across. In this case, the simplicity of the design makes it eye-catching. Using few words on the front cover makes it possible to quickly identify what the brochure is about.



This leaflet, produced for the Saarbrücken Saarbahn project, uses a simple but effective design on the front page. It is based on the logo for the scheme, which helps brand recognition. The large lettering enables the title of the leaflet to be identified from a distance. The front page also includes an identification number ("Information Number 2") and the date.



Again, the layout has just one central fold, but each page is larger than in the single-fold example from Ile-de-France, allowing more information to be presented. This leaflet is extensively illustrated with graphs and maps.

Leaflets checklist:

- ☒ Use colour to attract attention.
- ☒ Limit text on the front page, but do emphasise the areas affected.
- ☒ Use maps or pictures to illustrate key information.
- ☒ Include organisation logos and contact information.
- ☒ Give the date, to enable readers to determine whether information is likely to be current.
- ☒ Mention other related publications or resources.

Assessing leaflets and brochures

| BEFORE | DURING | AFTER |
|---|--|--|
| What is the purpose of the leaflet/brochure? What information are you trying to provide? What do you want the leaflet/brochure to do? Who is your target audience? What format will people respond to best? How will the leaflet/brochure be distributed? | Does the leaflet provide clear and simple information? Is it eye catching and attention seeking? Will people notice it over other brochures? Are people responding to the leaflet/ brochure? | Was the leaflet/brochure the right tool for this project/event? Did participation in the project increase? How could the leaflet/brochure have been improved? Was it distributed widely enough and in the right way? Could distribution have been improved? Was the leaflet/brochure suitable for the target audience? |

Practical information

Who participates and how?

The number of people who collect a leaflet/brochure will depend on how it is distributed. Leaflets/brochures can be left at community locations such as libraries, councils and places of worship. This can increase awareness and participation rates. If they are not widely distributed participation rates may be low. If the leaflet/brochure does not grab people's attention, it may limit how many people notice the leaflet/brochure and pick it up to read.

How much does it cost?

It is useful to employ a professional designer to create an eye catching design for your leaflet/brochure. This will add to your costs. Distribution costs is another thing to consider in your project budget. There are ways to limit distribution costs, such as contacting the council and asking them to distribute the leaflet/brochure with their official documents or regular publications. Brochures are usually light in weight and often will add very little to postal costs if distributed with other publications.

What skills are required?

The ability to write clearly and simply and to present a clear message is important. The skills of a professional designer may also be required.

How is it used with other techniques?

A leaflet/brochure may be left at various locations, such as, an information centre, open day or exhibition. It may be distributed to advertise a focus group, workshop or community visit, or to publicise the commencement of a project.

What are the drawbacks?

A leaflet/brochure may not reach as many people as intended. Often leaflets/brochures for projects get caught up with advertising and 'junk' mail which means that fewer people notice and read them.

FS 41: Fact sheet

What is a fact sheet?

A fact sheet is a short document designed to provide a review of a project or strategy. It can provide detailed descriptions, but should not rely on the reader having technical knowledge if it is to be publicly available.

A fact sheet can be a useful reference document to accompany responses to any queries from the public. It may be particular effective for providing reassurance to individuals following unfavourable or inaccurate media coverage. It will often be interpreted as a definitive document, so if the project described is still an option under consideration this must be clearly stated.

A fact sheet can also be used as an engagement tool, with the addition of a response sheet section to allow readers to mail in their comments.

How to use a fact sheet to INFORM?

A fact sheet can provide detailed information about a specific topic. It is used to explain technical information about a project in clear and understandable language. This enables a reader to be informed about difficult components of a project, making them better able to contribute to the decision-making processes.

It may be useful to explain information with diagrams and illustrations and to support these with brief explanations. A Question and Answer format can be effective as it anticipates the types of questions people might ask and provides detailed answers. Information included in a fact sheet is not sensationalised or 'dressed up'. It provides the bare facts about an issue or project. A fact sheet aims to provide technical information in an easy to understand way for the non-technical reader.

How to use a fact sheet to ENGAGE?

A fact sheet can include a comment form and contact details for feedback on a project or issue. A fact sheet can also provide information about an upcoming event, such as a workshop.

It is beneficial to state how the information presented relates to the rest of the project and how it will help the reader to understand the project. This will make people better informed to comment and make decisions. It may also encourage people to participate in upcoming events, as they feel they have more knowledge on the subject and have more of an understanding of the issues or questions important to them. Determining how to distribute a fact sheet is important. A fact sheet can be distributed to a mailing list or delivered to all addresses in a directly affected area.

When should you have a fact sheet?

A fact sheet can be prepared at any stage of the decision-making process when the explanation of complex and technical information is required. It is a good idea to prepare a fact sheet as an information tool prior to an event such as a workshop or focus group, where the discussions may involve information contained in the fact sheet. You may decide to prepare a fact sheet in response to a community request for additional information about an issue or concept.

- Do you need to explain technical information to non-technical people?
- Will your audience benefit from this publication?
- How many fact sheets do you think you will need to prepare?



A fact sheet distributed to local stakeholders in Brno, Czech Republic.

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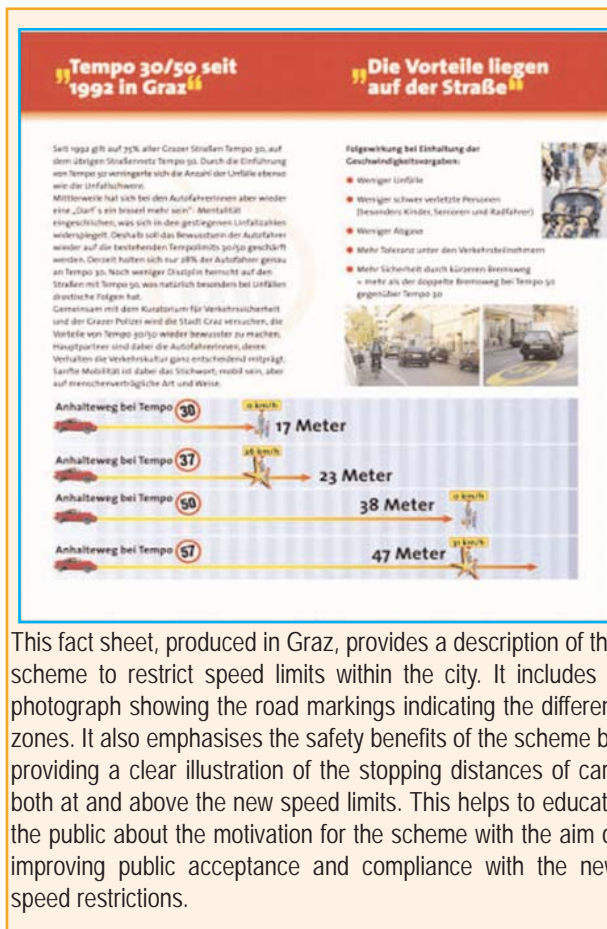


Designing a fact sheet

The design of your fact sheet will depend on the type and quantity of information which you need to present. This page shows a checklist of things to consider when designing your factsheet, and an example from Graz, Austria.

Fact sheet checklist:

- ☒ Include photographs.
- ☒ Show maps of the project where appropriate, marking on any local landmarks to aid recognition. If possible, use artist-drawn maps with recognisable pictures of buildings or landmarks, as these will be more accessible than technical survey maps.
- ☒ Focus on the most important information.
- ☒ Drawings or computer generated images illustrating how the finished scheme will look are more effective than lengthy text descriptions.
- ☒ Make sure that it is clear what decisions have been taken and which are still to be made.
- ☒ Use captions to draw explain what each figure shows and to draw attention to important features.
- ☒ Use clear language and explain all technical terms and acronyms.
- ☒ Decide how, when and where you will distribute your fact sheet and allow plenty of time for preparation.



This fact sheet, produced in Graz, provides a description of the scheme to restrict speed limits within the city. It includes a photograph showing the road markings indicating the different zones. It also emphasises the safety benefits of the scheme by providing a clear illustration of the stopping distances of cars both at and above the new speed limits. This helps to educate the public about the motivation for the scheme with the aim of improving public acceptance and compliance with the new speed restrictions.

Practical information

Who participates and how?

The number of people who read a fact sheet will depend on how it is distributed. If not distributed via a mailing list or letter box drop, advertising may be required to increase people's awareness of the publication.

How much does it cost?

Designing, printing and distribution costs are things to factor into your budget for a fact sheet. Furthermore, if topics are complex you may require an expert to review the information to ensure it is accurately summarised in the fact sheet. Translation services may be an additional cost if the fact sheet needs to be provided in languages other than the native language.

What skills are required?

A technical expert may be required if the writer does not fully understand the topic being explained in the fact sheet. A fact sheet may require the skills of a professional designer particularly if the simplification of technical drawings and illustrations is required. However, it is possible to produce a fact sheet without a professional designer. A fact sheet should be kept short and simple.

How is it used with other techniques?

A fact sheet may accompany a newsletter or be left at various locations such as an information centre, open day or exhibition. It may be distributed prior to a focus group, workshop or community visit to provide additional information to participants. It can also be used to publicise engagement events or provide links for further information.

What are the drawbacks?

A fact sheet primarily focuses on a specific issue or project and therefore the amount and type of information provided is limited to these areas of interest. There is no guarantee that a fact sheet has been read and therefore evaluating the success of this method of communication can be difficult.

Assessing a fact sheet

| BEFORE | DURING | AFTER |
|---|---|---|
| What is the purpose of the fact sheet? Are the aims of the fact sheet clear? Is there enough current information on the topic to explain to people, or is additional research required? | Does the fact sheet answer questions people may have about the topic/project? Is information clear and easy to understand? Are enough illustrations provided to support text? Are people finding the fact sheet useful and informative? | Was the fact sheet the right tool for this project? Did the fact sheet increase people's awareness and knowledge of the topic project? Has participation in the project increased? How could the fact sheet have been improved? |

What is a newsletter?

A newsletter is a document which is produced regularly, providing up-to-date information on how a project is progressing. It may be published at key stages in the decision-making or at regular intervals (e.g. monthly or quarterly). The interval between issues and the number of issues produced will be governed by the amount of information to be communicated to the public and by the available resources.

You can use a newsletter to deliver a wide range of information throughout a decision-making process. A newsletter can also provide the public with reassurance that a project is continuing, particularly in the planning stages where there may be few physical signs of progress.

If widely distributed, a newsletter has the potential to reach a large audience. Careful thought should be given to the design and method of distribution to maximise delivery of information.

On the next page you will find an example newsletter to show you the items which you should include when designing a newsletter, but there are also a few key points about the design as a whole which you need to consider. A general rule which applies to all printed materials (and for that matter to all communication tools) is that you should keep it simple. This applies to both the information presented and the design.

When you are choosing a design for the first issue, make sure that you can easily adapt the design later on. This will reduce the cost of design and provide a link between the issues. You should also consider the production process before you start your design. A colour design which is printed in black and white to reduce costs will be less attractive (and less effective) than one designed for black and white.

Distribution of the newsletter is a very important. First, you must decide whether you can effectively reach your target

audience using a single method, or whether a number of approaches are required. If you intend to contact only the residents of an area, you may wish to deliver the newsletter to home addresses. The cost, reliability and the likelihood that the newsletter will be read will all depend on who you choose to deliver your newsletter.

If you do not know the home addresses of your target audience (for example if you want to supply information to people who travel into an area for work or for leisure) you will need to explore other options for distribution. You could consider making the newsletter available in various public places, such as, council offices, libraries, information centres and rail or bus stations.

Finally for a cost effective option, you could explore opportunities for including information on your strategy or project in newsletters produced by other organisations.

When should you produce a newsletter?

A newsletter can be produced at any stage of a transport strategy or scheme. You will need to decide:

- When to produce the first issue. This will depend on when you want to start your communication with the public;
- How many issues you will produce (and whether these will be at fixed intervals or at particular stages in the process). Unless you are sure that you will want to communicate more information in the future, it may be more appropriate to use an alternative tool, such as a factsheet; and
- When to stop producing the newsletter. You may decide that it is worthwhile continuing the newsletter beyond the lifetime of the project to deliver information on other transport projects.

The information which you present will vary as the strategy or scheme develops.



A newsletter distributed to local stakeholders in Maribor, Slovenia.

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Designing a newsletter

Here is an example to show you some of the things that you should remember to include when designing your own newsletter. The way you arrange these items on the page will determine the overall look of your design. You may want to use 2 or more pages if you have enough information, but remember that you want people to choose to read it, so keep a balance between text and graphics and focus on delivering information that will be interesting to your target audience.

Title

Your title should make clear what the newsletter is about. Make sure that the name of the area which will be affected by your project is prominently displayed.

Logo

Include your organisation's logo, so that the reader knows who has produced the information.

Text

As with all written materials for communication, think about why you are producing the newsletter. Decide what information you want to present and focus on key points. Use clear language and remember to make it interesting to your target audience. Be aware of likely concerns and show that you have considered them.

Pictures

Include pictures and maps of the area where possible, as not everyone will recognise the names of streets or areas. Mark local landmarks such as shopping areas, sports grounds or schools.

Contact information

Include a contact telephone number, email, and website address for more information.

You could also include:

Contact details for relevant community organisations
Profiles of key figures involved in the decision-making process.



Issue number and date

Give the issue number and the date that the newsletter was produced. This makes it easy for readers to know whether the information is likely to be up-to-date.

Key dates

Give the key dates for the project, including when any decisions will be made.

Coming events

Include information on any forthcoming events relating to the project. Make sure that the newsletter will be distributed before the events take place.

Next issue information

Tell the reader when the next issue will be available. If the date is not fixed tell them what has to happen first (e.g. "when we have got the results of our survey").

For engagement...

If you wish to gain feedback from the public, add a cut-out survey or a form for comments.

Assessing a newsletter

| BEFORE | DURING | AFTER |
|--|---|--|
| Can the information you want to communicate be delivered in a newsletter? Will there be enough interesting material for future issues? Are resources available? | Are stakeholders satisfied with the design and the amount of information presented? Is the newsletter resulting in a better public understanding and assessment of the project? | Was a newsletter the right tool? This depends on whether sufficient resources were available and whether the goals were fulfilled. Was the newsletter produced at the right times to allow all affected citizens to learn about the project? |

Practical information

Who participates and how?

The range of people who read the newsletter will depend on how it is distributed. Delivering to home addresses will access residents but will not reach people who regularly travel into the area for work or leisure. You will only reach those who choose to read the newsletter, so plan your design carefully.

How much does it cost?

Keep the newsletter short to keep printing costs low. Using black and white or a single colour design can also be economical. Printing cost per copy will reduce with the number of copies produced. Distribution costs depend on the number of copies distributed and the method chosen. Cheaper distribution options can be less effective and less reliable.

What skills are required?

The design of the newsletter is important, but you will not necessarily need a professional designer. A simple approach can be effective, particularly if the text is well written. Depending on the nature of the project, it may be possible to involve interested volunteers in the preparation of the newsletter.

How is it used with other techniques?

A newsletter can complement other elements of a communication strategy by providing up to date information. It is an effective way to publicise events and can also include a response sheet to obtain feedback from the public.

What are the drawbacks?

The newsletter is a remote technique. It can be difficult to gauge whether the information has been read (or, in some cases, delivered) and as with all printed documents, it may be less effective at reaching minority groups.

What is a technical report?

A technical report is a detailed review of a scheme or strategy designed to be read by an audience with a certain level of knowledge of transport planning. These will usually be transport planners, politicians, transport operators or other official actors in the decision-making process.

The content of the report will vary depending on the stage in the decision-making process. For example, a technical report may identify or review a problem to be addressed, give discussion of a number of options under consideration or present an evaluation of a project which has been completed.

You could consider placing technical reports on a web-site. If you do this, they may reach a wider audience and you must be prepared to respond to questions or concerns from interested people who may be unfamiliar with some of the terminology used.

How to use a technical report to INFORM?

A technical report is a summary of a detailed project report. This can include technical information about why the project is being undertaken, background to the project - summarising steps that have been undertaken to date, detailed information about specialist investigations, explanations of terms and concepts being investigated, next steps, engagement activities planned and results of previous engagements.

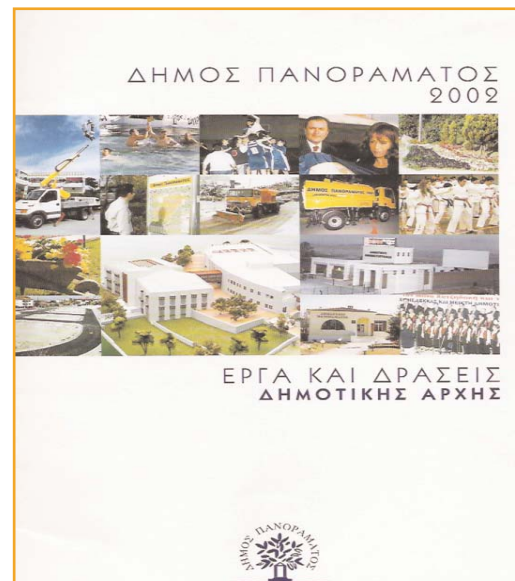
A technical report can include results of studies providing data and analysis. It can also include detailed illustrations and graphs which may not be easy interpreted by non-technical people. Information is factual and the document is not intended to be concise. A date should be included on the technical report and references provided to other reports referred to in the report.

How do you use a technical report to ENGAGE?

A technical report is commonly used to inform the public. It can also be used to provide additional detailed information as part of a feedback process. The name and contact details for a person working on the report can also be included for further information. It is often accompanied by a letter seeking feedback or comment. A technical report may be distributed to a stakeholder mailing list. It is not often widely distributed to all addresses in an area. This is costly and the general public will find a document of this size and detail difficult to comment on. A technical report can be made available at locations such as the library, offices of government agencies or information centres. Keeping one or two copies at each location as "reference only" ensures that the resource is always available.

When should you have a technical report?

- A technical report can be prepared at various stages of the project depending on what studies or investigations have been undertaken. It is therefore more common for technical reports to be prepared at key stages of the decision-making process when milestones have been reached or studies completed, rather than at the commencement of the project;
- A technical report may summarise a number of more detailed study reports into a technical progress report; and
- The number of technical reports prepared will depend on how the project is structured and the amount and range of detailed information that needs to be summarised.



A technical report prepared for distribution to stakeholders in Panorama, Greece.

NOTES



Writing a technical report

A technical report **SHOULD**:

- Explain technical issues thoroughly;
- Contain detailed and accurate information;
- Distinguish clearly between expert opinion and objective fact;
- Identify inputs and models used in the analysis and discuss any strengths and weaknesses;
- Identify the level of confidence in any conclusions reached and any limitations on the analysis used to reach those conclusions; and
- Present evidence to justify any recommendations made.

A technical report **SHOULD NOT**:

- Use technical terms or acronyms without a clear definition of their meaning in the content of the project;
- Distort the results shown to support a particularly opinion, or a particular project or option;
- Exaggerate or over-simplify the issues involved; or
- Omit information which contradicts conclusions reached.

Graphics in a technical report

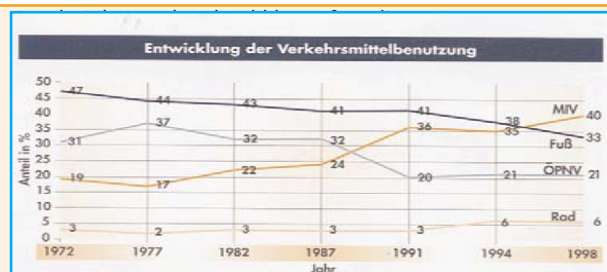


The graphics in a technical report are very different from those produced for engagement materials intended to have a wider audience. Technical reports contain maps, graphs and photographs which present additional technical information. The two maps of the Gävle cycle network on the left are detailed and drawn to scale and would be appropriate for use in a technical report. Meanwhile, the cartoon-style map on the right is better suited to a leaflet or poster.



Labelling figures in a technical report

The graph on the right describes modal share against time for the city of Erfurt, and is typical of the type of the type of figure which might be included in a technical report. Such figures must be carefully labelled, including an explanation of the meaning of each line. The caption accompanying each figure should also explain the context of the figure and draw attention



Assessing a technical report

| BEFORE | DURING | AFTER |
|--|---|---|
| Are you at the right stage of the project to be preparing a technical report? How are you going to distribute the technical report and to whom? Is there enough information available to prepare a technical report? Have you confirmed with the authors of the different studies that their results can be published? | Is the information explained in enough detail? Are people responding to the technical report? Is information in the technical report still current? | Was feedback positive or negative? How could the technical report be improved? What additional information could have been included? Could the distribution process have been improved? |

Practical information

Who participates and how?

The technical report is written for people with a technical background. It is not often targeted at non-technical people although these people are not excluded from participating. Obtaining comments on the broad contents of a technical report is the main form of feedback and participation. A letter can accompany the report to direct people to certain sections where comment is sought.

How much does it cost?

A technical report can be costly to produce. Often technical reports are desktop published which can add costs to a project budget. A number of people may contribute to writing the report which can be expensive. Costs are associated with the printing and binding also as well as distribution.

What skills are required?

The ability to comprehensively summarise technical information is important. The author also needs to know how to extract important information from other documents for inclusion in a technical report. The skills of a professional designer may also be required.

How is it used with other techniques?

A technical report may be left at an information centre or an exhibition. It may include contact details such as a web page, hotline number or email address for feedback and further information.

What are the drawbacks?

A technical report can often include a lot of information which may be difficult for some people to clearly understand. It can contain a lot of facts and figures. This can be overcome by complementing a technical report with an information session or by including a phone number for further information.

What are telephone techniques?

Telephones can provide an efficient way of public engagement and providing information. A very high proportion of the population, especially in Europe, have access to telephones (home, work, mobile). Telephones can be used to provide information, such as, hot-line numbers to describe essential transport improvements/maintenance or telephone surveys to gauge the public perception on certain transport related issues/proposals.

A major benefit of telephone engagement is that people can be accessed remotely and can gain information on a project from anywhere and anytime they choose. Additionally, the telephone is a good method for people to contribute their comments, concerns and ideas on specific issues to a member of the project team.

Using telephone techniques to deliver information

Telephones can be a useful tool for delivering information to the public, such as a recorded information bulletin that would be a valuable resource for providing up-to-date travel information. This technique should be easy to use, possibly in various languages and could provide options from a main menu, where the information required can be obtained by selecting the relevant key. Another option which is beginning to be used to provide up-to-date travel information is SMS messaging. This can either be a subscriber-based service, where the user supplies details of their usual journey pattern and receives a text message alert if there are likely to be any disruptions or delays on the route, or be provided on an individual journey basis, with the user receiving information in response to a specific request.

Benefits of telephone techniques

interactive

Used to encourage discussion, queries and response

accessing hard-to-reach

Reach out to people who might not usually participate in transport processes

simple

Special training is not required

around the clock

Messages and information can be accessed 24 hours a day/7 days a week

large geographic area

Shows desire to communicate

useful results

In sampling public opinion and becomes useful in future decision-making

When should you use telephone techniques?

Telephone techniques that are intended to provide information to stakeholder groups (e.g. a hotline) should be established from the very start of the project, right through to post-implementation monitoring and evaluation. Those which seek to obtain information will be used at particular stages in the process, for example, to seek the views of a sample of people about local problems and issues.

Telephone and mobile phone techniques are most effective when integrated with other techniques. They are used as part of an engagement programme that includes a variety of printed, electronic, and personal media. Hotlines complement other engagement techniques, providing a means of building mailing lists and initiating more meaningful personal contacts.



A telephone operator taking responses from stakeholders about their ideas.

NOTES



A telephone hotline

Hotlines have the following basic features and characteristics:

- An established, well-publicised telephone number that operates - at a minimum - during business hours; many hotlines offer 24-hour toll-free communication access via a special number;
- An answering service to receive calls when staff are not available;
- A staff person designated to receive and respond to calls;
- A policy and an agreed information package for staff to use to respond to questions; and
- It is important that staff are aware of the procedure should a caller be abusive.



Ile de France - sign providing information on the PDU hotline number.

Recording a message for an information hotline

Here is an example script for a recorded information hotline.

Greet your callers, thank them for calling and explain what information the hotline will provide. Tell them what the call will cost. Also, remind them to have a pen and paper ready to record important details. Do this near the start of the call. That way if they can leave the phone and call back if necessary.

Hello and thank you for calling the Guidemaps City Tram Information Hotline. This call is free. This hotline will provide the latest information on the proposals to build a tram network for Guidemaps City, including details of recent announcements and forthcoming events. You may wish to write down some of the information given, so please have a pen and paper to hand.

If, after listening to this message, you have any questions about the project or would like to be sent further information, please call 0123 456789 to speak to one of our advisers. This service is available between 8 am and 6pm Monday to Friday and between 9am and 1pm on Saturday.

Give the information on the project. Keep it simple.

The latest information on the tram proposals now follows. On Monday 24th January 2005, the design team presented 3 possible route networks for the tram system to the City Council. These options will now be presented to the public in a series of exhibitions to take place in April and May. Details of the exact dates and venues for the exhibitions will be available on this hotline from Wednesday 23rd February.

ALWAYS speak clearly and slowly. Choose someone without a strong accent or dialect.

Thank you for calling the information hotline. If you have any questions, please call our advisers on 0123 456789. This service is available between 8am and 6pm Monday to Friday and between 9am and 1pm on Saturday.

Give an alternative number which they can call to speak to someone directly in case they have other questions or comments. Some people will only be calling for this information, so put this near the beginning of the message. Don't forget to tell them when someone will be available to take their call.

At the end of the message, thank the caller again and repeat the contact number in case they require further information.

ALWAYS play back your message to check that it has recorded correctly.

Assessing telephone techniques

| BEFORE | DURING | AFTER |
|---|---|---|
| Is the introduction right, have you included an explanation of the project and call information? Have you provided all the facts regarding the project, and been able to answer their enquiries? Have you given an opportunity to access further information about the project? | Is the tone polite, clear, understanding and informative? Is there an opportunity to get feedback from the caller, on a specific project or issue? Have you obtained all the information from the caller and have you been able to help them? | Were you able to assist the caller with all their enquiries? Was there anything that you couldn't help them with? What suggestions could you give for future improvements to the hotline? |

Practical information

Who participates and how?

Most people can be engaged through a telephone engagement method and it can be used to reach a statistical sample of the community. In the case of a hotline, the project manager would identify how and to whom the promoting of the hotline number would be targeted.

How much does it cost?

The cost of the telephone and mobile phone technique would vary according to the type and duration of the technique used. However, consideration should be given to staff costs to set up and monitor the calls, answer enquiries and analyse the results. Consideration should also be given to resource costs of the technique, such as setting up dedicated phone lines and preparation of the material to be included.

What skills are required?

The project manager should be interested in good communication and be able to set up an effective technique to take into consideration his/her intended outcomes. The phone operators should have a good understanding of the project and be patient and polite with a well-understood voice.

How is it used with other techniques?

Telephone and mobile phone techniques would work well as part of the marketing and communication strategy. It is always recommended to include a contact telephone number on any material sent out for engagement, such as, exhibitions, leaflets, websites, etc. This would promote engagement with the project team.

What are the drawbacks?

Recorded messages don't necessarily promote engagement. It would always be beneficial to have the option of speaking to an operator. Early consideration should always be given to how the information received through telephone engagement will be analysed or used to achieve the particular outcome.

FS 45: Local radio and television shows

What is a radio/television show?

A local radio or television show typically involves a dialogue between the presenter and the project promoter or expert (often with back-up journalist reporting), sometimes with a live audience providing reactions and asking questions, or (in a call-in radio show) with listeners phoning in and asking specific questions. This enables:

- Information about the project to reach a wider public audience (e.g. messages about key benefits of a project, or the promotion of an engagement event);
- Much more detail to be presented than in a newspaper article;
- Clarification to be provided about a specific issue or concern; and
- Other public concerns and misunderstandings to be aired.

Preparing for a radio/television show

It is essential to be sufficiently prepared before appearing on a show:

- Learn as much as possible about the interviewer. Do they have previous knowledge or expertise on the subject? What is her/his questioning style?
- Gather basic information about the show. What is the type of audience? What is the show's reputation?
- Prepare an outline of the specific points or issues you wish to make. Take care to prepare clear and effective opening and closing statements;
- Prepare some examples to illustrate your points or issues. Use analogies, (short) stories or personal experiences where relevant; and
- Draft a list of questions which you might expect to be asked by the interviewer or callers/ audience. Your responses should be easy to understand and concise.

Benefits of a radio/television show

Studio or call-in radio shows provide a useful arena for promoting or providing information about a project, issue or event. They can enable you to clarify important details with the public - this is particularly useful for projects facing public opposition. Local radio/television shows provide an opportunity for experiences and concerns to be shared between you and the audience, and can help to stimulate additional public debate about the issue or project. Such shows are usually live and can be followed by a large number of listeners and viewers. Radio call-in shows are particularly listened to by motorists, who may be a key target audience. It is very important that you are well acquainted with the project or issue and that you are prepared to answer difficult questions.

Statements, questions or criticisms made by callers not only help to identify public concerns, but may also help to identify additional ideas and solutions.

When to use a radio/television show?

Local radio/television (both studio or call-in shows) could be used throughout the project decision-making process to provide information or to identify concerns about a project. Participation in a show might be particularly useful if the project is experiencing significant public opposition or negative media coverage, or at a point where key decisions have to be made (e.g. option assessment). To get involved in such an event, you may need to approach the show's editor or host and explain the importance of the issue to the show's audience. It might be useful to provide them with additional information, such as a press packs or reports. You may also want to suggest the involvement of additional participants, such as a technical expert or local councillor.

Alternatively, the show's host or editor might invite you to participate. This might be because your media strategy has been successful in generating interest about the project or issue, or because it is controversial among the public. In the latter situation, it might be useful to invite someone influential to join you on the show who supports the project.



Project team members from Brno, Czech Republic participate in a radio show to discuss the Medal Square revitalisation project.

NOTES



Participating in a radio/television show

Television and radio interviews (especially phone-in shows) can be very demanding activities and will often involve more than a simple "question and answer" session. Research and preparation is needed to ensure your participation in the show is effective and successful.

What to do

Be prepared

Prepare in advance the two or three key ideas you wish to communicate. Anticipate key issues or questions which might be asked and be prepared to answer difficult questions.

Be yourself

Try to relax, keep your voice at an even pace and be natural. On television, be aware that the camera might focus on you at any point.

Be positive

Answer negative questions or statements by providing a positive responses. And end every answer on a positive, upbeat note.

Be comfortable, confident and take charge

Relax and be confident. In your answers suggest further lines of questioning. Being well prepared will help you feel more comfortable.

Be honest

Always tell the truth. Your credibility is crucial, so do not make up answers to questions when you don't know. Admit that you need to check this out.

Be focused and brief

Focus your full attention on the interviewer and listen carefully to the audience. Crystallise your ideas into a few short phrases that summarise what you are trying to communicate.

What not to do

- Do not use technical language or jargon - all viewers and listeners are unlikely to be experienced or highly knowledgeable about your field. Illustrate difficult concepts with clear examples;
- Don't say "No Comment". You are not hiding anything. If you think that some information is confidential, say so;
- Don't get into an argument with the show host or caller, accept that people have different opinions and views. You should never become defensive or irritated;
- Don't ignore incorrect information. You should correct inaccurate or wrong information immediately;
- Don't let any ambiguous statement trap you. If you disagree or are unsure, say so; and
- Don't arrive at the studio late or with no time to spare. Be there at least half an hour before the show starts. You should have time to acclimatise yourself to the studio, find out who your co-speaker might be, and to check the interviewer has your name spelt correctly.

Practical information

Who participates and how?

The project leader should decide who is the most suitable person to participate in the local radio or television show. It should be someone who is knowledgeable about the project and issue, and typically it will be someone with authority in the organisation or an associated technical expert. Press officers may be needed to brief the participant and to provide the relevant information.

How much does it cost?

It is unlikely that you will need to pay to participate in a radio or television show, particularly if you have been invited by the show's host or editor.

What skills are required?

The individual(s) participating in the show will need to be confident and highly knowledgeable about the project or issue. They should be experienced at public speaking and good at answering questions in a clear and concise way.

How is it used with other techniques?

Radio and television shows can be used to promote engagement activities or events, such as conferences or exhibitions. They can be particularly useful for gauging public opinion on an issue, enabling you to develop engagement techniques which take into account these concerns.

What are the drawbacks?

Radio and television shows can expose the interviewee to difficult, and sometimes inappropriate, questions. An unguarded response might be carried on news programmes and gain considerable adverse publicity. The interviewee will need to be well prepared and ensure that the radio show session remains focussed on the issue or project.

How to use the internet to engage?

The internet is becoming a popular tool to disseminate information and engage with the public, as more people have computer access, and become familiar with web-based technology - for booking cheap air tickets, etc. It involves assembling information on computer and disseminating it via the World Wide Web. In this format, people can access the information site from anywhere in the world, and they have the opportunity to provide feedback at any time of day or night, seven days a week. The latest technology provides the opportunity to display any form of information on a website, such as plans, graphs and reports, though some people may be limited in what they can receive by their technology. The internet can be useful for stakeholder engagement for policy, strategic planning and local transport schemes. There are several forms of internet engagement, ranging from a simple information page, to a web page with feedback and an electronic discussion group.

Benefits of using internet engagement?

A major benefit of using the internet is that it provides a new and interesting way to engage with stakeholders, and could attract people who would not necessarily become involved through the more conventional engagement techniques.

The internet provides great flexibility in the manner and timing of involvement. It can be accessed by day or night and there is the opportunity for the website to be viewed from many locations (home, work, school, library) from all parts of the world.

Through the internet, the project team can provide a speedy response to concerns or issues raised during engagement activities, and information can be updated very quickly. There is provision for a large amount of information to be stored, updated and downloaded from the website.

When to use the internet?

It is useful to launch the project website or web pages at the start of the project decision-making process, so that stakeholders know from the beginning where they can find up-to-date information about the project. It is increasingly expected that a major project will have its own website.

The site should be actively used and continually up-dated throughout the life of the project. As the project progresses, new documents, reports and questionnaires will be added to the web pages; it is useful to announce these additions on the front page of the website or, if possible, to inform your website members directly by sending them an email with the web link.

There will be periods during the project when the main emphasis will be on information dissemination, and others when there will be a particular need to obtain feedback and opinions from stakeholder groups.

How do you use internet to INFORM?

Many sources of information can be provided on the internet, such as draft discussion papers, strategic plans, vision statements, design drawings/plans and draft amendments. Be aware, however, that some people who access the site may be using low band width lines, or older versions of software.

There are two primary forms in which this information can be displayed, either as a web page (html) or through a downloadable file (Word/PDF). While it is possible to print web pages, the format and layout may be lost, so if documents are designed to be downloaded there should be the option of requesting a printable version.

It is recommended that details are included about how the public can obtain more information about the project, via a 'contact us' section. It may also be useful to provide the opportunity for the visitor to give comments in the form of a feedback response, which can be completed on the website and e-mailed to the project team.



A dedicated transport project website in Cologne, Germany.

NOTES

How do you use the internet to engage?

| Feedback | Interactive engagement |
|---|---|
| Information websites could contain some of the following popular techniques to encourage feedback on the information provided: <ul style="list-style-type: none"> • Questionnaire to be downloaded, printed out, then (e)mailed to the project team; • Email address for general, non-structured submissions; • Postal address for general, non-structured submissions; • Contact telephone number for member of project team staff; and • Announcement of forthcoming engagements events. | Some decision-making authorities have started to use innovative internet technologies as part of their regular communication with their citizens. These new technologies include: <ul style="list-style-type: none"> • Online feedback or comment forms; • Real-time forums or chat rooms; • Public message boards; • Web-casting of council meetings; and • Html questionnaire. |

A quick website checklist

- ✓ Decide on the aims of the internet website and the scope and issues to be considered.
- ✓ Establish a clear timetable for the development of the website, starting with the 'go-live' date and including key milestones for information provision.
- ✓ Ensure that the information provided is accurate and is kept up-to-date.
- ✓ Ensure that the website includes everything that stakeholders would need to know to make an informed input into the project decision-making process.
- ✓ All websites need to be maintained regularly. Decide from the outset who will undertake this role.

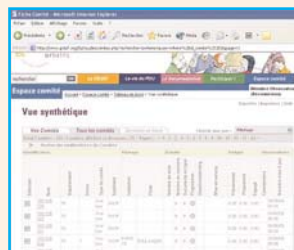
Internet in practice

The project web-site has played a key role in the development of the Urban Transport Plan for Ile de France. It is the main channel of communication. Committee members and the general public can exchange views, follow project progress and put forward suggestions or questions in an online forum.



From this homepage, users can login to get access to their private space. Depending on their status, they gain access to more or less detailed information regarding the implementation of the plan and the state of affair of various committees.

All users can access pages like those below, which lists all the different committees involved in the process and gives information on the number of meetings and details of any available documents.



The above page allows committee members to access information on their committee, including detailed information on the purpose and role of the committee and arrangements for forthcoming meetings.



Practical information

Who participates and how?

Computer-oriented people are most likely to participate, and elderly people and those without computer access are much less likely to do so. However, as computer use continues to increase, and on-line services become more common in public libraries and through various organisations, these limitations will become less pronounced.

How much does it cost?

The initial outlay can be substantial for the design and construction of a new website. Once a website has been set up, however, the main ongoing costs associated with information provision and engagement activities are technical and facilitation support, and would be common to most engagement techniques. Offsetting some of these costs are savings in printing and postage.

What skills are required?

Persistent technical problems can undermine internet engagement activities. E-consultation requires expert technical staff to be on hand at all times, and may also require the skills of facilitation for moderated chat sessions or discussion boards. However, the latest software enables electronic documents to be loaded onto the internet with minimal expertise.

How is it used with other techniques?

Internet technology does not replace traditional direct contact techniques. Rather, it needs to be well-integrated with them as part of an overall public engagement strategy. Many people still prefer to talk on the phone to a live voice, or to present their views in their own handwriting or in a face-to-face meeting.

What are the drawbacks?

There are still many barriers preventing some people accessing a website:

- Lack of access to a computer;
- Difficulty reading or comprehending the text;
- Inability to use the software;
- Limited to a text-only screen, small screen or slow internet connection; and
- Problems with software, hardware and computer systems.

What is a web-based forum?

A web-based forum is a dedicated web-page associated with a project, where stakeholders can view information, engage in online discussion/debate with other stakeholders and provide feedback. The web-page could either form part of the local authority/organisation's existing website, or be a page on a website dedicated to that specific transport project. Promoting and marketing the website and project is very important from an early stage, as this will create interest and enthusiasm in the project. It is recommended that stakeholders be invited to join the discussion forum or visit the website; this could be done by personal invitation, or through a newspaper article, radio advertisement or leaflets distributed in the local area.

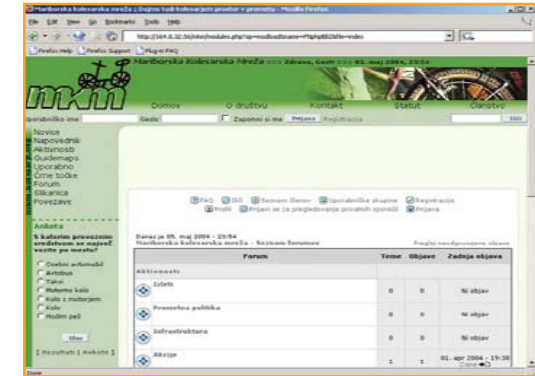
Some sites may contain a restricted area, where specific people would be invited to access information and participate in the discussion, using their password and username.

What are the benefits of a web-based forum?

- An opportunity for stakeholders to become involved in real-time and on-going discussions with other stakeholders, in their own time;
- A dissemination channel for updated information from the project team;
- A means for the project team to engage with key stakeholders on a regular basis, and to learn of their concerns as they arise;
- Low operating costs, because there is very little overhead and no physical venue;
- The views obtained from stakeholders can be stored digitally, and some analysis can be assisted by specialist software; and
- Most people have access to the internet at community centres, library or workplace.

When to use a web-based forum?

This can be used throughout the decision-making process, as a dissemination medium and as a sounding board for new ideas. It is also suitable for engaging stakeholders concerning potential proposals or debating contentious issues.



Website from Maribor, Slovenia.

How does it work?

The following are important aspects to consider when preparing a web-based forum:

- The information on the website should include a summary of the transport project, details of the overall transport decision-making process, previous findings and the next steps;
- Stakeholders register their details and provide a username; in addition to ensuring secure access to certain parts of the site, this provides the ability to record who says what and provides the ability to keep stakeholders informed via email;
- Stakeholders should be easily directed to the discussion/chat page, where they can view existing comments posted by other stakeholders, and add their own;
- Project team members should monitor the website, and provide advice and information to stakeholders;

- The site could operate in 'real-time', with a webcam link to an engagement event, and offering a forum for instant discussion after the event;
- Carefully consider how the data will be used and analysed, how the comments received will directly feed into the transport decision-making process; and
- Keep stakeholders informed of what has been said and how this has influenced the project; a summary/report of the web-based engagement process could be emailed to each participant.

Tips for encouraging participation:

- The website should be easy to find on the internet, preferably in the form of a dedicated project website;
- Publicity of the website is important, possibly through newspaper articles, radio announcements, posters, leaflets, exhibitions, direct mailing to key stakeholders and door-to-door distribution; and
- Include the website address on any printed publicity material that is produced.

NOTES



Key components of a web-based forum

For a successful web-based forum, it is recommended to include the following components:

Introduce/
describe the
project

Be able to post
your own
comments on
the discussion
board

Be able to see
all the
comments (like
a discussion),
and who has
posted the
comments

Description of
what is
expected in
forum, and
how it works

Opportunity to
enter contact
details to be kept
informed on
progress of project

Practical information

Who participates and how?

Anyone who has access to the internet and knows how to use it (except for any restricted parts of the site). This technique could offer an interesting way of involving younger people.

How much does it cost?

This form of engagement is relatively cost effective, for what it provides. The major expense is the initial construction of the website and preparation of information, plus on-going technical and professional maintenance - the latter can be quite time-consuming, if an active forum has to be monitored on a daily basis. A smaller expense is the purchase and monthly cost of the domain name, and any marketing and publicity of the website.

What skills are required?

The skills needed to use a web-based forum include professional website construction tools for the preparation of the website, and a transport professional to be able to provide stakeholders with advice and information.

How is it used with other techniques?

A web-based forum can work well with other techniques, including a general purpose internet website, media involvement, an information and image campaign, printed public information materials and in-person public engagement.

What are the drawbacks?

A web-based forum is only likely to be actively used by certain population groups. It requires a relatively intensive, on-going commitment on behalf of the project team, to provide information, answer queries and comments, and extract and digest the content of the discussion as an input to the transport decision-making process. On the other hand, if the forum is not well publicised and user friendly, then it will not be used and much effort will have been wasted.

FS 48: Questionnaire surveys

What are questionnaire surveys?

A questionnaire survey typically consists of a set of questions which a sample of the population are asked to respond to. The type of survey will depend on what information and data is required for the project. 'Open surveys' consist of questions which do not have a set of predetermined answers, providing more detailed, varied and often unexpected responses. This method is useful when detailed information on people's opinions is required. 'Closed surveys' consist of multiple choice questions, where the responses are already predetermined by the survey designer. This method is more restrictive, however, it is easier to conduct statistical analysis on the data from these kinds of surveys. If information is required from a large number of people, 'closed' surveys may be more appropriate because they will be less costly and time consuming to administer.

How can questionnaire surveys be carried out?

The following techniques can be used for administering questionnaire surveys:



Mail (the questionnaire is sent through the post and respondents are asked to return it, usually in pre-paid envelopes);



Telephone (survey questions are asked over the phone);



Face-to-face (e.g. on a street, shopping centre or door-to-door); and



Email and websites (questionnaires can be sent and returned over email or completed and submitted on interactive web pages).

Why is a questionnaire useful?

- Questionnaires are an effective method for collecting information from a large number and a range of people, including those who might not participate in other engagement practices;
- Completing questionnaires is typically less time consuming for respondents compared to other techniques;
- The results of 'closed' and structured questionnaires can be used in the analysis of statistical relationships;
- 'Before' and 'after' questionnaires are useful for monitoring and evaluating the effectiveness or success of projects or measures;
- Many people, including the community and elected officials, might be more willing to accept/respond to survey results compared to other techniques; and
- Questionnaires can be used to identify individuals who are willing to get involved further in the project.

When should a questionnaire survey be used?

It is useful to undertake a questionnaire survey at the beginning of a project to collect baseline data and to involve the community in the project from the outset. Questionnaires might be one of the key techniques used for obtaining people's views and time will need to be spent on designing a questionnaire which asks appropriate and relevant questions. Questionnaires may also need to be administered at the end of the project to obtain information or views after a measure or change has been implemented.

It is a good idea to test or 'pilot' your questionnaire before administering it to your whole sample population. The questionnaires should be tested on enough people to ensure that the structure and wording of the questions can be understood easily.

A stakeholder questionnaire used in Madrid, Spain.

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Designing and carrying out a questionnaire survey

The key to preparing a successful questionnaire survey is ensuring the respondents understand what the questionnaire is for and what is required of them. All questions should be clear, concise and easy to understand. The diagram below illustrates how a questionnaire survey should be designed and administered:

1. Confirm objectives/outcomes

It is always recommended to identify the objectives of the questionnaire/survey and how the results will be used.

2. Develop questionnaire

It is important to prepare a questionnaire that people will be able to understand and respond to. All questions should be appropriate and relevant.

3. Determine sample size

It is important to identify an appropriate statistical sample. Consideration should be given to the number of people consulted and the number of people affected.

4. Prepare the sample

It is recommended to combine all the distribution lists/databases / telephone numbers that will be used in the distribution of the questionnaire.

5. Distribute the questionnaire

Administer the questionnaire using the most appropriate technique or combination of techniques.

6. Coding/editing of feedback

It might be necessary to code responses i.e. sort them systematically, in order to analyse them statistically.

7. Data analysis

At this stage all responses are brought together and analysed. This might involve statistical analysis from 'closed surveys' or examining more detailed information from 'open surveys'.

8. Report preparation

The results of the questionnaire should be summarised in a report. This can be shown to stakeholders and will ensure survey findings can be used easily in the future.

9. Findings feedback

It is recommended to present the findings of the questionnaire/ survey back to the project team to ensure that they are familiar with the results of the process.

10. Feedback to participants

It is recommended that the findings and results are fed back to the participants to encourage a transparent engagement process. These could be presented in a newsletter or in a public meeting.

TIPS for undertaking your questionnaire

- Carry out a test of the questionnaire to highlight any problems with its structure or wording.
- Ensure the questionnaire is not too long - this will discourage people from filling it in or they will only partly complete it.
- It might be necessary to provide an incentive to encourage respondents to return the questionnaire e.g. a pre-paid envelope.

Practical information

Who participates and how?

Questionnaires are a useful way of obtaining information from individuals and groups. These might be administered to a specific group of people or a representative sample of the population. Using questionnaires might help to get people involved who might not ordinarily participate in a project.

How much does it cost?

The cost of designing and carrying out a questionnaire will depend on the sample size and how it is administered. Sending out surveys through the mail for example, is more costly than posting a survey on a website, but might be more effective in terms of the number of responses returned. Using a questionnaire can be cheaper and less time consuming than other techniques, such as interviews.

What skills are required?

Questionnaires should be designed and carried out by experienced staff. Those administering street and telephone surveys should have an understanding of how to deal with the public. For large, structured surveys external assistance may be required for statistical analysis of the results.

How is it used with other techniques?

Questionnaires can be very useful in supporting other techniques. Survey results for example, can provide useful data and support for focus groups or workshops and questionnaires can be used to identify individuals who would like to get involved in more engagement activities.

What are the drawbacks?

Some questionnaires receive poor response rates and incentives may be required to encourage people to return their questionnaires. Used in isolation, 'closed' questionnaires do not produce in depth information and may not fully identify key issues or problems. Questionnaires will not be appropriate for some stakeholders e.g. those with low literacy levels.

FS 49: Key person interviews

What is a key person interview?

A key person interview is a useful technique for identifying and understanding the opinions and ideas of a key figure or leader and those they represent. This should involve one-on-one dialogue, either face-to-face or over the telephone, with someone who is knowledgeable and informed about an issue, problem, or specific group. A 'key person' might include any of the following:

- A community leader e.g. a neighbourhood watch president or other respected individual;
- An expert e.g. a professional or academic;
- A political leader or someone politically influential e.g. an elected official;
- A business leader or representative e.g. the chair of a local business network;
- A media representative e.g. a well-informed journalist; or
- A group representative e.g. of an ethnic minority group.

Why are key person interviews useful?

- The technique is a highly effective way of obtaining information from individuals who are knowledgeable and experienced;
- Provides insights into the views, concerns and priorities of the 'key person' and those they represent;
- Useful ideas or solutions might be suggested during the interview;
- Enables a forum for more 'sensitive' discussions to take place compared to other more public techniques;
- Interviewees may suggest other 'key persons' and contacts who should be involved in the project or who have further information;
- Sends important messages to the community that their views are being represented; and
- The engagement of key individuals may encourage them to endorse or voice their support for the project.

Important issues for key person interviews

The following issues should be given consideration when organising and carrying out a key person interview:

- Ensure the interviewee is aware of the purpose and subject matter of the interview. Provide him/her with information about the project;
- If the interview is face-to-face, ensure the venue is comfortable and convenient for the interviewee;
- The interview should be arranged at a convenient time for the interviewee - this may need to be out-of-office hours;
- Write notes throughout the interview. A tape recorder or dictaphone might also be useful, but the interviewee must give permission for this to be used; and
- Ensure the interview is not too long to avoid the interviewee getting distracted. Long interviews may also discourage the key individual from participating further.

When should you conduct a key person interview?

Key person interviews should be conducted early in the project to ensure that key issues and concerns identified can be fed into the project. This will also help to reassure the community that their views are being represented from the beginning of the process.

Key person interviews can also be useful early on for identifying the most effective ways and techniques for engaging people, particularly hard to reach groups, who may not be involved in other engagement activities.

It may also be necessary for key person interviews to be carried out before decision-making, when potential options and 'solutions' are being considered. This will ensure that the opinions and ideas of key representatives are fed into the process.

All interviewees should be kept up-to-date with progress throughout the project.

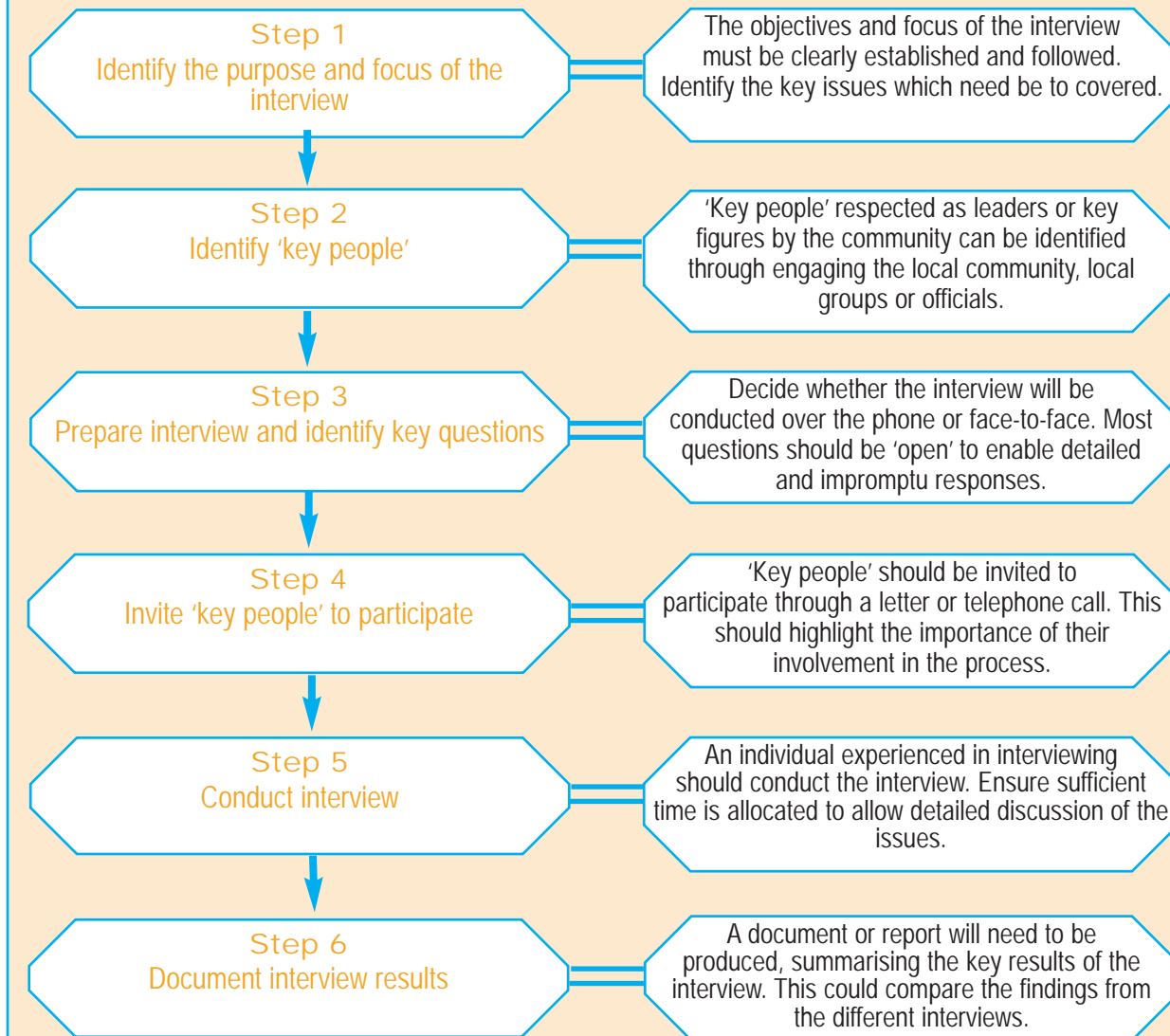


A project manager undertaking a key person interview - showing information materials.

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The key steps to preparing and conducting a key person interview



Practical information

Who participates and how?

Key leaders or representatives of the community can play an important role in communicating the views of the community through key person interviews. 'Key people' might include community leaders, experts, political leaders, business representatives or the media. All individuals invited to participate through interviews should be knowledgeable about the specific issue or problem.

How much does it cost?

The costs of planning and conducting key person interviews will vary depending on the number of interviews to be carried out and the technique used. Telephone interviews can be less costly as they are likely to involve less staff time and travel costs.

What skills are required?

Staff who conduct the key person interviews should be skilled communicators who are easy to talk to and good at listening. They should be familiar with the project and the key issues for discussion at the interview.

How is it used with other techniques?

Key person interviews can provide useful insight into issues and opinions to enable more focussed and informed public meetings and focus groups. They can also be used to identify the most effective ways of engaging hard to reach groups.

What are the drawbacks?

It will not be possible for 'key people' to represent all the different views in a community. It will often be necessary therefore, to use additional complementary techniques, such as questionnaires.

What is an exhibition?

An exhibition is the display of information for a set period of time. It is used at key stages of the project when a milestone has been reached. Traditionally, an exhibition uses posters/boards, reports, newsletters and graphics to display information. Other techniques include computer displays and models. It may stand alone, or can be staffed by people working on the project. Advertising the purpose, location and timing of the exhibition is an important step in planning. Details can be included in project newsletters, newspaper advertisements and press releases. It is important to think carefully about where to locate an exhibition. It may be necessary to exhibit information in more than one location, particularly if the project covers a large geographic area. Venues should be accessible to a range of people who may be impacted by a project. The layout of an exhibition is also important. People should be able to easily move around and view information.

An exhibition to deliver information

Information at exhibitions may be displayed on large boards. These can be supported with copies of project newsletters and reports to provide additional information. If supported by additional material, an exhibition can provide a 'one-stop' facility for people wanting information about a project or seeking to provide comment or feedback. If staffed, an exhibition can provide an interactive form of engagement, whereby people can discuss the project with staff. An exhibition board should include the purpose and background to the project and project timing. Contact details may also be provided if people seek additional information or an explanation. Information on exhibition boards must be simple, clear and concise. Make sure that boards are printed in large, distinct font and are easy to read. It is useful to support written text with graphics and illustrations where possible.

Using an exhibition to involve people in the decision-making process

Supporting material at exhibitions such as comment forms can encourage participation in the project. A box for completed comment forms can be left at the exhibition location. Advertising upcoming project events during an exhibition can also promote involvement by increasing awareness and providing event details. The location of the exhibition plays an important role in increasing participation by making access to information easier.



When should you hold an exhibition?

An exhibition can be held at key stages of the transport strategy or project.

You will need to decide:

- How an exhibition will add value to your engagement process? Will you reach more people? Do you need to provide information in this form or will a newsletter be sufficient?
- Would it be better to commence an exhibition with a staffed open day and then leave exhibition material for people to view at their leisure?
- Is it a legislative requirement to hold an exhibition? Some governments require information to be made publicly available for a certain number of weeks.
- Do you have a number of design options you would like people to view and comment on?
- Do you want information boards to support the exhibition of a detailed report?



An interactive display (similar to that of a 'Planning for Real' event) at an exhibition in Essex, England.

NOTES



Planning an exhibition

This page advises on designing and arranging display boards.

Arranging the room

How you arrange your exhibition will depend on the space available, the information which you want to deliver and the way you want people to move through the exhibition.

Display boards

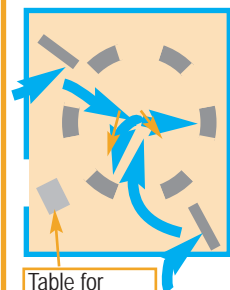
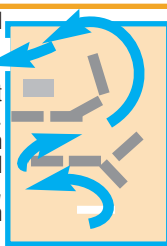


Table for distributing written information

In this example, the main exhibition is laid out in a circle. Visitors can enter through either door, where they will see a welcome board telling them what the exhibition is about. They can then move to the centre of the room and have the freedom to browse the boards at their own pace. A table at the edge of the room provides space for written information to be made available. Be aware that each board must stand alone, as each visitor will select which boards to read and in what order. Keeping a fairly large area free in the centre of the room allows free and easy movement and encourages informal discussions. Leaving a gap between the boards allows several people to read each board comfortably. Staff can be available in the centre of the room to discuss the project and answer questions.

In this example, the display boards are positioned to guide visitors through the exhibition in a particular direction. There is more control over the order in which visitors receive information, but not everyone will read every board. This format makes it less likely that they will return to them later. This layout has a welcome board positioned at the entrance and a table at the exit, which could be used to provide written information and/or as a position for staff to answer questions.



Designing the display boards

- Use maps and pictures of the local area and mark on local landmarks.
- Label any graphs or diagrams clearly.
- Don't use more than 150 words on each board - it won't be read.
- If you are using the same boards at different venues, make sure they can be arranged appropriately.



Choosing a venue

The ideal venue is a building commonly used by the public in an easily accessible location. The size of room you will need will depend on the number of people you expect to attend at the busiest times. You will need to pay to use commercial buildings. Buildings owned by your organisation may be free to use, but only do so if they are appropriate.

A **mobile exhibition** can be a good choice if you need to display your exhibition at a number of locations, or if you have difficulty finding suitable exhibition rooms. The same set of display materials can be taken to a range of venues (and even to major public events like fairs), and the time to set up the exhibition at each location will be minimal. Remember, the exhibition space will be much smaller than a conventional exhibition and it will be less accessible. It will accommodate less people at any one time, and people are unlikely to spend a long time in the exhibition. Choose a vehicle with separate entrance and exit doors and design the exhibition to flow from one end to the other to prevent people needing to pass in narrow corridors. Consider having a staffed stall which can be set up alongside the bus. This will draw attention to the bus as an exhibition, and will encourage those who want to discuss the project to do so in a less crowded space. If it is not possible to make the bus fully accessible, this stall could also provide information on the project to people unable to view the exhibition.



Practical information

Who participates and how?

If widely advertised and undertaken for a suitable period of time (at least 4 weeks) an exhibition can achieve a good engagement rate. If advertising is limited, public awareness may be low and, therefore, visitation might be low.

How much does it cost?

Exhibition boards can be quite costly if produced in full colour and glossy. If the location does not have a suitable space to mount boards, display panels may need to be hired. If the project covers a large area and a number of exhibitions are required, this can add to project costs. The cost of project staff at an exhibition is also a cost to consider. Ways to keep costs down may include using fewer colours in printed materials and designing boards yourself.

What skills are required?

For a professional appearance, the use of a graphic artist can be required. If the information to be exhibited is technical, you may need it explained to you so you can write it in a clear and easy way to understand manner. Figures and illustrations need to be drawn in a way that they are easy to view and understand by most people. This includes clearly labelling sections and including, where possible features people can identify with.

How is it used with other techniques?

An exhibition can be used to advertise other engagement events.

What are the drawbacks?

If the exhibition is not located in an accessible location it can limit the number of people who visit it. If it is not staffed or clearly written, people may misinterpret information and decide not to participate in the project.

Assessing an exhibition

| BEFORE | DURING | AFTER |
|---|---|---|
| Is the target audience large enough to benefit from an exhibition? Is the project suited to an exhibition? Is there enough budget to prepare exhibition boards? | Is information available worth exhibiting for public comment? Is there an alternative way to exhibit the same information that may be cheaper and/or reach more people? Who did the exhibition benefit? Has the exhibition increased participation? | Did the exhibition add value to the project by increasing awareness and engagement? Was the exhibition the right tool for this project? |

What is an information centre?

An information centre is a project office established with prescribed hours to distribute information and respond to enquiries. It is staffed by someone knowledgeable about the project and typically used in projects which span over a few years or more.

It can be used as the first point of contact for people wanting to become involved in a project as it has both current information and background information to the project.

A local authority or local organisation may provide a room for the information centre. Ideally an information centre should be located near to the project area, however, in some cases this will not be possible. If space is available, an information centre can be used for displays or exhibitions and other engagement activities if necessary.

How to use an information centre to deliver information?

Information centres are like small libraries often containing a large amount of information, such as, technical reports, maps, studies, community engagement material and background reading. For projects which have been ongoing for a long period of time they can contain a record of the history of the project and the people and companies that have been involved. An information centre also operates as a distribution point for leaflets and other printed materials.

An information centre can include internet facilities providing links to relevant project information. This enables people to research topics of interest and become better informed about the project and its issues. The community can use the information centre to provide information about relevant groups and organisations and other issues that affect them.

How can an information centre assist the engagement process?

An information centre can be used to seek feedback on a project in many ways. People can be encouraged to fill out comment forms whilst in the centre, they can discuss their comments with staff or they can access the internet and submit feedback about a project on line.

It may be possible to host an open day in the information centre where people could talk in detail about a particular project and provide feedback. Displays may be set up for people to view and comment on.

Providing a large amount of information in a centralised location gives people the opportunity to become informed and involved.

When should you have an information centre?

An information centre is best for projects which are likely to have a long life span:

- Are we starting to engage from project inception until implementation and monitoring? Is the project large enough?
- Is there a large number of potentially affected people who would benefit from an information centre?
- Do we have the time and resources available to establish, maintain and manage an information centre and provide a good service?
- Is there a suitable location and do we have support from local authorities and organisations?
- Do we have enough information to establish an information centre?
- Is there a local information centre that can be used for this project?



An information centre open flexible hours to accommodate stakeholders needs.

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Planning a information centre

This page provides advice on things that you need to think about when you are planning an information centre

Choosing a location

It may be possible to include an information centre in an existing public building such as a library or council office. This may limit the available operating hours and could also discourage some hard-to-reach groups.

Leasing a shop in a central location may be more expensive, but is more likely to attract passers-by. If using a shop, make use of the window to display key information on the project. This information will be accessible outside of normal opening hours.

Appointing Staff

Information centre staff are the public face of your organisation. They must be prepared to answer questions, so should be well-informed about the project and able to explain technical issues clearly and effectively. In a region with two official or commonly used languages, staff should be bilingual.

Checklist

- ✓ Rack for distributing leaflets.
- ✓ Noticeboard for latest project information.
- ✓ Reception desk.
- ✓ Reference library.
- ✓ Seating area.
- ✓ Photographs and maps of the area.
- ✓ Model of the planned project.
- ✓ Computer simulations if available.



Consider combining several services in one centre. This centre in a Paris suburb provides public transport information along with cycle parking and rental and other facilities.

Practical information

Who participates and how?

One of the benefits of an information centre is that it is a place where people can obtain information as well as give feedback during one visit. Feedback can be given verbally to the person running the centre or via comment forms, internet access or other means. This increases people's opportunity to participate. Providing comprehensive project information allows people to make informed comments.

How much does it cost?

The main cost may be associated with renting a building/room and employing staff to manage the information centre. If you have support from a local authority, or if the centre is run in partnership with another organisation, these costs may be reduced. Costs may also include a computer, furniture, and possibly a fax and a photocopying machine.

What skills are required?

The person running the information centre needs to have good communication skills and good knowledge about the project.

What are the drawbacks?

Access will be limited by the opening hours of the centre. Given the time commitments and costs, this technique is only really suitable as a stand alone resource for major projects. It would probably need to be run in parallel with other services or facilities for smaller projects.

Assessing an information centre

| BEFORE | DURING | AFTER |
|---|---|---|
| What is the purpose of the information centre? Do you think people will use the centre? Will the centre be open at times when people are available to attend? | Are the staff friendly, knowledgeable and co-operative? Are resources in the information centre useful, easy and ready to understand, and current? Is information easy to find in the information centre? How many people on average use the centre each day? Have there been any complaints? Are these registered and dealt with efficiently? Are users satisfied with the level of information and level of service provided at the centre? | Was the information centre the right tool for this project? What effect has the information centre had on people's exposure to the project? What additional resources could have been included? How could the information centre be improved? |

FS 52: Information session and briefing

What is an information session and briefing?

Information sessions and briefings provide an opportunity for the project team to present information on a project and to respond to any specific questions. This factsheet focuses on information sessions and briefings which are presented 'in person' (rather than in writing) to individuals and groups outside the project team.

Information sessions are typically initiated by the project team and used to inform the community or media about the project or a key aspect of it. Information sessions or briefings may also be requested by members of the public who might wish get more information about the project or want to ask specific questions about it. Several briefings could be organised and targeted at different groups where necessary e.g. a separate session for the general public and elected officials.

Key features of an information session or briefing

To be effective, an information session or briefing should have the following characteristics:

Informative: briefings must provide accurate and relevant information about the project or specific issue;

Open: individuals and groups should be encouraged to attend information sessions and ask questions where relevant;

Responsive: questions should be responded to appropriately or directed to the relevant individuals or organisation; and

Accessible: sessions should be accessible to all and consideration must be given to the requirements of different groups.

Why are information sessions and briefings useful?

- Information sessions help to inform the public and other groups, such as the media about the project, progress and other key issues;
- Helps to promote the project;
- Provides an opportunity for the public to ask questions and to get involved in the project;
- Can help to reassure the public about the project and any developments/changes which may occur;
- Helps to establish links with the community and affected individuals and groups;
- Feedback during and after the sessions can help the team to identify key issues, concerns and questions; and
- Sessions can be organised relatively quickly, if necessary.

When should you hold an information session or briefing?

Briefings should be held when the public or other individuals or organisations need to be informed about a project or about its progress. This could be at the beginning of the decision-making process and/or at key stages throughout it. It might be beneficial for example, to plan a briefing before an engagement event to encourage participation or before a major decision is made to ensure relevant individuals or organisations are fully informed.

Information sessions can typically be planned and promoted ahead of schedule. At other times however, they may have to be more spontaneous to respond to demands for information and questions from the public at short notice. This might be necessary for example, after negative reports from the media about the project or after delays with project progress.



An information session held for Mendal Square revitalisation project in Brno, Czech Republic.

NOTES



Whom are briefings held with?

Information sessions and briefings can be attended by a range of individuals, groups and organisations. These might include:

The general public
Individuals interested in the project or affected by it

Media
Representatives of the local media

Elected officials
Elected officials who need to be familiar with the project

Community groups
Representatives of community groups

Experts
Individuals with experience/knowledge about specific issues

Business organisations
Businesses interested or affected by the project

Tips for organising a briefing

- ✓ Promote the information session using appropriate techniques e.g. local newspapers and posters to ensure people attend.
- ✓ Hold the session at a venue and at a time which is appropriate, convenient and accessible for all.
- ✓ Focus the discussion on the key issues and concerns of the participants.
- ✓ If the project is technically complex, use supporting materials to explain detailed issues with the participants.
- ✓ Be prepared to answer and respond to questions and issues raised by participants.
- ✓ Ensure presenters are well briefed on their role and their maximum speaking time.
- ✓ If appropriate, have an attendance sheet available at the entrance(s) to the venue, documenting who attended the event.

How are they organised?

Initiated by either party

The information session might be initiated by the project team or other individuals, such as a member of the public or a media representative.

Customised

The briefing should seek to effectively inform the participants and address their specific issues or concerns.

Briefing preparation

Plan how the briefing will be structured and the most effective way of engaging with the participants. Book an appropriate venue and catering.

Monitor the media

Monitor coverage in the local media to keep informed of local concerns and issues relating to the project.

An effective representative

The organisation should be represented by someone with good communication skills who is knowledgeable about the project and the relevant issues.

Continuous communication

The project team should continually inform the public and others about the project and progress. Techniques might include newsletters and website updates.

Practical information

Who participates and how?

Briefings may be specifically focussed e.g. aimed at the elected officials or open to the general public. Several briefings could be organised and targeted at the different groups where necessary.

How much does it cost?

A briefing is a relatively inexpensive technique. Some costs are likely to be incurred from producing promotional material and the venue and catering for the event.

What skills are required?

Well-informed, articulate staff who are good at communicating will be required to lead the briefing. Staff will need to be highly knowledgeable to be able to answer specific questions from the participants. Experts may be required for technical questions.

How is it used with other techniques?

Briefings can be used as part of a larger and wider public engagement strategy. They can help to encourage involvement in other engagement techniques, such as focus groups and workshops and can be used to publicise the results of other engagement practices, such as questionnaire surveys.

What are the drawbacks?

Briefings need to be promoted well to ensure people turn up to the event. Organising many different briefings to cater for different targeted audiences can be time consuming.

What is a public meeting?

A public meeting is one of the most common forms of public engagement. There is an opportunity at a meeting to both inform participants and to receive input from the community. Often used to discuss local proposals, a scheme or a comprehensive transport strategy, they are useful in providing a basic level of community issues regarding a project.

Public meetings have the following basic features:

- Often coordinated by a local organisation;
- Are rarely held without a specific agenda and key project to discuss;
- A diverse cross-section of the community may attend, as either an individual or a representative of stakeholder group; and
- Meetings can be held at all stages of the decision-making process to inform and receive feedback.

How do you use it to INFORM?

At a public meeting presentations are often provided by key project staff providing background information, an outline of initial ideas and key issues to be discussed. Visual materials, such as public exhibition style boards help participants in understanding key information, plans, maps or proposals. To aid participants it can be useful to provide printed materials in the form of a fact sheet, newsletter or the like, for them to take from the meeting.

How do you use it to ENGAGE?

At a public meeting an organisation can receive comments from participants in the form of formal discussions within the meeting or in a questionnaire distributed at the beginning of the meeting and collected prior to participants departing the venue. They are widely used to achieve a basic level of community input and to exchange information with a wide representation of local community residents.

The key roles at a public meeting

Facilitator

- Guides discussion and covers the agenda; may or may not be the organiser of the meeting.

Presenter

- Shares facts and information relevant to the group; may not be a regular member of the group.

Recorder

- Documents decisions, and actions; may summarise key points for meeting minutes to distribute afterwards.

Timekeeper

- Enforces time limits to keep the agenda on track; may or may not be performed by facilitator.

PARTICIPANTS

When should you use a public meeting?

Public meetings are likely to be most useful and appropriate when the public need to be informed and consulted during the decision-making process. Meetings such as these can enable group discussion on transport proposals and will help to reassure the public that their voices are being heard.

Public meetings may also be appropriate when trying to generate interest in the project and specific issues within a community. The pertinent factor here will be in effectively publicising the project and public meeting, particularly highlighting why the project is important and why they should attend.

During periods of considerable public opposition and controversy, it might also be highly beneficial to hold a public meeting to try to dissipate concerns and encourage support for the project.



A public meeting held to discuss the possible options for a local transport problem.

NOTES



Who should attend a public meeting?

There are two main reasons to attend a public meeting; one as a local stakeholder to understand a proposal and to provide initial contributions to the ideas presented; or as an organisational stakeholder, such as a politician or a member from another government organisation, that is interested in hearing local views.

To receive information and to participate

residents, businesses, health and educational institutes, local community groups.

To receive feedback and to understand local concerns

politicians, stakeholder groups, media.

Tips for organising a public meeting

- ✓ Describe the decision-making process and how the input provided can influence the outcome of the process.
- ✓ Be clear in the publicity about the purpose of the meeting, location, how to get there, and who the presenters are.
- ✓ Your media and marketing plans should assist with preparing for the meeting. This can include; advertising in local papers, local distribution of invitation letters, letters to particular groups and individuals and notification on an organisations websites.
- ✓ Give at least three weeks notice of meeting whatever notification techniques are being used.
- ✓ Consider a day and a time that will best suit the invitees. Avoid holidays, days of religious significance, normal working hours.
- ✓ Book a venue that is large enough, has good acoustics and is suitable for people with disabilities.
- ✓ Ensure presenters are well briefed on their role and their maximum speaking time.
- ✓ Have an attendance sheet available at the entrance(s) to the venue, documenting the participants that attend the meeting.

Brief outline of a public meeting

Stage 1 - Introductions

The chair or facilitator will outline the proceedings or agenda and introduce the relevant speakers. This will include specific reference to the purpose of the meeting, including details of how the input will be used.

Stage 2 - Meeting Rules

A set of rules about how views will be heard is outlined and agreement sought from participants at the outside. These could include when people have the opportunity to talk and how these will be done through the chair.

Stage 3 - Technical presentations

Generally a set of presentations is made concerning the issue to be discussed, with a question time at the end of the meeting. These would usually be done on a technical scale to give the audience a better understanding of the issues at hand.

Stage 4 - Questions & Answers

It is essential to allocate a structured period of time for the participants to question issues relating to the presentations and other issues relating to the project/proposal. This could lead into a broader discussion.

General Consideration

There are more innovative ways to conduct community meetings (for example holding a walking community meeting) or choosing a venue appropriate to the issue being discussed (eg: a park, community venue or restaurant).

Practical information

Who participates and how?

All community people can participate in meetings. In some instances, participation is structured, either by sub-dividing within larger meetings or by holding events in different geographic areas.

How much does it cost?

Resource and staff needs can be substantial depending on the type of meeting and the information provided. Typically the meeting will take two to three hours.

A large hall or meeting space is required and catering for large numbers may be resource-intensive, but will invite more informal discussions and acknowledge people's input.

What skills are required?

Well-developed facilitation skills are very important in this context. Public meetings or forums can often attract large numbers of people who may feel very passionately about the issue being discussed and may focus the meeting on one particular aspect of whatever proposal is on offer.

How is it used with other techniques?

A media strategy is useful for a public meeting to attract the widest possible audience. For example, advertising for public events generally includes more than a single newspaper advertisement. During a public meeting, a brainstorming, or visioning technique may be used.

What are the drawbacks?

- Does not foster dialogue.
- Can create a community versus organisation environment.
- Can be an intimidating space for individuals to speak.
- Can become dominated by a vocal minority.

FS 54: Topical events

What is a topical event?

A topical event can be a fun and interesting way of engaging with stakeholders, especially residents and community groups. It involves a stall or stand in a prominent location close to the project area or could take the form of a project stall or stand at a major community event, such as a fete, band day, market day and road show.

The focus of a topical event will be the provision of information, encouraging discussion, interactive activities with stakeholders and obtaining feedback. For a topical event to be successful, it is important to design an interactive and interesting activity for engaging with participants.

How does it work?

Topical events could possibly be divided into two groups, an 'individual event' such as a single caravan on a study area or a 'combined event' such a stall at a community fete.

Individual event

The main considerations for preparing an individual topical event are:

- Located close to project area;
- Stand alone information centre;
- Visually prominent to attract by-passers;
- Provide information;
- Discuss issues;
- Request feedback; and
- Explain next steps and the decision process.

Combined event

The main considerations for combining a project associated topical event and a community event are:

- Located at a community event, and may not be in close proximity to the study area;
- One of many stalls at the event;
- Advertise event by newspaper article, radio and leaflets;
- Should cater for all ages;
- Provide information in the form of exhibition; and
- For a more innovative approach games may be designed for stakeholders to participate in.

When should you use a topical event?

A topical event can be useful at any stage in the transport decision-making process. However, the three main stages to consider using this technique are problem definition, option generation and implementation.

Once you have decided which stage to use this technique, it is important to plan and design the event. Possible issues to consider could include: identifying the objectives of the event, identifying the project team's desirable outcomes, setting the format, inviting the stakeholders and designing the activities accordingly.

What are the benefits of a topical event?

A major benefit of this event is the ability to engage with a diverse audience of stakeholders at any stage of the process. An interesting and fun event will also encourage informal one-on-one interaction and would be a real benefit to the decision-making process. An additional benefit is the ability to encourage individual views, and discuss issues with individuals who would not normally become engaged.




Stakeholders participating in a small group discussion using models and coloured plans.

NOTES



Designing fun and interesting topical events

There are many activities that you can use. Below is a selection of activities that can be used:

| | | |
|--|---|--|
| STAGE 1: PROBLEM DEFINITION | Information provided to participants? <ul style="list-style-type: none"> Context and familiarisation of project area. Purpose of the project. Requirements from participants. Facility to record problems. Information on how their responses will be used and the route forward. | Interactive detail <p>The following activities can be used to make the event interesting, the simple ones usually cost less:</p> <ul style="list-style-type: none"> € Maps/aerial photographs. €€ Professional exhibition. €€€ 3D model of existing situation. €€€€ Video/movie of the subject area. |
| STAGE 2: OPTION GENERATION | Information provided to participants? <ul style="list-style-type: none"> Context and familiarisation of project area. Project and preceding stage information. Requirements from participants. Possible ideas and thoughts to guide options. Method to test possible options. Facility to record problems. | Interactive detail <p>The following activities can be used to make the event interesting, the simple ones usually cost less:</p> <ul style="list-style-type: none"> € Vote by colour dots on a preferred option. €€ Transparency overlays for options. €€€ Interactive 3D model for options. €€€€ Computer game / internet where options can be drawn on a map and printed. |
| STAGE 5: IMPLEMENTATION | Information provided to participants? <ul style="list-style-type: none"> Information on the project. Information on the proposals. Information of the findings of engagement. Branding tool. | Interactive detail <p>The following activities can be used to make the event interesting, the simple ones usually cost less:</p> <ul style="list-style-type: none"> € Information printouts. € Balloons. €€€ Key rings/tea towels. €€€€ Barbecue / party.  |

Practical information

Who participates and how?

Facilitators from the project team, who arrange the event, and stakeholders, who would be a wide non-targeted audience. Participants would be attracted to the event by publicity and marketing of the event, such as the newspaper, radio, word of mouth and bright and colourful stalls.

How much does it cost?

Costs depend on the interactive details of the event. Consideration should be given to expenses such as the venue, structure (permanent or temporary), the activity materials and staff costs.

What skills are required?

The facilitator(s) should have general skills such as an understanding of how to set up the event, they should be friendly, approachable, knowledgeable, understanding and the ability to express technical language in a simple and way.

How is it used with other techniques?

This technique is made up of various others forms of engagement, and consideration should be given to making the even fun and interacting. Consider using other techniques such as, an exhibition, design games, information centre. Event can be part of a marketing strategy or awareness campaign.

What are the drawbacks?

If insufficient consideration is given to designing exciting activities then stakeholders could be bored and discouraged from interacting. There is an opportunity that the outcomes of the event will not be achieved, especially if it has not been well prepared.

FS 55: Community visits and study tours

What is a community visit and a study tour?

A community visit provides an opportunity for people to travel around the study area with a knowledgeable guide, who defines the area, points out local features and, if relevant, identifies where changes are planned, or certain issues or problems occur. The visit also provides an opportunity for participants to identify local issues and give their opinions. A community visit can involve local people, key stakeholders, elected officials, advisory group members and the media.

A study tour involves a visit to one or more other location(s), perhaps in another country, to view an implemented scheme similar in nature to the one proposed for the study area. This enables professionals, stakeholders, local politicians and others to see what a completed scheme looks like and to question local people about its benefits and any disbenefits.

How to use community visits and study tours to INFORM?

A community visit allows the guide (usually a member of the project team) to provide information to participants about the study area and the proposed project. By walking around a study area, participants can gain a greater appreciation of the issues and problems of the area, and can also see how the planned changes may impact on the local environment. They will then be better equipped to make decisions.

A study tour can assist in informing participants by showing them schemes of similar type to the one proposed.

It may be useful to distribute an information pack to participants prior to the visit or tour. This should include, where possible, a map or plan of the study area, background information to the project and details of arrangements for the day.

How to use community visits and study tours to ENGAGE?

A community visit also allows people to interact with the guide, and to engage with one another. It enables them to identify their own issues and concerns and feed this information back to the project team. It is a way of involving local people in the project from the beginning and, as long as contact and involvement is maintained, can lead to a greater ownership of the project by the community.

Once options for change have been developed for the area, the guide can take participants through the options on site, pointing out where changes are planned and the advantages and disadvantages of each. People can also raise concerns and provide their opinions.

A study tour provides opportunities to debate the issues and discuss possible options with members of the project team.

When should you carry out such visits?

A community visit can usefully be held during the initial scheme definition stage of the project, as part of the process of determining the detailed scheme specification. Such a visit may also be useful at the option assessment stage, so that the guide can explain to local people and other stakeholders what each scheme option would entail, on the ground. Finally, for a major scheme likely to involve significant disruption during the construction stage, it may be useful to arrange a community visit just prior to the start of works, to inform local people about what will be involved.

A study tour is likely to be most useful during the option generation stage, to help in selecting a sub-set of options for detailed design and assessment. Should significant opposition remain following scheme selection, however, a study tour may be useful at that stage, to help alleviate concerns and demonstrate the value of the proposal.



Stakeholders participating in a community visit.

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Planning a community visit or study tour

This page provides advice on things that you need to think about when you are planning a community visit or study tour. Key issues include when you should hold your event, who to invite and what you need to tell them in advance.

Who to invite

A community visit or study tour should have a cross-section of people with different backgrounds, interests and expertise. This could include local politicians and transport industry professionals and members of local interest groups such as residents associations. You will usually invite a selection of individuals, rather than publicising the event more widely. Check how many people you can guide around the site. If necessary split into smaller groups.

Tell visitors in advance:

- Why you are arranging a visit.
- Where the visit will take place.
- Why you have chosen to invite them.
- Which other groups or individuals have been invited.
- What the timetable for the visit is (including travel and any contingency plans for bad weather, etc).
- What refreshments (and accommodation) will be provided.
- What they need to bring (and what you will provide).
- What opportunities they will have to ask questions or make comments.
- How discussions on the day will influence the decision-making process.

On the day:

- Make sure that everyone is fully aware of any specific safety issues.

Choosing a time and date

Think about what you want to show the visitors. For example, if you want to demonstrate severe congestion which your project aims to address, arrange the visit to coincide with busier times of day. Don't arrange a community visit if the weather is likely to be too hot or too cold to comfortably spend time outdoors.

Arranging a place to meet

Think carefully about where you start your visit/tour. Choose a location which is easily accessible by public transport and give a precise meeting point (not 'outside the station' or 'in the main square'). Also bear in mind that some people will arrive early or late, so try to choose a meeting place with a comfortable waiting area, with toilets and refreshment facilities. It may be appropriate to start with an indoor briefing session, before travelling by bus or on foot to the site. If you choose this option, tell people beforehand how the journey will be made, and what the arrangements are for the return trip.

Assessing a community visit or study tour

| BEFORE | DURING | AFTER |
|--|---|--|
| Is the purpose of the visit/tour clearly defined? Do you know what you want to achieve? Do participants clearly know the purpose of the visit? Do they know why they are attending? How will the outcomes of the visit/tour contribute to the project? | Do people understand what changes are planned, and what they will be seeing during the visit/tour? Do people understand their role in the visit/tour? | Were people given enough information about the study area prior to and during the visit? Are they better informed to make decisions and provide feedback? Do they know the advantages and disadvantages of changes and what the impacts will be? |

Practical information

Who participates and how?

Community visits and study tours are suitable for a wide range of people. It may be better, however, to hold different visits/tours for different types of interest groups; for example, residents/resident associations, local politicians and media, government organisations and other stakeholders.

How much does it cost?

The cost of the community visit may depend on where people live and work in relation to the study area. Some costs may be incurred if transport is required to take people to the study area. Other costs could include the information pack, the provision of lunch and possible payment for attendance. Costs will be substantially higher for a study tour to another area, as the project would normally be expected to cover travel and accommodation costs, particularly for local residents and other voluntary groups.

What skills are required?

The guide should be knowledgeable about the study area and be able to mediate and facilitate discussion if necessary. If a study tour involves an overseas visit, he/she should be fluent in the local language.

How is it used with other techniques?

A community visit can be used at the start of a workshop (if near the study area) to give people an overview of the area and the local problems, prior to working through the issues in detail. In the case of a study tour, it is often useful to hold a follow-up meeting of participants a few days after the trip, once they have had time to reflect on what they have seen and heard, to discuss its relevance to the local situation.

What are the drawbacks?

Day long community visits or longer study tours may be inconvenient for some people, especially if arranged during the week, when people are working. Costs may make the activity expensive to run.

FS 56: Focus group

What is a focus group?

Focus groups comprise a small group of people who discuss specific topics or issues relevant to a particular project, as directed by the project team. Typically there will be six to eight participants in each group and many projects will use multiple focus group sessions. The group will be led by a trained moderator or experienced practitioner who will introduce the specific topics and issues for discussion where appropriate. Focus groups can be a highly effective way of exploring in depth, the views, attitudes, aspirations and concerns of participants.

Selecting appropriate stakeholders is key to the success of a focus group. The selection should maximise the potential for insightful discussions and those involved should be interested in talking about the topic or issue. Focus group samples should not attempt to be representative of the population.

Key focus group characteristics

To be successful, a focus group should comprise all of the following characteristics:

- It should be composed of stakeholders who are interested in discussing the issues or topics;
- The composition of the group, the venue and moderator should all facilitate free discussion and interaction between group members;
- The discussions should be focussed - the group can be directed by a list of appropriate and well thought-out questions or topics. These must be flexible enough to allow free flowing conversation where appropriate;
- Discussions should be recorded e.g. take notes, use a tape recorder or video camera; and
- The results of the focus group should be analysed and reported in a coherent and systematic way.

The benefits of using focus groups

The main objective of a focus group is to obtain insights into the lives and concerns of participants. If planned and run effectively, the key strengths of using this technique include:

- Gathering rich information on people's experiences, aspirations and opinions;
- Providing insight into people's views and an understanding of their reasoning;
- Providing a forum for the group to debate and understand the opinions of others;
- Identifying key problems not observed by the project team or other stakeholders;
- Proposing new ideas; and
- Facilitating discussion on sensitive topics and issues.

When to use a focus group

Focus groups can be a useful technique to employ at many different stages of the transport decision-making process. When and how focus groups are used will depend on what the project team wants to get out of the process.

Focus groups can be used early on in a project for identifying and exploring problems, concerns and priorities of the group participants. Insightful information could be gathered on participant's underlying reasoning for their views.

At the option generation stage of a project, focus groups can be a valuable technique for creating and debating new ideas and possible solutions. Group participants may also be able to identify potential problems with proposed suggestions from the project team.

Focus groups can also be useful at the decision-taking stage. Participants can play an important role in highlighting specific issues or details which might be overlooked by the project team.



A focus group being held for the preparation of a local transport plan.

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Key steps for planning a focus group

Step 1 - Identify the objectives of the focus group

It is important to identify from the outset why focus groups are the most appropriate technique, what you want to get out of the process and what information you need.

Step 2 - Identify resources required

Experienced staff will be required for planning, moderating and analysing focus group results. A budget will be needed for staff costs, venue and catering costs, travel expenses, materials, equipment and incentives.

Step 3 - Identify approach and focus

The approach adopted will depend on what information is required. A list of topics/issues or more focussed questions will be required depending on how structured you want the focus groups to be.

Step 4 - Decide on group characteristics

Identify how many people should be in each group, how many groups there should be and who needs to be in each group.

Step 5 - Organise the venue

Find a venue which is suitably sized, convenient and comfortable. Ensure enough catering and refreshments will be provided. Choose a meeting date which is suitable for the participants.

Step 6 - Invite the participants

Use either a telephone call or a letter to invite potential participants to join the focus groups. Ensure phone calls are made at appropriate times of the day for the prospective participant.

How to recruit focus group participants

Once you have decided on who you would like to get involved in a focus group, several important issues are likely to arise:

Finding prospective participants

Participants can be found through existing mailing and contact lists, other networks and organisations, advertisements (e.g. posters or local paper) or at specific locations relevant to the project (e.g. bus stops).

Contacting potential participants

Prospective participants can initially be contacted over the phone or via a letter. Highlight why their involvement is important and what is required of them. It may be necessary to offer incentives to encourage involvement e.g. reimbursement of travel costs, a meal or gift.

Following up

Send a confirmation letter to the participant, including details of the venue, date and time. Remind them about the importance of their involvement and any incentives there are on offer. It is also recommended that participants are telephoned one or two days before the focus group to remind them of the event.

Assessing a focus group

- ✓ A simple evaluation sheet provided to all participants is an effective way of finding out how the process was viewed
- ✓ Did you obtain the required information?

Practical information

Who participates and how?

It is important for a focus group to comprise a variety of participants from a diverse cross section of the local community, including residents associations, local authorities, businesses and voluntary groups. The project managers usually chose the participants from within the geographic area of the project/issue.

How much does it cost?

Typically, a focus group will take two to three hours and consideration should be given to staff cost and resources. The staff consideration should include a trained facilitator, technical support assistant and a minute recorder. The resource consideration should include the venue, catering, information material, plans, tracing and pens and possible incentives for attending.

What skills are required?

The facilitator would need the following skills: public speaking, good chair of meetings, talk honestly, open, vibrant, enthusiastic, good listener and good technical knowledge of the project. The role of the facilitator is making sure the meeting flows, everyone gets a fair opportunity to speak and the meeting ends on time.

How is it used with other techniques?

A focus group works well on its own, however consideration could be given to incorporating a focus group with a larger engagement event. The participants of the larger event could break into smaller focus groups, of usually around ten members in each group. A focus group could also be used for taking forward other engagement techniques, such as discussing possible website ideas or planning for a larger engagement event.

What are the drawbacks?

The main drawbacks of a focus group are the small sample sizes and the qualitative nature of the findings. Consideration must always be given to including the 'hard-to-reach' groups, such as the disabled, elderly, ethnic minorities, who are often neglected.

What is a Workshop?

A workshop is an engagement event used to address a particular topic or activity and usually involves brainstorming or discussion to achieve a certain task or outcome. The workshop would usually involve 20-60 participants attending a one to four hour event.

Workshops could form part of a larger meeting, such as conference, and would be used to discuss a certain issue/task within the context of the main events topic.

A workshop has several common characteristics. They:

- Address and define specific aspects or issues;
- Set the context at the beginning of a project;
- Can be used in planning or project development;
- Provide direction to the project team and participants; and
- Participants usually invited due to their specific input representation of an interested organisation.

Why are workshops useful?

Workshops could be useful in gauging public perception, on issues and concerns, early in planning process or project development. It is easy for a facilitator to encourage participation by asking questions and discussing their vision and concerns about the project.

Workshops can encourage participants to focus intense discussion on resolving a specific issue or concern. Authorities can also use a workshop to discuss relevant issues relating to a certain organisation or group. They provide an opportunity for detailed discussion on a wide variety of elements of a plan, project or delivery.

Workshops afford participants a clearer understanding and encourage involvement within a particular project, and give participants an understanding of various different viewpoints that need to be addressed.

What are the benefits of a workshop to the engagement process?

A major benefit of a workshop is that it encourages informal discussion and creates a positive team-working and team-building atmosphere. Participants would recognise that certain issues will occasionally have to be comprised in order to achieve a solution best suited to the majority of participants. As workshops focus on specific issues, they allow for viewpoints and greater involvement from all the participants.

Workshops are useful to encourage intense participation within an informal atmosphere. There is usually an opportunity for participants to ask questions that would increase their understanding of the specific issue or project details.

When should you use a workshop?

Workshops are useful at any stage of the transport decision-making process.

As special meetings, they are used early to set the stage for formulating plans or projects. They are used mid-process to showcase and refine specific aspects of plans or projects, resolve conflicts, and work toward consensus. Near the end of a process, they demonstrate findings and conclusions of the work effort.



An interactive workshop for a new transportation infrastructure project in Germany.

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Steps to prepare for a workshop

Step 1 - Make an Agenda

Bring together key players to start planning a workshop. Brainstorm topics, formats, and schedule. Also discuss learning objects, desired outcomes, and follow-up. Then define the purpose and create an agenda.

Step 2 - Determine the Budget

Running a workshop may incur costs such as facilitation fees and travel, transcription materials and services, meeting space rentals, refreshments for participants, presentation materials, and background documentation and analysis of the results.

Step 3 - Identify participants

Identify key individuals and organisations to invite and decide how to invite them (e.g., phone, mailed invitation, advertisement in local paper etc.). Then make invitations with as much notice as possible supplying details of when, length of meeting, where it will be held (including directions) and a brief statement of the purpose.

Step 4 - Handle Logistics

Find a meeting place that is suitably sized. Do you need smaller rooms for group activities? Pick a meeting date to meet needs of participants. Arrange catering for light refreshments.

Step 5 - Staff involved

Identify and ask facilitators. Contact and confirm attendance of special speakers such as technical experts, elected officials, and government agencies. Discuss the planned proceedings with all staff involved.

Step 6 - Preparation

Organise any background materials required for the meeting, and prepare presentations. Organise group work materials; flipcharts, pens, coloured dots, sticky pads, etc. Determine how the discussions will be recorded, transcribed, and analysed.

Preparing an agenda

Workshops should always have written agendas with expected results. The agenda should be circulated to members in advance of the workshop. A typical agenda covers the following items, as described below:

Make sure the project team/organisation logo is included

Need to include the purpose of the event, time, date and venue

Introduction and discuss the events agenda

Presentation on background to the project

Opportunity for information sharing, identifying issues, opportunities and concerns

Generate and agree on tangible next steps through community action

Opportunity to discuss any other information and include issues raised that were not included previously



Tips for workshop

- ✓ Must have a clear aim for the event, and a clear agenda to achieve those aims.
- ✓ Participants should receive as much background topic knowledge prior to event.
- ✓ Breakout groups should have approximately 10 participants and a facilitator.
- ✓ Participants must respect other's opinions and view points.

Practical information

Who participates and how?

Workshops considering specific transport proposals or concerns would attract specific stakeholders from a geographic area, usually identified by the project manager. A workshop looking at more general transport issues, such as congestion, might attract participants from an advert in a transport publication and could require participants to reserve a place.

How much does it cost?

Staff costs would include the time preparation for the event, staff time for a trained event co-ordinator, presenter of the background information, trained facilitators for each break out group and event recorders for each group. It is usually helpful to have one/two people to assist, such as taking photographs, etc.

The resource consideration should include the venue, catering, information material, plans, tracing and pens and possible incentive for attending.

What skills are required?

The co-ordinator and facilitator would need the following skills: public speaking, good chair of meetings, talks honestly, open, vibrant, enthusiastic, good listener and good technical knowledge of the project. The role of the facilitator is making sure the meeting flows and everyone gets a fair opportunity to speak and the meeting ends on time.

How is it used with other techniques?

Larger conferences (60+ people) could 'break out' into smaller workshops (20-60 people) and workshops could further 'break out' into smaller focus groups (5-10), these 'break out' sessions encourage personal informal discussions and debate.

What are the drawbacks?

A workshop requires much planning, preparation and publicity. Workshops can also prove to be costly and a careful budget should be identified prior to preparing for the event. Consideration should be given to participants feeling intimidated by the larger amount of people at a workshop event.

What is a citizen jury?

A small number of inhabitants of a city or neighbourhood are randomly selected and invited to participate in a series of hearings in connection with a local planning or policy issue, such as the development of a local transport plan or a public transport strategy.

A series of presentations are given by local authority staff, other experts and interested organisations, setting out the problems and issues in the area and outlining some possible solutions. Members of the citizens' jury can question each speaker, and the jury then forms its own judgement about the nature of the problem and the ways in which it might be addressed.

In German speaking countries there is a similar technique known as "Planungszelle" (planning cell), which was developed in the seventies by the sociologist Peter C. Dienel.

What are the benefits?

It is often very difficult to engage local people in debates about higher-level projects, such as transport plans or strategies, that do not seem as immediately relevant to them as a local neighbourhood scheme. The citizens' jury provides a means of obtaining public inputs to the development of more strategic policy documents.

There is often a strong local media interest in the operation of the citizens' jury, with reports on the evidence and views presented to the jury, and detailed reporting on the judgements expressed by the jury. This both greatly increases awareness of the issues, and encourages others to become interested in these more strategic issues. In most cases the findings of the jury have provided a very influential input to the transport decision-making process. The technique can help to resolve conflicts, introduce new ideas, and encourage a more holistic approach to the problem than is often provided by the experts.

When should you use a jury?

A citizens' jury can be particularly useful at two stages in the transport decision-making process: at the initial, scoping stage of developing a plan/strategy, when problems and issues are being identified, and at the option assessment stage, when judgements have to be made about which - if any of the generated options - sufficiently addresses the needs and concerns of different stakeholder groups.

Juries have been used to assist in the development of a local transport plan, in the development of a future public transport strategy for a city, and in developing walking and cycling strategies. They have been used to resolve problems associated with controversial inner-city planning projects (e.g. the design of places, or inner-city traffic policies), as well as other subject areas such as the role of new information technologies, future energy needs and demands for improved consumer protection.

In practice - Hannover

One of the best known and most successful examples in Germany of the application of the citizens' jury approach (also known as a 'citizens survey') in connection with a transport project is the "Bürgergutachten ÜSTRA", which took place in Hannover. The objective of this exercise was to assess the strengths, weaknesses and possibilities to improve the local public transport system. It was commissioned by the local transport operator ÜSTRA, and about 300 citizens, aged between 18 and 81, participated in twelve different citizen surveys around the city. The groups were broadly based, and included frequent users of the public transport system as well as people regarded as notorious car drivers; they were all invited to critically judge the current public transport system and to develop ideas for improvements in Hannover.

Each participant was on paid work leave, or received a small sum of money, as appropriate; child care assistance was also offered. Between them, the groups addressed sixteen working themes; these included issues relating to constricted mobility

(disabled people, older people, parents with pushchairs and buggies), travel behaviour, personal security, travel times and the future pay scales of public transport employees.

The outcome was a 200 page citizens' report, containing more than 100 suggestions for improvements to the local public transport system. The procedure turned out to be very successful, and the local transport operator ÜSTRA received a large number of suitable ideas for possible improvements. The citizens particularly liked the approach, involving discussions with experts and debating options, because they were able to talk to people that they would not otherwise have talked to, and would not have met elsewhere. At the same time, the experts were impressed by the citizens' commitment to the exercise.

About two years after the citizen survey, an evaluation was carried out to see which suggestions of the citizens had been implemented and which had not, also identifying the reasons why certain recommendations have not been implemented and whether this has been explained to the public.

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How it works: Steps in running a successful citizen jury

Step 1: Random selection process

The participants of the citizen jury are generally selected at random, though there may be quotas to ensure a wide representation of interests (e.g. inclusion of disabled person, single mother, ethnic minority groups). This should ensure a social composition of participants that is reflective of the local population.

Step 2: Financial compensation

The invited citizens are exempt from work and their other daily obligations for the duration of the exercise. Where paid leave from work is not possible, they are given a daily allowance or can claim expenses.

Step 3: Problem/issue identification

The citizen jury is designed to address a given problem or set of problems/issues. The exercise must be set up in such a way that it is solvable within a given time period. Much of the time is spent assimilating information, which must be presented in a way which is understandable to the layperson. This can involve the use of audio-visual aids, information materials setting out 'pros' and 'cons', and presentations from groups explaining the attitudes and concerns of affected people, plus the local administration, transport organisations, environmental groups, etc.

Step 4: Group assessment

The statements generated by the citizen jury are the result of a group process. Having heard the evidence, the jury may divide into smaller groups, to address particular issues in greater depth. The composition of these sub-groups changes, to avoid dominance by certain individuals, and to enable most people to contribute their ideas to each topic. The selected citizens are supported by professionals who moderate the whole process; they may help to explain issues, or give further background information, but they should not influence the discussions or conclusions of the sub-groups.

Step 5: Documentation of the findings

The findings are summarised in a citizens' report, which is presented to the initiator of the exercise. Each participant - laymen as well as experts - is given a copy of the report, which is often widely publicised in the local media.

Step 6: Evaluation of the implementation of the findings

In order to demonstrate the validity and credibility of the citizen jury process, the initiator of the exercise should carry out a formal evaluation of how the findings were incorporated into the project decision-making process, and as a consequence what has been implemented on the ground.

Practical information

Who participates and how?

Depending on the subject, the citizen jury should consist of around fifteen to twenty five persons, in a small and medium sized city. In a large city, it may be appropriate to set up a series of neighbourhood or district juries, that may involve 200 or 300 persons in total. People should be encouraged to participate voluntarily in a citizen jury; they usually need to be exempt from work for three to four days, occasionally longer.

How much does it cost?

At first glance, a citizen jury can appear to be quite expensive. The costs will include professional personnel and time resources, one or more trained facilitators, and the costs for room hire, working materials, refreshments, etc. It might also be necessary to reimburse costs for participants or their employers. However, this needs to be set in the context of the total costs of strategic projects and their implementation, recognising that the citizen jury can be a very effective way of identifying problems and possible solutions, and of achieving consensus.

What skills are required?

The individual participants do not need particular skills, but they should be willing to discuss the topics with people who might hold different opinions. The facilitator(s) need to be skilled in moderation, group work, chairing meetings, etc.

What are the drawbacks?

Citizen juries are less suited to dealing local schemes than with more strategic issues. They require careful preparation and are, therefore, very time consuming; there is a great deal of work for the initiating organisation to carry out after the jury has met, in terms of writing up the findings, integrating these into the transport decision-making process, etc. The exercise is also likely to receive high levels of media coverage, which will highlight any weaknesses in the process.

What is a technical working party?

A technical working party is a meeting of technical professionals, organised to discuss technical issues or provide direction for a particular project (steering committee) or provide on-going technical advice on specific issues (advisory committee). A working party is typically composed of staff from a local authority, elected officials and community representatives and is particularly useful for guiding projects in their development, identifying issues/concerns or directing long-term targeted strategies.

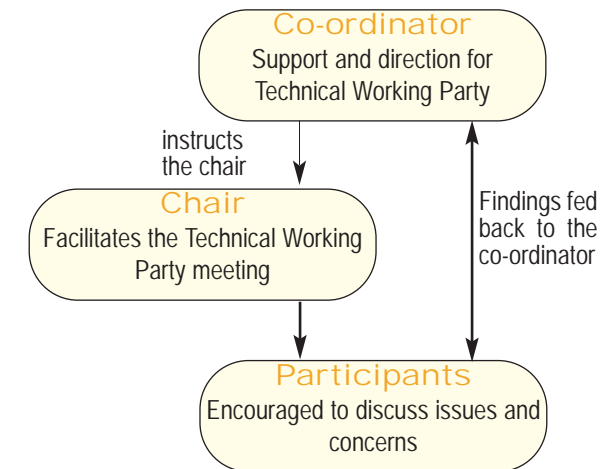
The technical working group encourages group-work between participants and is usually structured on a democratic basis with all representatives having equal status.

Key features of a technical working party

A technical working party has the following basic features:

- Interested and affected parties and groups from within a geographical area and/or sector are represented;
- The technical meetings are held weekly, monthly or yearly;
- Minutes and a record of the discussions, debates or findings are kept throughout a technical working meeting;
- Agreement on specific issues is usually sought, but not essential; and
- A technical working party is often assigned an important role in the decision-making process.

Structure of a technical working Party meeting



When to use a technical working party?

A technical working party may be required for any project which requires specific inputs or advice from individuals who are experienced or knowledgeable about specific issues, problems or techniques.

Technical working parties should be set up early in a transport related project and all members must be clearly briefed on their responsibilities. Meetings may be required throughout the decision-making process, however, their input is likely to be most critical at the option generation stages. Their experience and knowledge will be crucial in identifying appropriate and viable ideas and 'solutions' for the project, as well as identifying potential pitfalls with suggested options. Technical working parties can play an important role in ensuring decision makers are fully informed of technical issues relevant to the project and decision-making.



A group of experts meeting to discuss complex transport issues.

NOTES



The technical working party process

Step 1: Set up a series of meetings

Meeting times and frequencies will vary and will depend on when input from the technical working party is needed. Regular contact may be required during decision-making.

Step 2: Define terms of reference

These are circulated in draft form for agreement at the first meeting of the committee and contain the scope, role and responsibilities of the committee.

Step 3: Determine other protocols

These may be determined at the outset of the meeting and could relate to respecting the views of others and other housekeeping matters.

Step 4: Work towards the main task

The committee will work towards its main responsibilities with consultants or staff members, who may present information to inform committee discussions.

Step 5: Willingness to compromise/negotiate.

Willingness to compromise/negotiate is a key feature of a successful committee. Members representing broader stakeholder groups will communicate developments to them.

Step 6: Attend technical working party meetings

Committee members will receive agendas and minutes prior to any arranged meetings. Accurate reporting of proceedings is important.

Preparing an agenda

Committee meetings should always be directed by a written agenda. This should be circulated to members in advance of the meeting. Consideration should be given to the following aspects when preparing an agenda:

Ensure the project team/organisation logo is included.

Include the purpose of the event, time, date and venue.

Introduce the event and welcome attendees (if attendees vary each week).

Discuss whether any changes need to be made to the agenda.

Include the main topics for discussion.

Present key findings/project progress where relevant.

Provide the opportunity to discuss any other business. This will include issues not raised during the meeting.



Assessing a technical working party

| BEFORE | DURING | AFTER |
|--|--|--|
| Have the meeting papers/background information been sent to participants in sufficient time? Have the participants been given a clear explanation of their role? Has visual/audio information been given out prior to the meeting and does this include contact details? | Are the items on the agenda being addressed and are the concerns/issues raised useful? Is there any additional information that is needed from the participants? Has the facilitator presented the findings of the discussion and set a date for the next meeting? | Has a summary of results or action notes been prepared and submitted to participants? Have any questions/concerns raised by the committee been addressed and circulated? Has any feedback been received and incorporated to improve future meetings? |

Practical information

Who participates and how?

Technical professionals and/or representatives from a relevant organisation with an interest in the project would typically attend a technical working party meeting. The technical working party should encourage group debate and is usually facilitated by a chair or meeting facilitator.

How much does it cost?

Consideration should be given to staff costs, which might include a facilitator and meeting assistants. Costs may also be incurred by the use of a venue, catering and hiring equipment e.g. projectors.

What skills are required?

The facilitator/chair will need to have some experience in leading meetings. He/she will need to be a good communicator, give everyone an equal opportunity to contribute and have leadership qualities to ensure the group remains focussed.

How is it used with other techniques?

Technical working parties would work well as a 'break out' group from a larger event, or could be used to 'champion' a particular issue or proposal. They could also work alongside other smaller group techniques, such as visioning and brainstorming.

What are the drawbacks?

Technical working parties are only able to include a small group of people and as such, they are not intended to reflect the views of all those in the wider community. There is also the risk that meetings will be dominated by a particular organisation or individual and it is the facilitator /chair's responsibility to restrict this.

FS 60: Stakeholder conference

What is a stakeholder conference?

A stakeholder conference is a large-scale, formal, engagement event focused on providing stakeholders with information on solving transport related issues that affect them. This is achieved by input from a transport professional who provides an understanding of the complex issues, techniques on how this can be solved and case studies where positive solutions have been implemented in the past.

The second part of this event is to break into smaller workshop groups to apply the information in practice to prepare solutions for real and relevant transport projects.

The exchange of information in this technique is very important, information is provided to the stakeholders who assess the issues and information and provide detailed feedback, comment and possible solutions to a complex transport issue that affects them.

Who attends a stakeholder conference?

The most important aspect required from a participant is the interest in complex transport related projects and the ambition to make a difference in their local area. Consideration should be given to the following stakeholders:

- **Residents:** Excellent local knowledge and ambition to learn and make a difference;
- **Businesses:** Ambition to reduce transport problems; and
- **Community groups:** Better understanding of the issues facing a wider group of people.

A few participants can be asked to research the transport problem and to present a case study.

What are the benefits of a stakeholder conference?

The main benefit of a stakeholder conference is the informed exchange of information and solutions, some other benefits include:

- The event is structured and provides the opportunity to direct discussion to achieving a given aim;
- Results in an informed response, solutions and feedback for a transport project or issue;
- Empowers communities to contribute to decisions, based on professional advice;
- Provide encouragement for communities from other places that are facing similar problems; and
- Provide a range of solutions to encourage further ideas.

When should you use a stakeholder conference?

It is recommended to use this type of event once the issues and wider stakeholder solutions have been identified. This enables the trained professional to have a sense of what the issues and solutions are. Given this, they would then be able to direct the presentation and case study discussions to a particular issue/problem or solution and encourage debate on more detailed solutions.

The most suitable stage to conduct such an event is during the identification and generation of feasible options. This can draw on findings from previous stakeholder engagement activities and encourage the identification of stakeholder generated options, with an indication of the preferred solution.



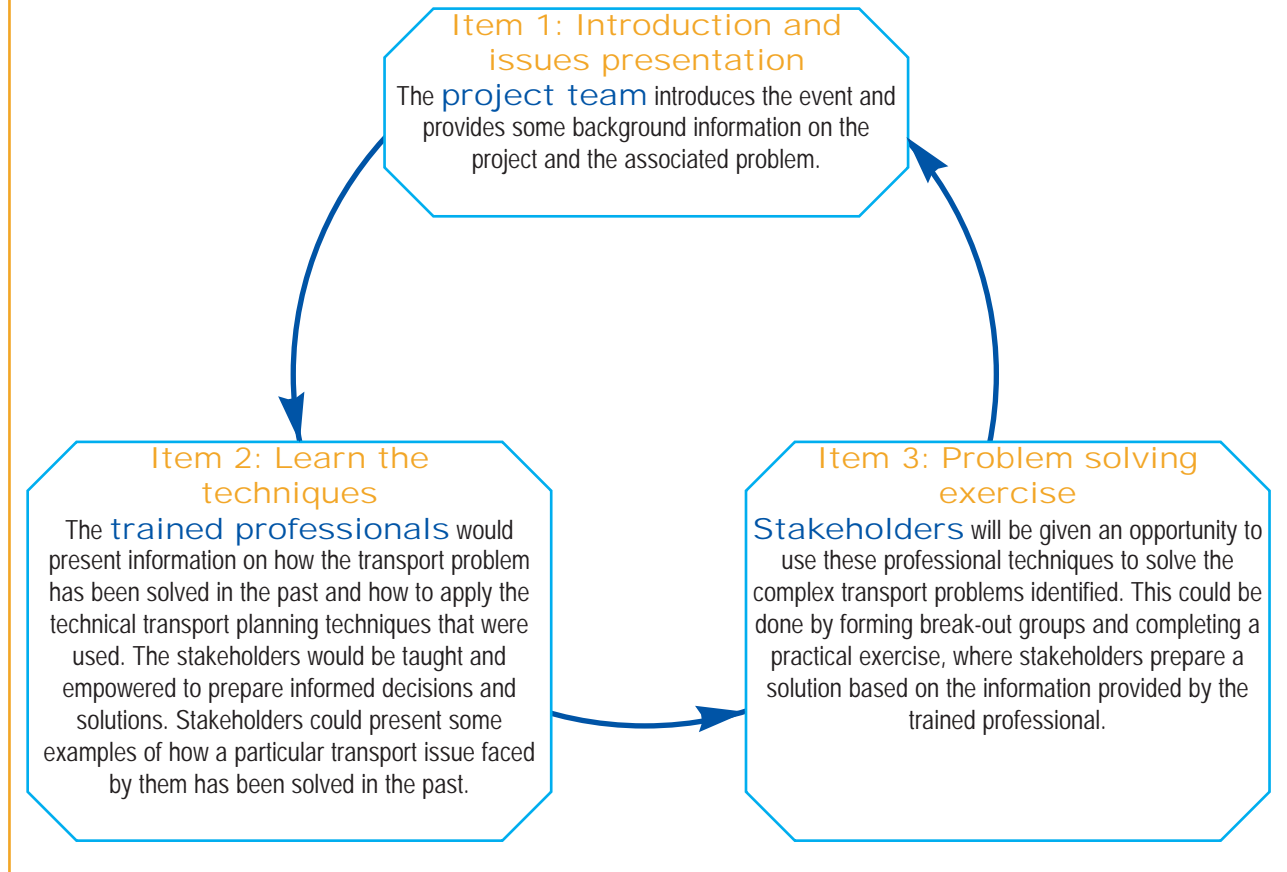
A Transportation Conference in France.

NOTES



How does a stakeholder conference work?

The following diagram shows the flow of information during a stakeholder conference and who is responsible for passing that information on:



A transport conference checklist

- | | |
|--|--|
| <ul style="list-style-type: none"> ✓ Clearly decide what you want to achieve at the event. ✓ Consider the budget; this will influence the venue, facilities and target audience and the form of the conference. ✓ Make sure the timing doesn't clash with other major events. ✓ Make sure the conference programme is stimulating. | <ul style="list-style-type: none"> ✓ Prepare an outlined agenda detailing the planned activities for the day. This should be circulated in advance to participants. ✓ Get the stakeholders involved by using interactive engagement techniques, e.g. small working groups. ✓ Consider external advice |
|--|--|

Practical information

Who participates and how?

Participants could include community representatives, such as residents, businesses, community groups and 'hard to reach' groups. Another important group is the transport professional, who would share their knowledge and case studies of good practice of particular transport issues.

How much does it cost?

The budget for an event like this is the venue, catering and production of materials. Another expense that should be considered is the time and experience of the transport professional and if they are not local, consideration should be given to their accommodation and travel.

Consideration should also be given to staff cost of the event facilitators that includes a chair for the event, assistants and a facilitator for each break out group.

What skills are required?

The transport professional will have to contribute considerable technical knowledge of the issue, provide case studies of how these were solved in the past, and show high levels of public speaking. The event facilitators should have good skills and experience in engagement events, they should be friendly, polite, honest and provide everyone with an opportunity to offer their views.

How is it used with other techniques?

This event is used well with exhibitions, workshops, fact sheets, technical reports, community visits, focus groups and information sessions.

FS 61: Transport visioning event

What is a transport visioning event?

The basic concept of a transport visioning event is to combine various engagement techniques so that stakeholders can prepare a vision or aspiration to solve particular transport issues, problems or develop a project.

The main feature of this event is to familiarise stakeholders with the study area and identify problems/issues, a vision and possible solutions. This could be achieved by combining various techniques such as a workshop, information centre, focus groups, community visit, community meetings and exhibitions.

A vision is important as it directs the project to achieve the required outcomes, and can give the project team an understanding of what the stakeholder's expectations are. It would also be a valuable tool in the marketing and promotion of the transport project.

How does it work?

The chair would conduct the introductions and the audience would be broken into groups of approximately 8-10 people to conduct an analysis of the project area, identifying the strengths and weaknesses of a particular transport issue. These are presented back to the full stakeholder audience and participants assemble in their original groups to discuss a vision and possible solutions to achieve this vision. This usually involves mapping solutions and presenting these to the event participants.

Who attends?

Invite a range of stakeholders to promote interaction. Each breakout group should have at least one representative from each stakeholder organisation. Possible organisations could include: Authority Officials, education groups, resident associations, community groups, retailers/businesses, hard to reach groups and transport professionals.

What are the benefits of a transport visioning event?

- Early identification of the issues from stakeholders with local knowledge and stakeholder groups with different interests;
- Receive direct stakeholder feedback on how transport problems could be solved;
- Create relationships between stakeholders and the project team, where stakeholders feel that their interests are being considered;
- The event concept is versatile and can be changed according to budget, local consideration and stakeholder groups;
- Create enthusiasm and ownership of a project from the early stages, and encourage stakeholders to be proactive about solving the issues; and
- The project team and stakeholders are always assessing the feasibility of their own aspirations.

When to use a transport visioning event?

An ideal time for a transport visioning event is the initial stages in the decision-making process, and together with exhibitions and press releases, could be a valuable tool in the 'launch' of a transport project by creating enthusiasm and project awareness. It is an excellent way to build a base of information, gauge public perception, gain stakeholder support and input early on.

It is recommended to set a time and date that would be convenient for all stakeholders. Saturday mornings and weekday evenings are the most recommended times.

If a study area visit is a major aspect of the event, then consideration should be given to making sure that the weather conditions are favourable.



Participants providing their ideas at a transport visioning event in Brno, Czech Republic.

NOTES



AGENDA ITEM

Item 1:

Introductions

The chair or main facilitator of the event will welcome participants, introduce the event and transport project, discuss the agenda and outline the expected outcomes.

Item 2: Analysis

Groups of participants will identify strengths, weaknesses, opportunities and aspirations for the transport project or study area.

Item 3: Solutions

Participants will then use the strengths, weaknesses, opportunities and aspirations to prepare a suitable 'Vision' for the project. This will include the preparation of possible improvement solutions.

Item 4:

Conclusions

It is important to continue transparency and this stage involves an elected member of each group presenting the findings of that particular group back to the entire audience.

ENGAGEMENT AID

Outcomes for Item 1 could be achieved using the following aids:

- Key speaker presentations;
- 'Blue sky' thinking;
- Factsheets;
- Exhibition; and
- Newspaper article.

Outcomes for Item 2 could be achieved using the following aids:

- Walking site visit;
- 3D Models;
- Video footage;
- A4 Plans and post it notes;
- Disposable cameras.

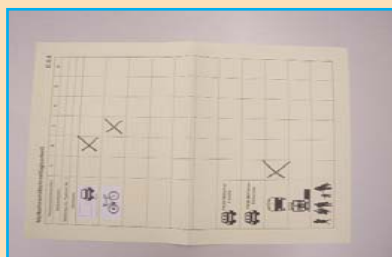
Outcomes for Item 3 could be achieved using the following aids:

- A1 / A0 Area Maps;
- Aerial photographs;
- Interactive 3D models;
- Tracing paper; and
- Thick marker pens.

Outcomes for Item 4 could be achieved using the following aids:

- Presentations;
- Outputs from stages before;
- Photographs;
- Sketches/drawings; and
- Possible 3D models.

EXAMPLE



Practical information

Who participates and how?

Important participants at the event are the key stakeholders, as they contribute to the issues, strengths, weaknesses, aspirations and possible solutions. The project team play a big role at the event, as they have the project information and are able to facilitate/direct discussion and comments from the stakeholders.

How much does it cost?

Preparation and running costs of the event can vary and can be adapted to suit the needs of most budgets. Consideration should be given to venue, staff costs, catering, printing and production of information materials. The more interesting and exciting the event, the higher the costs will be, however this will help the project team to achieve the outcomes.

What skills are required?

The facilitators need to demonstrate a good understanding of the project and issues and have good experience in chairing large events. They need to be clear in presenting and directing the event towards achieving the identified outcomes. For more contentious issues, it is recommended to have an external facilitator.

How is it used with other techniques?

The transport visioning event is very adaptable with the ability to incorporate many aspects of other techniques. Such techniques could include exhibitions, newspaper feature articles, information and image campaigns, fact sheets, community visits, focus groups and workshops.

What are the drawbacks?

The drawbacks for this event include the attendance being targeted and therefore could seem to excluding some stakeholders. Additionally, the agenda for the event is particularly full and time constraints and expected outcomes should be considered.

What is a weekend event?

A weekend engagement event is between 1 and 2 days in duration and recommended for very large projects that could be considered detailed or controversial. The event would consist of approximately 60 stakeholders, who at intervals throughout the event would break into smaller groups of around 6 to 10 people, concentrating on different topics and facilitated by a member of the project team.

This design of the event combines intensity with fun and an interesting form of engagement, the focus being exchanging large amounts of information over the 2 days. This type of event covers a broader range of issues than a Transport Visioning Event, and generally in a form designed to produce more structured outputs. The purpose of the event is the ability to engage with stakeholders and exchange detailed information on every stage in the project.

What to consider prior to the event?

This event is intensive and output driven and it is important to identify the expected outcomes to gauge public perception and of the project and to plan the event accordingly.

Consideration should be given to identifying suitable stakeholders and sending the invitation and pre-event information at least 1 month before the event.

Prepare an agenda that focuses on the outcomes and make the event fun, interesting and encouraging, while still achieving the aims of engagement.

Once the venue and accommodation arrangements have been confirmed, it is important to test and finalise all the technical (Audio/Visual) aspects of the event that will be used. Make sure the facilitators know how these work and have prepared suitable presentation materials.

What are the benefits of a weekend event?

The benefits associated with this technique include:

- Opportunity for a one off event that considers the entire decision-making process;
- Opportunity to bring together all major stakeholders for an extended period;
- Could result in a faster project time scale or be used to deal with an urgent, relatively contentious issue;
- Opportunity to gain solutions from many people, not just the project team; and
- Stakeholder involvement used early in the decision-making process, avoids wasting valuable resources, if little support is shown for the project.

When should you use a weekend event?

A weekend event is likely to be particularly useful at an early stage in the transport decision-making process. In the case of a very large project, it might even be run in advance of the main project, to help identify key issues and assist in formulating the engagement and other strategies.

Weekend events can be used during the problem identification stage, both to identify issues and to start to look at possible options and criteria for assessment. They could also be used once the formal decision has been taken to go ahead with a particular scheme, to assist in planning some of the detailed aspects of implementation. This might be particularly useful where a large infrastructure scheme is liable to cause considerable disruption for an extended period of time.

Finally, a weekend event could be used after implementation, to provide stakeholder report back on the scheme and to identify possible solutions to any problems that have arisen post implementation.



Participants reviewing information provided at a weekend event.



Participants providing their views and ideas for the transport project directly onto maps.

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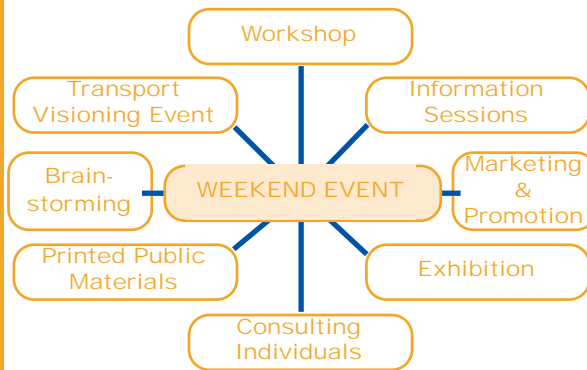


Designing a weekend event

Consider the following information when designing a successful weekend event:

Interaction with other engagement techniques

The following diagram shows how various other techniques discussed in this handbook can be used in a weekend event.



What should be included in the information pack?

The information pack will be the first material a stakeholder will see regarding the event. It is important for this to be informative, interesting, colourful and should consist of the following items:

- Formal invitation stating the date, time and venue of the event;
- Covering letter explaining the purpose of the project and the event;
- Draft agenda of the event;
- Response sheet to book a place, containing contact details;
- Venue directions;
- Accommodation details for overnight stay; and
- Any other materials for pre-event information.

How is the event structured?

| | |
|---------------------------|---|
| Saturday Morning | <ul style="list-style-type: none"> • Introductions and welcome • Presentation of Issues • Identification of strengths, weaknesses and opportunities |
| Saturday Afternoon | <ul style="list-style-type: none"> • Generation of Vision • Generation of Options |
| Sunday Morning | <ul style="list-style-type: none"> • Testing of Options • Voting on preferred scheme • Preparation of improvement proposals |
| Sunday Afternoon | <ul style="list-style-type: none"> • Discussion on route forward • Discussion on further engagement • Discussion on project champion • Preparation of materials for follow up |

Recommended follow up activity:

Arrange a community workshop with a different audience, discussing the outcomes of the weekend and next steps, such as a follow up event. This should be done relatively soon after the weekend event and used to encourage support for the project.

A weekend event checklist

- ☒ Are the stakeholders identified and informed long enough in advance?
- ☒ Are the information packs accurate and appealing, and do they contain a reply slip?
- ☒ Is the venue/accommodation/catering organised and confirmed?
- ☒ Is the agenda clear on objectives and responsibilities and does it encourage achieving the aims of the event?
- ☒ Is the agenda fun and interesting?
- ☒ Is the material correct printed?

Practical information

Who participates and how?

The most important people at the event are the stakeholders and detailed research should be undertaken to find the right stakeholders to participate in the event. These stakeholders would be positive, forward thinking and be able to think of new and interesting solutions. Consideration could be given to inviting stakeholders from groups, such as: authority officials, community interest groups (residents associations), transport professionals and other 'experts' and 'hard to reach groups'.

How much does it cost?

Due to the intensity and duration of the event, the event is not considered to be cheap. Things to consider would be the venue, hotel accommodation, materials, staff costs, catering per day, trained facilitator and other facilitators (assistants) for the full event duration.

What skills are required?

It is very important that the facilitator is a good organiser, good chair of public events, has the ability to speak clearly and create enthusiasm for long periods of time. It is also important that the project team or participants have specific skills in most aspects relating to the project, not necessarily transport, but skills such as planning, economics or urban design.

How is it used with other techniques?

This technique is very versatile and most, if not all, of the techniques discussed in this handbook will be appropriate to this type of event, such as marketing strategy, engaging individuals, workshops, brainstorming events, leaflets, exhibitions, letters, etc.

What are the drawbacks?

The major drawback for this type of event is the cost, however this could be considered worthwhile in considering the outcomes achieved from the intensive 1 or 2 day event. Effort and commitment required of potential participants is another drawback; however this could be reduced by an exciting and interesting agenda and by providing feedback on the outcomes.

What is 'Planning for Real'™?

Planning for Real™ was developed in Britain in the late 1970s and is an effective technique for involving citizens in decisions about local schemes, using models as a focus for people to suggest and prioritise ideas on how their area could be improved. It catches people's interest and can attract all sections of the community.

The core feature of Planning for Real is the construction of a large, usually three-dimensional, model of the relevant area, and the use of suggestion cards on which citizens can indicate what they want to see happen and where (e.g. location of playground, bicycle lanes, trees). In this way, people can see others' ideas and comments, and build on these. The use of a model avoids language and articulation difficulties, and compromise and consensus become easier; there is less scope for face-to-face confrontation and people can concentrate on identifying specific projects.

What are the benefits?

'Planning for Real'™ can be a very effective means of involving a wide range of people in a local transport project, from school children to pensioners, and from residents to employees. It is visual, fun to engage in, and allows a variety of forms of response. It does not rely heavily on written material, and gives everyone a 'voice'. As well as providing people with the opportunity to make individual comments, it can also be used as stimulus material in other engagement events, such as a focus group or a technical workshop. Planning for Real™:

- Engages people from all types of background (including minority groups);
- Is primarily visual in approach, and so enables participants to demonstrate what they would like to see happen and where;
- Gives those who normally feel intimidated at public events the opportunity to express their views using the cards;
- Helps the event to focus on the issues rather than on the

personalities of those involved;

- Assists in the generation of new ideas - what could be done, where and how? - and relates these directly to the problems and aspirations that have been identified; and
- Enables strong, productive and on-going partnerships to be formed between local people, the project team and other interested parties.

In particular, the use of the physical model and the cards overcomes the difficulties many people experience in communicating verbally, and helps them to visualise possible changes and to communicate their ideas to others. It also enables people to become actively rather than just passively involved in engagement. As Planning for Real is a registered trademark of The Neighbourhood Initiatives Foundation, organisations wishing to run activities described as Planning for Real events, should first contact the Foundation to discuss how best to use the technique in their particular situation, and to obtain permission to use the trademark.

When should you use Planning for Real?

Planning for Real has been widely used throughout the world. It has been successfully applied to derelict sites and town centres, as well as to areas of open space, such as squares. It has been used to look at options for community development schemes in Berlin, and in a small village in Eastern Germany. Within GUIDEMAPS, aspects of the approach have been used as part of the engagement for traffic management schemes, linked to the promotion of sustainable transport modes, on newly bypassed roads in Essex.

Planning for Real helps to produce more diverse and creative ideas, by involving larger numbers of people of all age ranges and backgrounds. However, it is not appropriate for engaging on a specific scheme proposal. It is more appropriate at the problem identification and option generation stages, where it can uncover important detail information for the transport project, in particular, citizens' concerns and users needs. Planning for Real is mostly used by NGOs, but can also be applied by a local authority.



An example of a 'Planning for Real' event held in Essex, England.

NOTES



How it works – in brief

The Planning for Real exercise starts with the construction of a three-dimensional model of the local neighbourhood. Local people are encouraged to carry out this activity, sometimes with external assistance, using their specific local knowledge to ensure the model represents the place, as they see it. Often, children in a local school might undertake this task as an educational exercise, to maximise ownership and awareness in the community.

In the second stage, people are invited to attend a Planning for Real event(s) - often assisted through publicity about the model in the local press - where the model is exhibited. People are encouraged to place comment and suggestion cards on the model, noting specific problems and possible solutions. Cutouts - such as trees, zebra crossings or bicycle stands - may also be provided, so that people can place them where they would like to see such facilities provided. Participants then review comments, agree on priorities and form working parties.

In stage three the working parties, made up of local people aided by professionals, review the ideas put forward at the meetings, and discuss any conflicting interests. This usually leads to a number of concrete project proposals, which can then be turned by the project team into action plans.

Resources required

You can either use the Planning for Real 'kit' promoted by the British Neighbourhood Initiatives Foundation (www.infonline.org.uk), or prepare your own. Local language versions of the 'kit' have been developed in Holland, Germany and Poland. For your own material 'pack' you will need:

- ✓ Map of the area or community.
- ✓ Material for model making (coloured card, balsa wood, photographs of facades, polystyrene, glue, scissors, etc.).
- ✓ Wooden sheets or desks for exhibiting the model.
- ✓ Material for cut-out features, and suggestions and priority cards (coloured card).
- ✓ Material for the ad hoc 'working parties' (paper, pens, flip charts etc.).

Steps in a Planning for Real event

Step 1: Initiation phase (2-3 months)

Define the study area and set up a steering group involving local residents and the local authority. Prepare your Planning for Real 'kit' or purchase one.

Step 2: Model making (2-3 days)

The model is often built by local residents, assisted by school children or students. It is usually at 1:200 or 1:300 scales; it should be easily transportable.

Step 3: Publicise activity (2 weeks)

Exhibit the model in your area (e.g. cafes, libraries), and seek media support.

Step 4: Distribute talent sheets (2 weeks)

In parallel with the publicity, gather information on the talents of local residents. This will form a resource for the working parties and later implementation.

Step 5: Public sessions (one or more times in different locations, 3-4 hours)

The session should be introduced by the facilitator, explaining the objectives and the process:

- People view the model (10 mins).
- Participants place suggestion cards on the model (30 mins).
- Participants discuss the results and rearrange cards, until they are happy with the outcome (30 mins).
- Participants record suggestions and their locations (30 mins).
- Participants prioritise suggestions, by placing cards on 'now, soon, later' boards (30 mins).
- Participants discuss next steps and establish working parties on key issues (20 mins).

Step 6: Working parties (1-2 months)

Working parties cover topics such as environmental protection, traffic, play areas; actions plans are worked out in more detail.

Step 7: Implementation and feedback

The working parties start to implement the projects and actions plans or contact relevant authorities. The public should be informed about the results through newsletters or press releases.

Practical information

Who participates and how?

Participants are generally drawn from a particular target community or neighbourhood. Local politicians and staff from the local authorities should also be invited to the public sessions, but try to avoid an 'us against them' atmosphere: the emphasis is on community inputs, so professionals and officials should not contribute until asked to do so.

How much does it cost?

Professional staff costs and time will be involved in the preparation, participation and facilitation of the events. Resource costs include the meeting space, catering, information material and appropriate model-making facilities.

What skills are required?

The Planning for Real facilitator should have good skills in moderation, group work, conflict solving, and chairing meetings. People are also needed to assist in running the event, for example volunteers from the community or neighbourhood. Train-the-trainers workshops - offered, for example, in the UK or Germany - can be found on the internet and promoted by the British Neighbourhood Initiatives Foundation (see 'resources required').

How is it used with other techniques?

A Planning for Real event can be free-standing, or form part of a broader engagement strategy. It should be linked into the project's media strategy, in order to publicise the event and the outcomes in local newspapers and radio stations.

What are the drawbacks?

A Planning for Real exercise is suitable for broad urban or community development projects; not, on the one hand, for general strategy development, nor, on the other, for informing people about a detailed scheme proposal. The exercise and the implementation of the action plan needs considerable time and resources.

FS 64: Open space event

What is the 'open space event'?

The rationale behind an Open Space event is based on the observation that many people regard the coffee break as being one of the most informative and productive parts of conferences and meetings. This led to the development of a form of event in the mid eighties, by Harrison Owen, that adopted the format of the unstructured coffee break.

The method works like a 'market place', in which many different people meet, talk to each other, exchange ideas and problems, and develop projects and working strategies. The following pre-conditions contribute to a successful Open Space event:

- An urgent and common topic of concern;
- A high degree of complexity surrounding the issue;
- A wide diversity of interested groups; and
- A clear time pressure to find solutions

What are the benefits of running an 'open space event'?

An Open Space event offers an environment that encourages the intensive exchange of ideas and an open brainstorming session. It is deliberately very loosely structured, as is evident from the fact that only a location, a simple agenda and a broad timetable is determined in advance of the event. The main actors are the participants themselves, who are - individually and collectively - responsible for the content and the outcomes, and the general workshop atmosphere.

Any attempt to control proceedings at an Open Space event should be avoided, where at all possible. On the contrary, professional leadership and an overly structured facilitation process have been identified as the main restraint on innovation. Instead of listening to expert views, citizens devise the detailed agenda and communicate with each other informally, contributing their own insights and expertise. The participants themselves become the motor driving the event.

During the course of the event, the topics and discussions become more and more independent of any official agendas. Not only do participants work intensively during the formal sessions, but the topic will also be discussed by groups of people on the staircase and in the cafeteria..

Many participants are often surprised by the success of this approach, which at first might have appeared to be rather chaotic. They conclude that they had been very motivated to exchange, discuss and further develop ideas, and that they have enjoyed determining the course of the event. However, the biggest 'winner' in an Open Space event is always the pleasant working atmosphere.

The Open Space method is unfamiliar to many people. In order to successfully run such an event, it is important to involve some of the participants in the preparations and to foster media relations.

When to use an open space event?

The Open Space approach is not a suitable method if you have already decided on a particular transport project. Rather, the method is suited to identifying and scoping out general problems/issues in an area and generating a range of possible solutions: it is effective as a forum for exchanging information and knowledge, stimulating and collecting new ideas, and as a general community empowerment tool.

An Open Space workshop can be arranged by a city council, or by various non-governmental organisations. Depending on the situation, participants are likely to include the residents of a district, as well as staff members of a city council.

Open Space has proved to be an effective meeting format, in which very heterogeneous groups work together, and where complex and potentially conflicting issues can be addressed when previously it has not proved possible to find an acceptable solution. The Open Space approach is often run as a free-standing exercise, but it can also be adapted as an afternoon session in a conference.



Participants at an open space event.

NOTES



How it works: Steps for 'Open space'

Step 1: Preparation phase (2-4 weeks)

This involves the usual steps in preparing for a workshop-type event (e.g. venue booking, refreshments, inviting participants).

Step 2: Introduction (10-15 mins)

The participants sit around in a circle or arc, so that everyone can see each other. The facilitator explains the general objectives and format of the event.

Step 3: Opening plenary circle (15-20 mins)

The purpose of the opening session is to identify the most important subjects that participants want to address. They write their suggestions on cards, read them out and place them on a 'notice board'.

Step 4: Signing up (15 mins)

The file cards are arranged according to subject areas and participants register for different workshop (sub)topics.

Step 5: Workshop sessions (1-2-3 hours)

The workshop sessions are self-managed by the participants, within a framework of simple principles and 'rules'. Results are recorded and placed on the central notice board.

Step 6: Open sessions (30-60-120 mins)

After a refreshment break, general debate starts and people are encouraged to move between the different working groups, to add their ideas to what has already been contributed.

Step 7: Final plenary circle (15 mins)

As people can 'drown' in the many ideas and suggestions that have been generated, the purpose of the final plenary session is to collect final and considered suggestions and statements from participants about their priorities and the projects they would like to be implemented.

Step 8: Workshop report (15 mins)

In order to capture all the good ideas, and to summarise action points and various follow-up responsibilities, a report is prepared either at the end of the workshop or the next day.

The four principles:

- Whoever turn up are the right people
- Whenever a new topic is started, it's the right time to do so
- When a discussion is over, it's over
- Whatever happens is the only thing that could happen

In other words, participation at an Open Space event is voluntary. Neither the organisers nor the participants should worry too much about formal timetabling or structure; all participants should move on when there is nothing more to say.

It is important to turn up for the event with an open mind and without high expectations.

The 'law of two feet':

Simply expressed, the 'law' states that, if at any time a participant feels that they are neither learning nor contributing to a session, then they should move elsewhere (to another workshop, or to have a coffee break).

In other words, the "law of two feet" sets out a principle of self-directed freedom and self-responsibility. The basic premise is that each participant should always be in the 'right' place, in the working group in which he can contribute and learn something. This is how each participant can best influence content and form. People who try to control the discussion will be rejected by the group, usually in a polite way. Each participant has a responsibility for the efficiency and effectiveness of the event, for hi/her contribution and for the proceedings as a whole.



Practical Information

Who participates and how?

The most important requirement is participation on a voluntary basis, by citizens, transport users or business people, who have an interest in improving their community. The number of participants is not fixed; there have been open space events with as few as 20 participants and as many as 500 people. Experts or members of the city council, as well as politicians, should be encouraged to participate, but with no more influence than the other participants.

How much does it cost?

Costs include the rooms in which the event is held (several rooms are needed for the parallel workshops), refreshments, working materials (display boards, cards, papers, pencils etc). As well as professional staff time, there will be a need to engage an Open Space facilitator, generate publicity and provide administrative support to make the necessary preparations (starting two to four weeks in advance).

What skills are required?

The participants do not need particular skills, but they should be able to deal with an open working forum. The facilitator should have the usual skills (moderation, group work, chairing meetings, etc.), but (s)he only actively leads the beginning and the end sessions.

How is it used with other techniques?

An Open Space event works well on its own, though it can provide a useful structuring event for planning later engagement activities. It should thus be built into a more general engagement strategy.

What are the drawbacks?

Open Space is not suitable for dealing with very specific topics, where the solutions or actions are already known. It is more suited to very open topics, and provides a technique for motivating people and facilitating citizen empowerment. Once a constructive and energetic spirit has been generated from an open space event, it should be capitalised upon in follow-up workshops and meetings.

Who are ethnic minorities and why engage with them?

Ethnic minorities are groups of people who share the same cultural traditions and characteristics which differ from the native population. These groups and communities often have little political representation in decision-making processes.

It is recommended to consider all stakeholder issues and requirements in a transport related project. The engagement process should be inclusive and transparent, and must provide equal opportunities for all stakeholders to get involved.

Some ethnic minority groups may have particular issues and requirements specific to their culture, beliefs or language, which will need to be given serious consideration in planning and carrying out an engagement strategy.

Identifying ethnic diversity

The ethnic diversity of a specific area can be identified through the use of nationally collected statistics or local surveys. Ethnic minority voluntary and interest groups may also be a useful source of information on the ethnic diversity of an area. Engagement strategies should involve the full range of groups and communities identified, to ensure their different views are fully represented.

It is recommended that key ethnic minority organisations and representatives are engaged to identify the specific needs and priorities of ethnic minority communities. Further, they may also help to identify how specific groups might wish to be engaged and the most potentially effective techniques for involving them.

Why engage with ethnic minorities?

It is important to engage with ethnic minorities to ensure:

- All stakeholder interests and concerns are represented and identified. Different ethnic communities will identify specific problems and priorities that wouldn't necessarily be highlighted by other groups or the project team;
- Different ethnic groups can discuss and debate issues, concerns or requirements particular to their group;
- Engagement will help to build important links with ethnic minority communities; and
- Ethnic minorities will be properly represented in the decision-making process.

When to engage with ethnic minorities?

Early consideration of ethnic diversity in the preparation of an engagement strategy is very important. Allow enough time to engage with ethnic minority groups and representatives to enable the most effective engagement techniques to be identified and prepared.

Early identification and initial contact with ethnic minority groups will help to encourage their participation and can contribute to making them feel part of the wider community and the decision-making process.

A range of different engagement techniques may need to be developed to encourage the involvement of all ethnic minorities. Consideration should be given at an early stage to their specific beliefs, cultural customs and languages.



Using images, graphs, maps and photo's to engage ethnic minority groups.

NOTES



Key issues to consider when engaging with ethnic minorities

Engaging with ethnic minority groups and organisations

Engagement with organisations and groups who represent ethnic minority communities is recommended early in the preparation of an engagement strategy. The following questions could be useful when engaging with community representatives:

- What are the key issues, concerns and priorities of the community/group?
- What engagement techniques do they prefer?
- What specific language or cultural customs do they have?
- Is the organisation/group willing to disseminate information about the project to its members?
- What other networks, organisations and forums could be used to promote the project and engagement?

Language

To encourage the involvement and engagement of different ethnic minority groups, project information, promotional materials, questionnaires, invitations, presentations and other materials may need to be translated into minority languages. An interpreter may also be required for engagement events.

- What are the different dialects in the study area?
- Have the materials been translated fully and correctly?
- Have we hired interpreters with suitable technical knowledge?

Cultural traditions and customs

Consideration should always be given to the specific traditions and customs of different ethnic minority groups. It is recommended that ethnic minority representatives or organisations are engaged on the following issues.

- What religious days, festivals and events should participation events avoid?
- What times of day should engagement events avoid?
- What kinds of venue are unsuitable for specific minority groups?
- What types of food and drink are culturally inappropriate for different ethnic groups?

Practical Information

Who participates and how?

It is important to engage with ethnic minority groups to ensure their views are represented in the decision-making process. The project team should identify the most effective ways of engaging with ethnic minorities through engagement with ethnic minority representatives and/or relevant voluntary and interest organisations.

How much does it cost?

The preparation of materials in various languages for different ethnic minority groups could increase the overall cost of the engagement strategy. Translating responses and providing an interpreter at events is also likely to impact on project budgets.

What skills are required?

Project staff and facilitators will need to be sensitive to the requirements and concerns of different ethnic minority groups. Experience of working and engaging with ethnic minority communities would be an advantage. Where necessary, facilitators or interpreters should be available at events to enable the involvement of those who speak different ethnic minority languages.

How is it used with other techniques?

Ethnic minority requirements and concerns should be considered in the preparation and use of all tools and techniques. This factsheet could be used with those on 'identifying stakeholders' and 'preparing an engagement strategy'. Highly relevant techniques might include community visits, key person interviews, focus groups and workshops.

What are the drawbacks?

It may be challenging to identify and involve all ethnic minority groups, particularly in areas with many different ethnic minority communities. However, it is important to ensure all groups are represented in the decision-making process and every effort should be made to involve all ethnic minority groups - not favouring one group over another.

FS 66: Impaired people

Who are impaired people?

Impaired people are those members of a community who suffer a disability or impairment which limits their activities or opportunities. Special consideration will need to be given to the requirements of impaired individuals to encourage and enable their engagement in a project. Their involvement in engagement activities is vital, as the focus of many transport related projects is to improve travelling environments for impaired people.

There are many types of impairments to consider when arranging stakeholder engagement strategies. This fact sheet focuses on three, which should always be considered when planning and carrying out an engagement event or strategy:

Access: those who suffer mobility impairments which restrict movement and access;

Visual: those who are blind or partially sighted; and

Hearing: those who are deaf or hard of hearing.

Key issues

The following should be considered when engaging with impaired stakeholders

- Is information and promotional material about the project and engagement events and activities accessible to all impaired individuals?
- Is the event planned on an appropriate day and time (e.g. avoid late afternoon and evenings to encourage the involvement of impaired women with child care responsibilities)?
- Is the venue fully accessible to all impaired individuals (includes getting to, getting into and moving around the building)?
- Are written materials, graphics and maps accessible to all (induction loops and material in braille or large print may be required)?
- Is additional assistance required at the event (may include sign language interpreters and assistance for those who are less mobile)?

Benefits of engaging with impaired stakeholders

There are significant benefits to involving impaired individuals in transport related projects. These include:

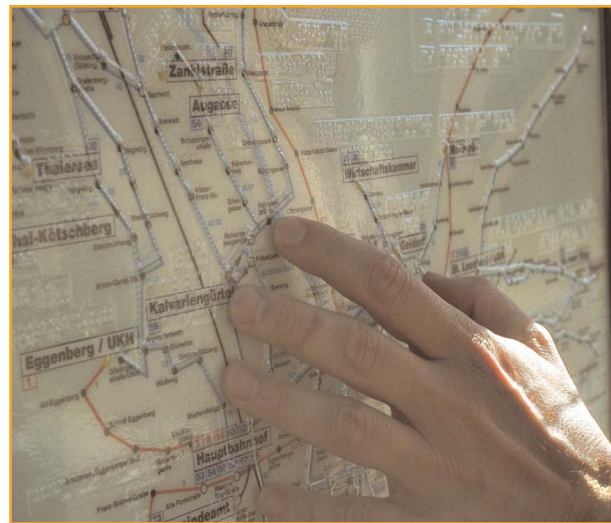
- Impaired people will be able to identify specific problems, concerns and priorities based on their own experiences;
- They might make useful suggestions for improvements that will benefit other groups as well;
- More appropriate strategies, measures or improvements will be developed and implemented for impaired people;
- Any improvements aimed at impaired people are likely to also improve the environment for everyone else; and
- The process will help to demarginalise impaired people and involve them in the decision-making process.

When to involve impaired people?

It is important to involve impaired people from the outset of planning a engagement strategy, as they will be able to offer valuable advice on what to consider and what provisions should be made for impaired people, and add credibility to the process.

The requirements of impaired people must be identified early on, particularly for example, if project materials need to be translated into braille. Venue locations and event dates are likely to be affected by the needs of impaired individuals and should therefore be given early consideration.

The experiences and views of impaired people are important in the identification of issues, in particular those concerning access and mobility within the transport sector. Further, impaired people should be encouraged to propose solutions to transport related issues that affect them and should be able to influence the generation and selection of preferred options.



Use techniques and materials that will allow all stakeholders to participate in the transport project.

NOTES



Solving engagement issues for impaired people

| Visual | ISSUE | SOLUTION |
|----------|---|--|
| | The project and engagement activities need to be targeted appropriately. | Use personal interaction techniques such as telephoning stakeholders or visiting local communities and groups. |
| | Stakeholders need to understand the layout of the study area or proposed changes. | A 3D model could be developed for stakeholders to feel and touch. |
| Physical | Written reports, handouts and newsletters need to be accessible to the visually impaired. | Produce written materials in braille or large print where necessary. Consider providing audio CDs/tapes. |
| | ISSUE | SOLUTION |
| | The venue needs to be accessible for those with mobility impairments. | Ensure venue has ramped or level access and that toilets are accessible. |
| Hearing | Exhibition boards are too high for wheel chair users to view them. | Use exhibition stands that can move vertically or produce legible printouts. |
| | Identification of issues or problems may involve site visits. | Provide accessible transport around site or show a video of the site at an event. |
| | ISSUE | SOLUTION |
| Hearing | Participation information needs to be accessible. | Use written materials such as leaflets, posters and websites to promote participation. |
| | Key issues and problems and potential solutions need to be communicated. | Use diagrams, graphics, models and written materials where appropriate. |
| | Stakeholders need to be involved in discussions at engagement events. | Ensure an induction loop is installed and a sign language interpreter is available where necessary. |

Practical Information

Who participates and how?

Impaired individuals play a vital role in an engagement activities and their needs must be given serious consideration in any engagement strategy. Ensuring you meet their requirements will not only encourage them to get involved but will make them more at ease when participating.

How much does it cost?

Providing project and participation materials in different formats e.g. braille, audio/CDs may incur some additional costs. Additional staff may also be required to meet the needs of impaired individuals, such as sign language interpreters and assistants to help those who are visual impaired. Accessible transport, e.g. wheel chair friendly minibuses or taxis may also be required to enable access to the venue and this will add to budget costs.

What skills are required?

Specialised skills are likely to be required when engaging with impaired individuals. Language interpreters and staff experienced with working with those with impairments, such as a carer, may be required. These skills are likely to be brought in from external organisations, as will translators for converting written material into braille. All staff involved will need to be highly sensitive to the needs of impaired individuals and the importance of their participation.

How is it used with other techniques?

Different techniques will need to be used when engaging with people with different impairments. For those with mobility problems, community visits and websites might be appropriate. Focus groups and telephone techniques could be used to engage with those with visual impairments and exhibitions, web based forums and questionnaires could be useful techniques when engaging with those who are hard of hearing.

What are the drawbacks?

Additional time will need to be built into the engagement strategy to ensure all the needs of impaired individuals are identified and met. Not all venues will cater for the needs of impaired individuals and prior site visits may be required to ensure they are suitable.

FS 67: Young people and the elderly

What is engagement with the young and elderly?

The involvement of young people and the elderly is an essential part of any engagement strategy. For the purposes of this fact sheet, 'young people' are defined as those who are under 18 and the 'elderly' are those who have reached retirement age. Both groups are likely to have different experiences from other age groups, and consequently will identify different issues, problems and priorities. Incorporating these into transport projects will be crucial if transport developments are to be targeted and effective.

Different engagement techniques will need to be developed to encourage and facilitate the involvement of different age groups. Consideration will also need to be given to their specific requirements, for example, older people may need additional practical assistance at events.

Why and how to engage with young people?

Involving young people in transport related projects will help to identify specific issues and problems which may not be recognised by other age groups or the project team. They may also bring new ideas to the project. The process can be equally beneficial to young people and may help their understanding of how issues affect them and make them feel that their voice is making a difference to decision-making. When engaging young people the following issues need to be considered:

- Develop fun and interesting techniques - use games, pictures and competitions;
- Select suitable venues for events where young people will feel comfortable; and
- Emphasise why their participation is important and the benefits of getting involved.

Why and how to engage with elderly people?

Elderly people will have specific needs and problems not experienced by other stakeholders, which can be identified through engagement activities. For many older people, transport issues (particularly those concerning public transport) are important, as many are dependent on it for accessing key services. Many older people will have a good understanding of their local area and will be able to make important contributions to decision-making. The following issues should be considered when engaging with the elderly:

- Use techniques that elderly people will be more comfortable with e.g. avoid web based methods;
- Consider the requirements of elderly people (e.g. is material needed in large print?); and
- Choose an appropriate venue where elderly people will feel at ease.

When should you involve young people and the elderly?

It is useful to engage with young people and the elderly on how they would like to be engaged and on what techniques would be most effective. This should be done at an early stage in the transport decision-making process.

Early consideration will need to be given to the types of techniques developed to ensure that people get involved and continue to participate. This will be particularly important for young people who are unlikely to remain interested if they are bored by the activities on offer.

Stakeholders should be kept up-to-date on project progress and informed of how their inputs have been fed into the decision-making process. To sustain the interests of young people in the project, innovative ideas such as, fun games in newsletters or cartoon posters could be used.



A workshop being held with young people to discuss their views in the local transport problem.

NOTES



Engaging young people

The following techniques could be helpful in encouraging and facilitating the involvement of young people.

School projects and competitions

School projects and competitions are a good way of getting young people more deeply involved in specific issues. This might include drawing competitions, on-site/community surveys or designing and building models of potential solutions.

Drawing/sketching exercises

Young people could trace or draw over maps, plans or photographs showing the project area to illustrate what changes they would like to see made.

Games and interactive websites

Games and interactive websites could be designed to encourage young people to think about the key issues that affect them and potential solutions. These will have to be of high quality to ensure young people do not lose interest easily.

Engaging the elderly

The following techniques could be used for engaging with elderly people.

Bus about

Older people could be encouraged to think about specific problems and solutions by taking part in a bus tour around the study area. Key issues and potential solutions could be discussed in focus groups after the tour.

Promotion at leisure venues and events

Engagement events could be promoted at leisure venues such as bingo halls or elderly leisure clubs. This could involve colourful posters, leaflets or presentations. These should highlight the importance of the project and could offer incentives to encourage involvement.

Round tables over a meal

This could provide an opportunity for elderly people to get together to discuss ideas for the project. A notetaker will be required and larger social events could be organised with guest speakers.

Practical Information

Who participates and how?

It is important to encourage the engagement of both elderly and young people in transport related projects to ensure they are given the opportunity to impact on decisions which are likely to affect them.

How much does it cost?

The costs of involving young people and the elderly will depend on the techniques developed and the special requirements of the stakeholders. Developing interactive websites, models and games for young people is likely to impact on costs, as will providing different formats of materials (e.g. large print for elderly people). Additional staff may be needed to supervise the young and assist the elderly. Incentives may also be required to encourage the involvement of stakeholders.

What skills are required?

Skills in communicating with young and older people will be required to ensure engagement events run smoothly. An understanding of the requirements of the young and old will also be necessary. Additional assistance may be required for supervising the young and supporting older people.

How is it used with other techniques?

Different techniques will be appropriate for different age groups. Interactive websites or focus groups centred on developing designs and models might be appropriate for young people, whereas for the elderly, public meetings and interviews might prove effective techniques. This fact sheet should also be used in conjunction with 'identifying stakeholders' (FS13), 'preparing an engagement strategy' (FS12) and 'engaging impaired people' (FS 66).

What are the drawbacks?

Additional time may need to be built into the project for developing different sets of materials and techniques for different age groups.

FS 68: People with low literacy levels

What is illiteracy?

Individuals with low literacy levels have difficulty reading and writing. Their ability levels will vary significantly, some will be unable to read and write at all, while others will have some basic knowledge. Engagement strategies will need to take these considerations into account.

It is important to develop promotional and engagement materials which can be understood and used by those who have difficulties with reading and writing. This means that strategies should not be solely based on written communications and techniques, such as questionnaires and reports.

Techniques for engaging people with low literacy levels

The following techniques could be used to promote the participation of those who experience difficulties with reading and writing:

- Use word of mouth, voluntary groups, community events and radio to promote and invite people to events;
- Explain clearly why their participation is so important;
- Use photographs, pictures, graphics and models where possible;
- Consider using focus groups, interviews, radio, and telephone techniques;
- If reading/writing techniques are used, have a facilitator available to talk through questions and write down the stakeholders answers; and
- Be sensitive, patient and willing to help.

Why engage those with reading and writing difficulties?

It is important to try to engage with individuals who struggle with reading and writing because:

- All stakeholders' interests, concerns and priorities should be fed into the decision-making process;
- They have direct experience of problems faced by people with varying levels of literacy, including for example issues relating to signs and public information;
- Individuals with low literacy levels tend to be left out of other decision-making processes;
- The process will help to empower those who have difficulties with reading and writing; and
- Engagement may help individuals to develop their own reading and writing skills and increase their confidence.

When involve people with low literacy levels?

It is important to involve those who have difficulty with reading and writing early in the transport decision-making process. Engaging them at the early stages to find out how they would like to be engaged, will help the development of a more effective engagement strategy.

Stakeholders who have difficulty reading and writing may be most interested in identifying issues and problems that are specific to them and to take part in the option generation stages. This is likely to involve the use of graphics, drawings and models which stakeholders will be able to comment on.



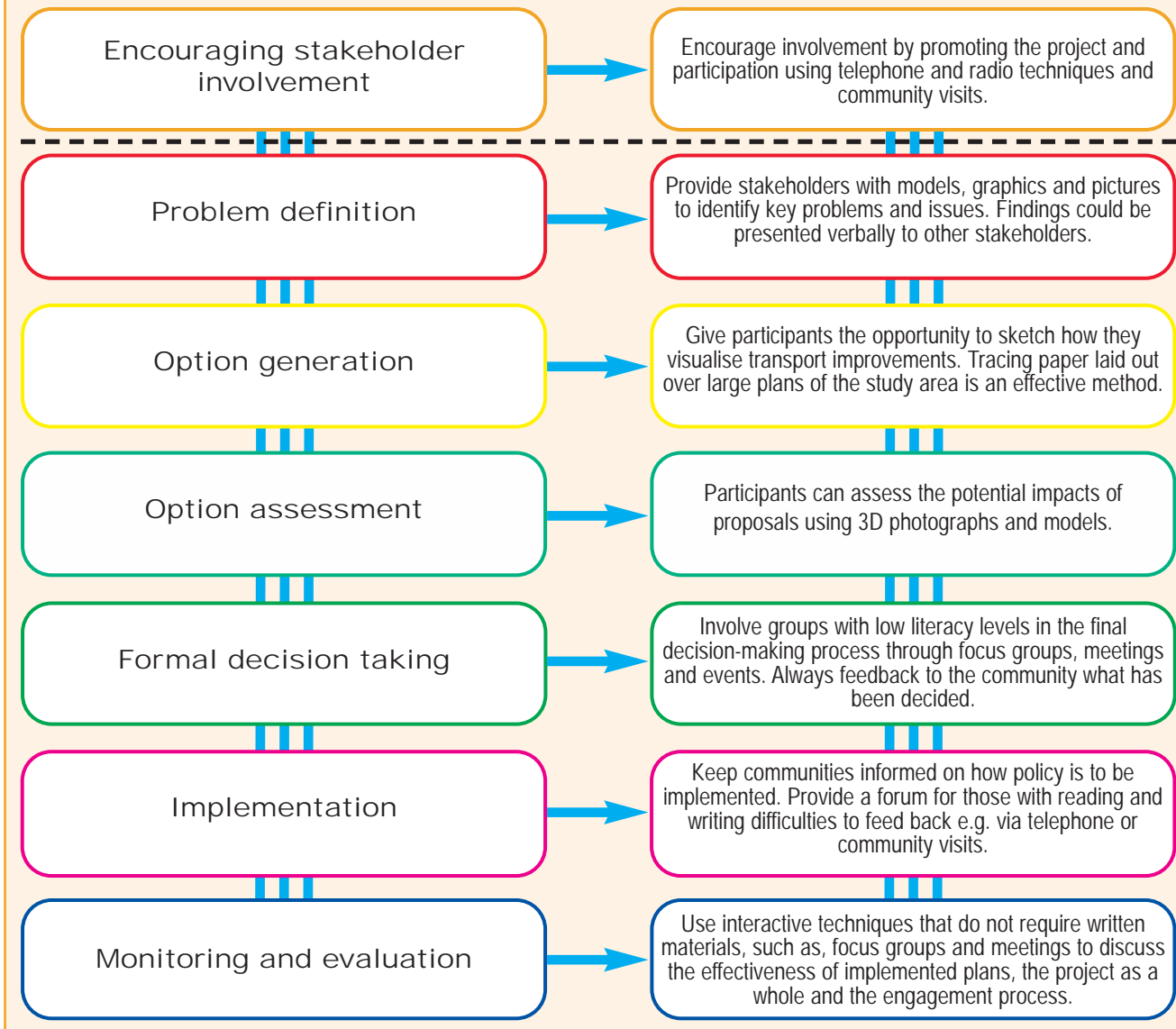
Use images, graphs, maps and photo's to engage with individuals with low literacy levels.

NOTES



Getting stakeholders with low literacy levels involved

The diagram below identifies a number of ways to encourage the involvement of stakeholders who have difficulties with reading and writing, at various stages of the transport decision-making process:



Practical Information

Who participates and how?

Individuals with low literacy levels should be encouraged to get involved in the decision-making process. The project team should carefully consider the most effective techniques to encourage and facilitate their participation.

How much does it cost?

High quality images, photographs and models may be required and time consuming techniques such as focus groups and one-on one-interviews may be necessary, which is likely to increase costs.

What skills are required?

Staff working with individuals with low literacy skills will need to be sensitive to their needs, patient and willing to help and answer questions. Good verbal communication skills will be necessary.

How is it used with other techniques?

Some techniques will be more appropriate for involving people with low literacy levels. Techniques should not be overly focussed on written communications. Appropriate techniques might include: using the telephone to engage people, radio shows, community visits, key person interviews, focus groups and public meetings.

What are the drawbacks?

There are few drawbacks associated with engaging people with low literacy levels. Alternative ways of communicating written information will, however, need to be developed and implemented.

FS 69: Apathetic people

What is engagement with apathetic people?

One of the most important aspects of any engagement strategy is ensuring that as many different groups and as many different stakeholders as possible are involved in the process.

Not all stakeholders, however, will want to participate and there are likely to be some individuals or groups who do not wish to get involved. This might be because:

- They don't have time to participate;
- They aren't interested in the project or issue;
- They don't fully understand the project or issue, how it affects them or its potential benefits; or
- They don't think that their involvement will make a difference.

How to involve apathetic people?

The following ideas could be useful in encouraging the participation of those who are less willing to get involved:

1. **Fun and interesting materials:** make the engagement material easy to understand and visually interesting. The use of pictures, diagrams and different colours will help.
2. **Promote one-on-one informal discussion:** provide opportunities for one-on-one informal discussions to raise enthusiasm and promote the importance of the project.

3. **Incentives:** a good way to increase stakeholder involvement is to offer an incentive, such as a free meal, gift, cash or travel reimbursement.

4. **Emphasise how stakeholders will make a 'difference':** ensure stakeholders recognise that their participation can affect the decision-making process and that their involvement is not a waste of their time.

Why involve stakeholders who are apathetic?

It is important to try to involve stakeholders who are not interested in participating because:

- The views of all stakeholders are important and should be fed into the decision-making process;
- Those who are less engaged in the project or issue may have different opinions or responses to those who are more willing to participate;
- Less engaged groups and individuals might be left out of other engagement activities;
- It sends positive messages to the community that you are trying to get everyone involved;
- It might encourage people to be become more involved in future stakeholder activities; and
- They may start opposing a scheme once it reaches the implementation stage.

When should you involve stakeholders who are apathetic?

It is important to identify those stakeholders who are less willing to participate and to try to involve them in the process as early as possible. This will ensure that there is sufficient time to overcome barriers to their participation and that their considerations and concerns can be taken into account from an early stage.

Once stakeholders are involved, it will be important to sustain their interest throughout the project to ensure their comments and views continue to be fed in. This will also be important for maintaining stakeholder support for the project.

NOTES



Encouraging apathetic stakeholders to get involved - the key principles

What to do

How to do it

Get their attention!

Use techniques that make the project stand out. This could involve anything from developing eye catching posters to organising a fun event.

Explain why the issue or project is important

Stakeholders will not get involved if they think the issue is not important or is irrelevant to their lives. Clearly communicate how the project affects them and the key benefits of the scheme or strategy.

Explain how their involvement will make an impact

Stakeholders need to be assured that their participation will make a difference. Clearly explain why their involvement is critical and how their views will affect the decision-making process.

Keep them interested!

It is important to keep stakeholders up-to-date with project progress, clearly showing how their views have impacted on the decision-making process. Newsletters are a useful way of keeping stakeholders informed and interested.

Practical information

Who participates and how?

It is important to try to encourage individuals and groups disinterested in the project to get involved and participate. All stakeholders views are important and should be fed into the decision-making process. The techniques used should be fun and interesting and include bright informative materials.

How much does it cost?

Consideration should be given to staff costs for one-on-one engagement and discussions of project proposals. Developing high quality engagement materials, using colours and graphics, may also impact on project cost, as will offering incentives, such as travel reimbursements or gifts.

What skills are required?

Good communication and marketing skills, and the ability to promote and explain project material clearly and enthusiastically will be important in engaging with disinterested stakeholders.

How is it used with other techniques?

Many of the techniques within the handbook could be used to engage with individuals and groups who are less willing to get involved. Printed materials including posters and leaflets should be 'eye catching' and clearly inform the reader why it is important for them to get involved.

What are the drawbacks?

It will not always be possible to get everyone interested in an issue or project. As much as you can try, there are likely to be individuals or groups who do not want to participate in the transport decision-making process. It is important however, that effort is made to engage with disinterested stakeholders and that this is recorded as part of the engagement process.

For clarification of terms and a list of all references used in Volume 2, see:

Volume 1: Concepts and Tools

Section 4: Glossary and bibliography, page 83 to 97

The following University and research institutes from both the public and private sectors have been involved in developing this handbook as consortium partners of the GUIDEMAPS project:

RWTH-ISB (Project Coordinator)
Institut für Stadtbauwesen und Stadtverkehr
RWTH Aachen (D)

UoW-TSG
Transport Studies Group
University of Westminster, London (UK)

Boku-ITS
Institut für Verkehrswesen
Universität für Bodenkultur Wien (A)

Socialdata
Institut für Verkehrs- und Infrastrukturforschung GmbH,
München (D)

PTRC
PTRC Education and Research Services Ltd (UK)

DREIF/DIT
Groupe Etudes et Stratégies des Transports
Division des Infrastructures et des Transports, Paris (F)

AUTh
Aristotle University of Thessaloniki (GR)

CDV
Centrum dopravního výzkumu, Brno (CZ)

MMB
Magistrat mesta Brna (CZ)

SENER
Ingeniería y Sistemas S.A., Madrid (E)

CRTM
Consorcio Regional de Transportes de Madrid (E)

The following cities, counties, authorities and other organisations have been involved in the GUIDEMAPS project either as scientific subcontractor or as Practice Example:

City of Bochum (D)

City of Brighton & Hove (UK)

City of Cologne (D)

City of Erfurt (D)

City of Gävle (S)

City of Göteborg (S)

City of Graz (A)

City of Panorama (GR)

Essex County Council (UK)

Surrey County Council (UK)

Saarbahn GmbH, Saarbrücken (D)

Cycling Network Maribor (SLO)

International Council for Local Environmental Initiatives,
Freiburg (D)

University of Maribor
Faculty of Civil Engineering (SLO)

Successful transport decision-making

A project management and stakeholder engagement handbook

is designed to provide an easy to read, yet detailed guide to the latest research into decision-making and engagement processes in transport planning.

The handbook has been developed to support the decision-makers involved in local and regional transport planning in Europe. It is primarily aimed at transport professionals working in local authorities or transport companies, but it is also relevant to all stakeholders involved in the decision-making, engagement and project management process: elected officials, community leaders, transport operators or financiers, campaign groups, NGOs and interested citizens.

The handbook is based on research undertaken during the three year European research project “**G**aining **U**nderstanding of **I**mproved **D**ecision-**M**aking and **P**articipation **S**trategies” – or **GUIDEMAPS** for short – which involved 11 Partners from 7 European countries, including two new member states. It is a practical guide drawn from 20 Practice Examples in 16 European cities, with useful advice on how to apply the lessons learned.

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Volume 1: Concepts and Tools

Volume 2: Fact Sheets

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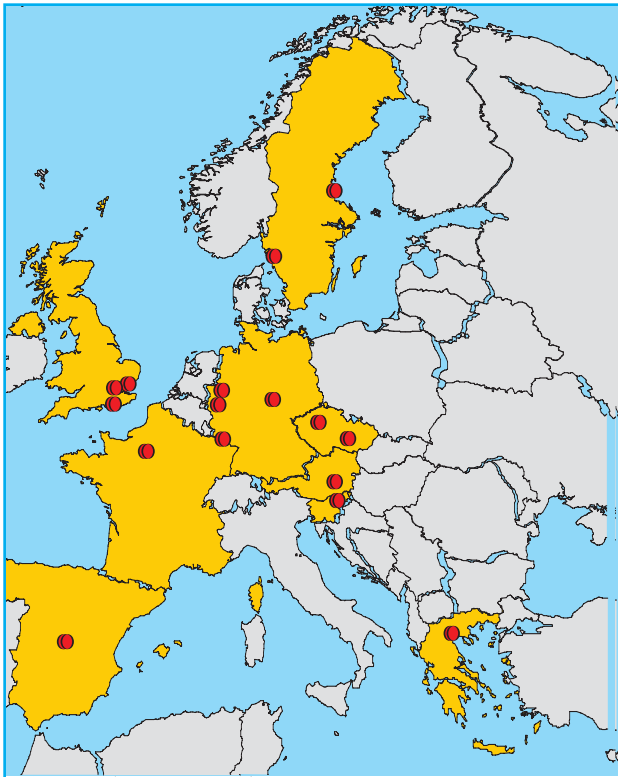


Introduction to the Practice Examples

The following pages describe the GUIDEMAPS Practice Example projects. The information is designed to complement the references to the Practice Examples in the GUIDEMAPS handbook by providing more detailed information on the projects.

The examples have been grouped into four colour-coded project types. This allows readers to easily identify projects which are similar in scope to their own. The four project types are:

- Strategic transport plan or policy (red);
- Major infrastructure project (green);
- Travel demand management project (blue); and
- Neighbourhood scheme (yellow)

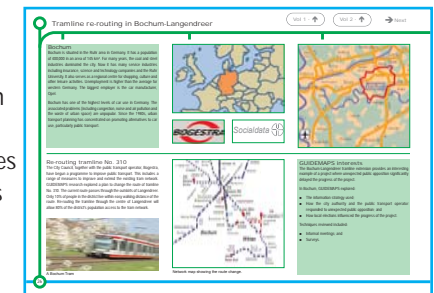


The Practice Example projects

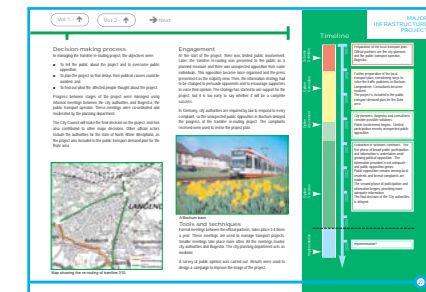
| | |
|--------------------------------------|---|
| STRATEGIC TRANSPORT PLANS / POLICIES | <ul style="list-style-type: none"> • Strategy documents in Brighton and Hove • Local Transport Plans in Erfurt • Cycling in Gävle • Urban Transport Plan in Ile-de-France • Cycle Network in Maribor |
| MAJOR INFRASTRUCTURE PROJECTS | <ul style="list-style-type: none"> • Tramline re-routing in Bochum-Langendreer • Building a ring road in Brno • MetroSur in Madrid • Light rail in Saarbrücken • Redesign of City Ring Road in Cologne • By-passed roads in Essex |
| TRAVEL DEMAND MANAGEMENT PROJECTS | <ul style="list-style-type: none"> • City-Wide Speed Limits in Graz • Park and Ride in Prague • Transport Planning in Surrey |
| NEIGHBOURHOOD SCHEMES | <ul style="list-style-type: none"> • Carpooling in Lundby • Underground car park in Panorama |

The Practice Example descriptions

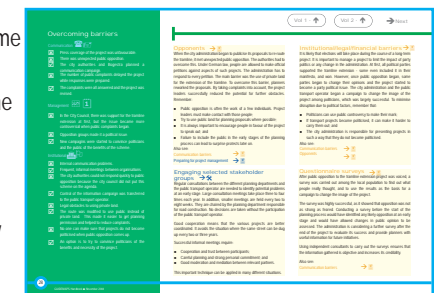
Page 1 provides an introduction to the practice example. It includes a description of the area, including maps. It also describes the project, and gives information on the topics explored in GUIDEMAPS.



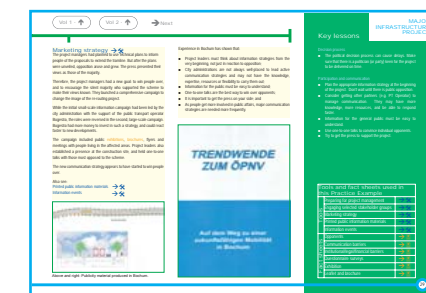
Page 2 gives more detail on the project, describing the decision making process and engagement. It also includes a timeline which describes who the project progressed.



Page 3 describes some of the principles or techniques used in the project. It also identifies the barriers encountered and provides on how they were overcome.



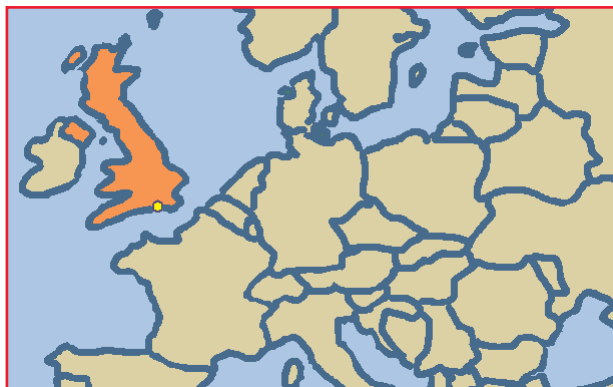
Page 4 describes one principle or technique in greater detail, and describes the key lessons learnt from this practice example.



Brighton and Hove

The city of Brighton and Hove, in south east England, has a population of 250,000 and covers an area of 85 km². It serves as a shopping and employment centre for the region, and is also a popular conference destination and coastal resort. However, in contrast to south east England's general image of prosperity, Brighton and Hove has a number of social and economic problems, including an unemployment level higher than the national and regional averages.

The focus for planning policies in the area is on encouraging sustainable economic development while safeguarding the diverse natural and built environment.

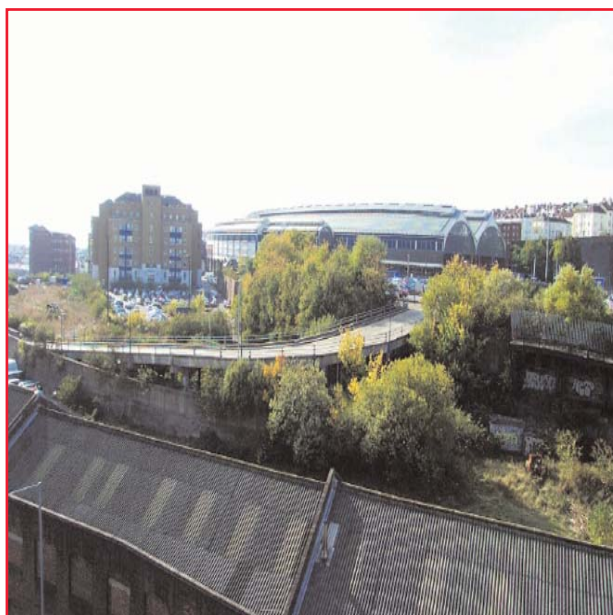


Planning strategy documents

GUIDEMAPS explored aspects of three major planning issues in Brighton and Hove: the draft Local Plan on land use; the Local Transport Plan; and the proposals for the development of the Brighton Station site.

The three were interrelated. The Draft Local Plan provides a framework for the use of land and buildings over a 10-year-period. Its policies influenced the formulation of the Local Transport Plan, which outlines transport schemes over five years. These strategy documents formed the backbone of the council's policy towards the Brighton Station site, earmarked for development for the past three decades.

The council has now approved proposals for the site put forward by a development consortium. GUIDEMAPS examined the development of these three issues, and the consultation processes involved.



The station site.

GUIDEMAPS Interests

The Brighton and Hove project illustrates the decision-making and participation processes for strategy level documents.

In Brighton and Hove, GUIDEMAPS explored:

- How transport and land use planning are linked at the strategy level; and
- How transport and land use strategies can be applied to an actual scheme.

The consultation and decision-making processes for the Local Plan and Local Transport Plan included:

- Community visioning;
- Workshops;
- Exhibitions; and
- Focus groups.

Decision-making process

Brighton and Hove Council was formed as a unitary authority in 1997, and wanted to develop a Local Plan as quickly as possible. It realised that if it held wide-ranging consultations at an early stage, it could avoid delays caused by objections at a later stage. The project leaders conducted consultation, wrote a Pre-Deposit Draft Local Plan that incorporated the suggestions made, conducted more consultation, and then produced the first Draft Deposit Local Plan. They then conducted more consultation in writing, and produced a second draft plan.

The council was also keen to see the station site developed, as it had been run-down for many years. A previous application was refused in 1997/8. So the council involved members of the public in developing the Supplementary Planning Guidance before approving any application for development.

For both projects, consultants and independent auditors helped the council monitor the process.

The Local Transport Plan was developed with more limited consultation. A Transport Forum of key stakeholders developed ideas, which were used by the local authority.

For each of the three issues, final decisions were taken at key stages by committees of councillors, based on advice from council officers. The decisions are subject to national government approval.



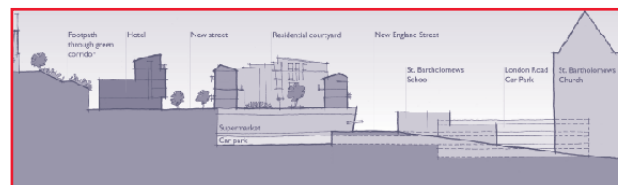
Above and right: Diagrams and maps are used to illustrate the new plans for the station site.

Engagement

Consultation has been an integral part of the development of both the Local Plan and the Brighton Station project. An independent assessment of the Local Plan declared it among the very best examples in current practice in the UK. The station site project has also received positive feedback.

Those involved included:

- Brighton and Hove City Council: councillors, transport planners and planning officers;
- National government, including the Regional Development Agency, and awarded funding;
- Members of the public;
- Interest groups;
- Schools;
- Residents groups; and
- Railtrack, which owned the station site.



Tools and techniques

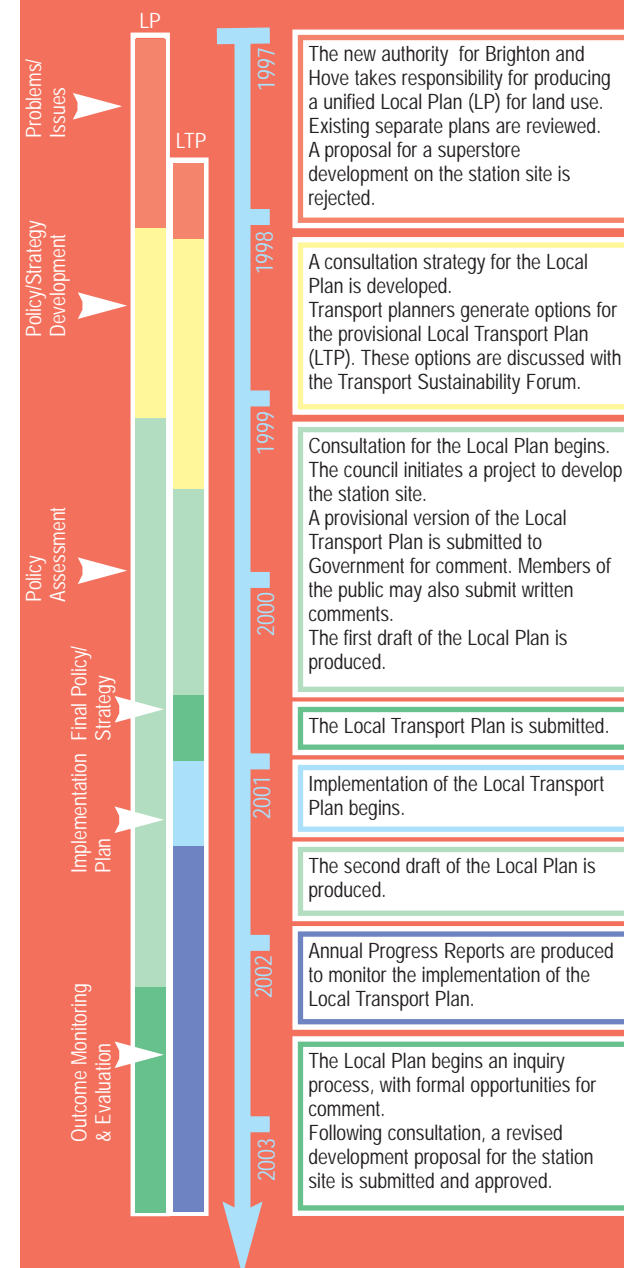
The key technique for the Local Plan was the development of a Pre-Deposit Draft Local Plan, which showed stakeholders how their views were influencing new policies. It was written in ordinary language. It was sent to all participants, who were invited to comment.

A working group was set up to involve stakeholders in the station site project. It met every two weeks between January and May 2000. The group included councillors, council officers, consultants, private developers and members of community groups, among others.

Other techniques used included:

- Community visioning workshops;
- Face-to-face meetings;
- Focus groups; and
- Community Planning Weekend (a series of workshops).

Timeline



Overcoming barriers

Communication

- ☒ Strong minority opposition was encountered.
- ☒ Proposed policies were cross-checked against a wide range of opinions.
- ☒ A working group was established to consider the conflicting needs of local people.
- ☒ It was difficult to turn consultation views into policy recommendations.
- ☒ Wide consultation was well received.

Institutional

- ☒ There were some concerns about how to make the informal guidelines work.
- ☒ There was wide support for change within the council.
- ☒ There was disjointed working between different council departments.
- ☒ A more coordinated approach was adopted to overcome this.
- ☒ There was some conflict between the Local Plan and the Local Transport Plan.
- ☒ The coordinated approach allowed the contradictions to be reduced.

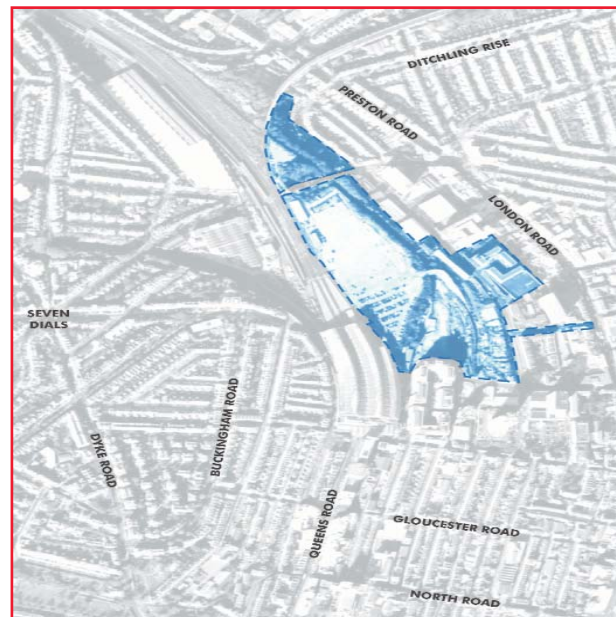
Engagement strategy → ✕

Brighton and Hove City Council carried out wide-ranging consultation to develop the Local Plan, the set of policy guidelines on land use development proposals.

The council commissioned consultants to devise a strategy in advance. It involved **focus groups** with stakeholder organisations, community visioning **workshops** with groups and individuals not normally represented in such exercises, and some face-to-face interviews. The council also produced **leaflets** about the plan asking for people's views.

Officers wrote a Pre-Deposit Draft Local Plan based on the consultation reports, then asked for views in writing. They then drew up the 1st Deposit Draft Local Plan, and carried out more consultation in writing. Finally, they produced a 2nd Deposit Draft Local Plan.

The consultation process has been highly praised. The Local Plan itself has some weaknesses, but is considered better than most.



Map of the station site.

Engagement strategy → ✕

Brighton and Hove City Council wanted to prove to people taking part in the consultation process that it was taking their views into account.

Officers sent results of consultations to all those who took part in any way. They also wrote a Pre-Deposit Draft Local Plan (**technical report**) to show how people's views were influencing the emerging policies. They were sent out to all the participants who were asked to comment.

Officers also carried out follow-up events, to explain how people's contributions had influenced policy and find out if they were satisfied with the outcome. They also explained how participants could stay involved.

Experience in Brighton and Hove showed that it is important to:

- Maintain contact with participants after a consultation event;
- Summarise stakeholders' views as accurately as possible in any report;
- Give feedback to participants;
- Acknowledge all correspondence;
- Show how policies are being influenced by people's views; and to
- Give full explanations when people's ideas are not adopted.

A working group was set up to reach agreement on Supplementary Planning Guidance for the station site development. This guidance is used alongside the Local Plan to influence decisions on planning applications.

The working group was formed of council officers, councillors, consultants, developers, community leaders, and representatives from Railtrack and South East Regional Development Agency. It met every two weeks between January and May 2000. Its suggestions went out to wider consultation in Summer 2000, after which it met again to consider the comments.

Work was complicated by the fact that some members were opposed in principle to developments involving large businesses. In the end, delegates reached a majority decision rather than a consensus, and the guidance was approved by the council in October 2000.

Overcoming barriers → ✖ (station site)

In 1997/98, a private consortium put forward proposals to build a superstore on the Brighton Station site, without consulting the local community. The plans were rejected by both the council and a public inquiry, but there was some anger that such a proposal had got as far as it did.

The council decided to draw up Supplementary Planning Guidance for the site, in addition to the policies in the Local Plan. They wanted to involve the public throughout the process. With the help of consultants, officers held a community planning weekend that involved a series of **workshops** with local stakeholders.

As there was a wide range of conflicting views on possible developments, they set up a working group to discuss the issues further. The working group drew up draft Supplementary Planning Guidance, which went out to consultation before being approved by the council.

Since then, a development consortium has drawn up a planning application that appears to have much wider acceptance among the community than the previous attempt. The process has taken longer than the previous application, but has now been approved by the council.

The practice example showed that:

- A thorough consultation process is costly, so is probably best suited to addressing controversial decisions;
- It is important to maintain trust between different groups where feelings run high; and that
- Ambiguous guidance should be avoided, as it satisfies none of those involved.

Also see:

Managing contentious issues → ✖



Above and below: Pages from a brochure describing the proposals for the station site.



Key lessons

Decision process

- Objections can cause delays. Consult people at an early stage to pre-empt such problems.
- Integrate consultation into the planning process, so that it influences decisions rather than just ratifies them.

Participation and communication

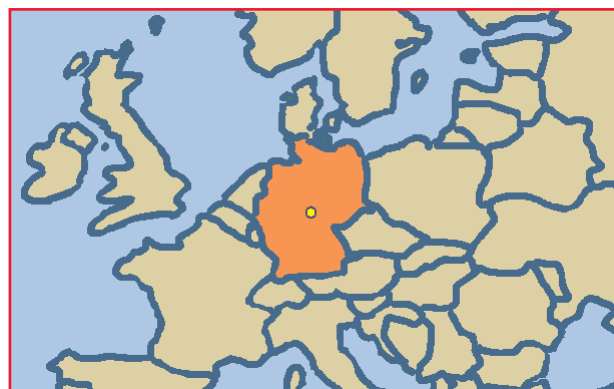
- Involve the public in the decision-making process rather than face unexpected opposition later on.
- Keep the same officers in contact with stakeholders throughout the different stages of development.
- Keep in contact with stakeholders after consultation.
- Summarise stakeholder views as accurately as possible in any report.
- Give feedback, such as summary reports, to participants in consultation events.
- Acknowledge views expressed in writing.
- Show how emerging policies are being influenced by stakeholder views, such as in a pre-deposit draft plan aimed at stakeholders rather than professionals.
- Give good explanations when ideas are not adopted.
- Tailor the amount and style of information to the people you are consulting.
- Make sure local authority officers are seen as neutral.
- Avoid ambiguous and open-ended policies.

Tools and fact sheets used in this Practice Example

| | | |
|------------|-----------------------------|-----|
| Tools | Engagement strategy | → ✖ |
| | Overcoming barriers | → ✖ |
| | Managing contentious issues | → ✖ |
| Factsheets | Focus group | → ☹ |
| | Workshop | → ☹ |
| | Leaflet and brochure | → ☹ |
| | Technical report | → ☹ |

Erfurt

Erfurt, with a population of 200,000, is the capital of the German federal state of Thüringen. It is the administrative, cultural and economic centre for the region, and also has two universities. The city underwent great economic and social change with the reunification of Germany in 1990. The importance of trade, service industries and administration rose dramatically, while production declined. Like other cities in eastern Germany, Erfurt has many social and economic problems. Its unemployment rate is 18.5% (basic year 2003)- higher than both the regional level (16%) and the national (10.1%). Reunification has also led to massive transport problems. The number of motor vehicles has increased by 60%. Erfurt's geographic position has in effect changed: it now lies at the heart of Germany. It is expanding, and new residential and industrial developments in the suburbs have altered the directions of the traffic flows. Therefore, Erfurt needed to implement a new Local Transport Plan quickly.



Developing Local Transport Plans

GUIDEMAPS explored the development of the first two Erfurt Local Transport Plans to be drawn up under the laws of the Federal Republic of Germany. Their over-arching aim was to balance transport needs with the interests of the urban environment. They were designed to encourage public transport usage, walking and cycling through traffic calming measures and parking controls.

Two Local Transport Plans were produced. The first identified the general aims, while the second defined strategies designed to support sustainable transport. Sub-projects included:

- Expansion of the city railway, due for completion in 2008;
- New provision for cyclists, including safe cycle paths and parking places;
- The continuation and further development of the park-and-ride system;
- Construction of a ring-road to relieve the city-centre of through traffic;
- Restrictions on cars in the town centre, particularly on Saturdays in a continuation of former plans;

- management of parking spaces; and
- concepts for specific town districts.

GUIDEMAPS looked at the factors that led to the introduction of two successful Local Transport Plans in just eight years.

GUIDEMAPS Interests

Lessons learnt from the situation in the new German federal states in the 1990s might be useful for the Accession Countries today.

In Erfurt, GUIDEMAPS explored:

- How the development of a strategic plan can be managed pragmatically, in parallel with rapid changes in transport demand and infrastructure;
- Which strategies are appropriate to fulfil the expectations and demands of people and companies concerning transport

conditions (short-term), and to consider how to address the long term objectives of sustainable traffic;

- How the new structure of the municipal administration affected the development of the plans;
- The role of outside agencies in moderating the planning process;
- How to involve people who have little or no experience of public participation in the decision-making process;
- Changes in how people participated between 1994 and 1998;
- The participation and decision-making processes for LTPs; and
- How to develop a public relations strategy on a limited budget.

Techniques reviewed included:

- An internal working group in the local authority;
- A political party working group;
- A public exhibition of the draft plan;
- On-site discussions with the public and various stakeholders;
- An evaluation scheme for the 10 year LTP in Erfurt; and
- A central organisational unit for all transport related topics.

Decision-making process

In February 1991, Erfurt's city council ordered municipal officers to draw up a Local Transport Plan. The transport department worked on the project with the help of an external planning bureau until 1993. A second plan was developed and moderated by the transport planning department based on the experience gained from the first plan.

In order to achieve an "open" planning process, and involve different view points, two working groups were set up. One comprised members of relevant municipal departments, such as the town planning unit and the environmental office and was chaired by the department of transportation. The other consisted of members of the political parties represented on the town council. Outside bodies such as the local public transport operator were also involved in the decision process.

The first LTP was adopted by councillors in spring 1994. At that time, the city council decided to expand the plan to include the districts added to the city in recent boundary changes. The second Local Transport Plan was drawn up between 1995 and 1997, with input from officials from the new districts. It was adopted by the city council in January 1998.

Evaluation

The main results were summarised in a transport department publication called '10 Years of the Erfurt Local Transport Plan'. Surveys were conducted in 1991, 1994 and 1998, by local government, covering topics such as:

- Modal split;
- Journey lengths;
- Access to cars by different social groups; and
- Transport modes used by different social groups.

There was no formalised in-depth evaluation of the planning, participation or decision-making processes and the tools used for public participation. But there was an informal evaluation by a regular check of aims and efforts.

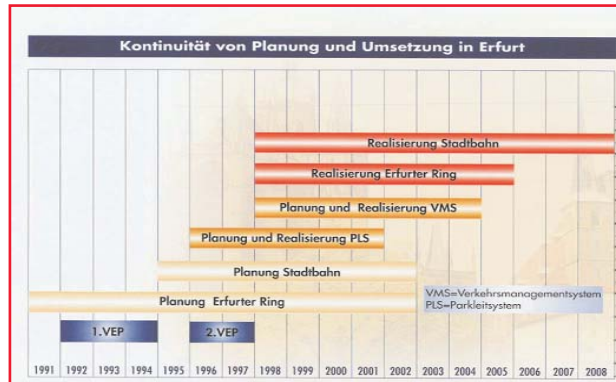
Most traffic problems could be solved and it seems that most citizens are satisfied with the LTP, because there have not been many controversial debates in the recent years.

Engagement

For the first LTP, attempts were made to involve residents in the development of the Plan. They showed little interest in the planning process - but raised objections to some measures when they came to be implemented. This was largely due to the fact that the concept of consultation was new to them. In the former German Democratic Republic, the public were told of, rather than involved in, decisions. Consequently, Erfurt's planners and citizens had little experience of community participation. It was a new tool that was introduced into the daily work of planners. Therefore, there was a learning process on both sides.

Local residents were not used to becoming involved. The grass-roots campaigns that had sprung up after the end of the GDR had died down within three years of reunification. Problems such as unemployment and housing took up people's time and energy instead.

However, some community organisations, such as associations of disabled people, did make useful contributions.

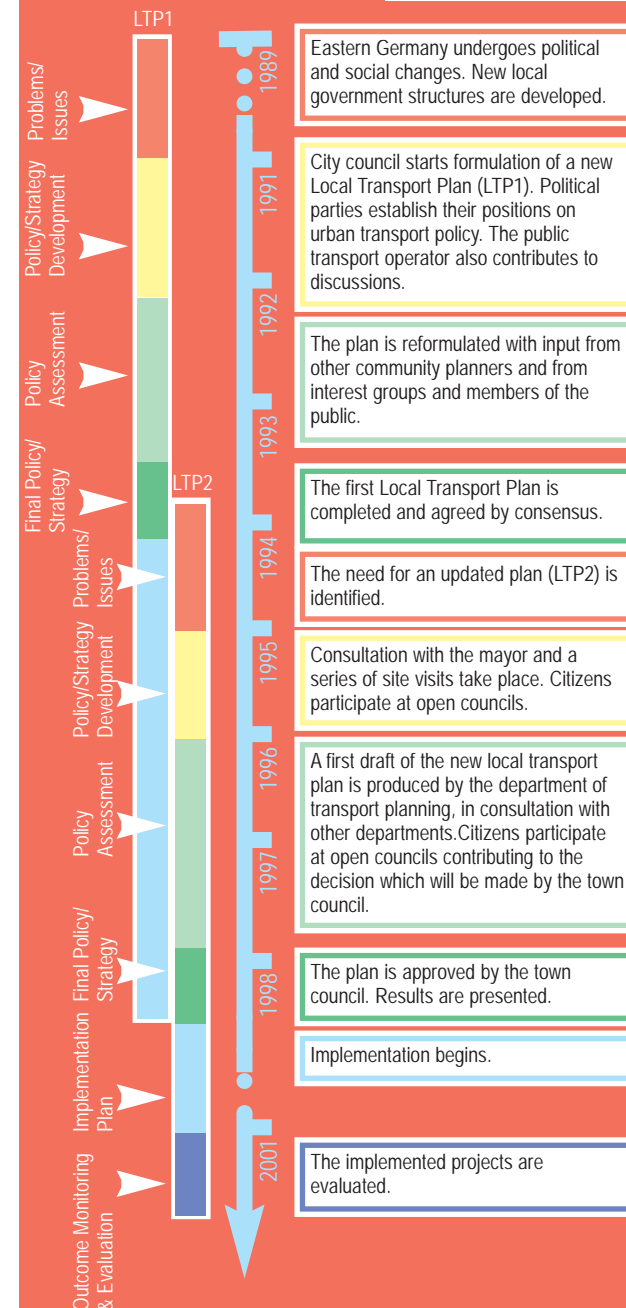


Continuity of planning and implementation of the LTP.

Tools and techniques

Two working groups were set up. One was made up of two members of each political party represented on Erfurt City Council, and met five times over two years. The other included members of city council technical departments and met eight times in two years. Both were moderated by the external planning bureau.

Timeline



Overcoming barriers

Communication

- ✗ The culture of participation had not yet been established. Interest was limited, as the public were not aware of the ways in which their participation could influence decisions.
- ✓ The majority agreed with the transport objectives, so there was a shared public interest in finding ways in which they could be implemented.
- ✗ Some local residents opposed sections of the strategy.
- ✓ The transport planning department adopted a strategic and pragmatic approach, which allowed objections to be considered.

Management

- ✗ Staff lacked the necessary experience for effective consultation.
- ✓ Experience deficits were addressed through the exchange of knowledge with colleagues in Western Germany.
- ✗ The formation and agreement of the plan is a time-consuming process.
- ✓ An internal working group of planning staff was used to manage the technical development of the plan.
- ✓ A working group of politicians from all parties met frequently to discuss the plan in order to reduce the likelihood of political delays arising at a late stage.

Institutional

- ✗ In the changing political climate, there was legal uncertainty as some planning structures were not clearly established.
- ✗ Administrative structures were unfamiliar.
- ✓ Sharing skills and learning from other cities helped institutional problems to be addressed or avoided.

Elected officials →

The parliamentary working group was set up to coordinate the contribution of politicians to the development of the first Local Transport Plan. It was set up and overseen by the transport department of the City of Erfurt.

The group met five times in two years. Two members of each political party represented on the city council took part. An external planning agency helped moderate the workings of the group.

Transport planners found the group helpful. Its informal working methods made it easy to coordinate developments, and it helped prevent any delays in completing the Local Transport Plan.

Although developing the Local Transport Plan was a structured process, informal approaches such as the working group helped improve communication. These techniques can help get swift agreement from politicians for aspects of a project.

Also see:

Technical working party
Expert advisors



Community visits and study tours →

On-site discussions

For the second LTP, the participation process was carried out in a stepwise manner. After a general discussion, on-site discussions with stakeholders and citizens took place in several town districts. This was done in order to obtain more practical and site-related inputs from local politicians, experts and citizens living in the area.

Exhibition →

The transport department of the City of Erfurt wanted to find a lively and accurate way of presenting the Local Transport Plan. It was important that the display was central and easy to access.

The exhibition took place in the Information Centre of the City of Erfurt. A transport planning office employee was on hand to answer any questions. Opinions are divided about how useful the exhibition was. Some of those involved said it was well-attended and informative. Others said there was little public interest in drawing up the Local Transport Plan, and the public did not get involved until later, at the implementation stage.

Technical working party →

The aim of the internal working group was to coordinate work on the Local Transport Plan of the various technical departments of the City of Erfurt.

The group met eight times in two years. It was set up by the transport department, and also included the department of urban development, the department for environmental affairs, plus various regional planning departments and public services.

Transport planners and town planners found the group helpful, and felt its informal communication methods were effective. They also believed the technique could be applied successfully to other transport projects.



The new 'green' tram tracks in Erfurt.

Management of information →

Another important success factor was to keep the preparations of policy statements, the planning process, the realisation of related projects and the monitoring of effects within one organisational unit ("Verkehrsamt"). This unit was able to bundle necessary interdisciplinary skills, and could provide a link between the planning and implementation stages. The Department/Office for Transport was responsible for the entire process, for technical questions as well as for reporting to political boards, for co-ordination with other institutes and institutions, as well as for citizen participation. During the process, the whole unit was also able to build up the necessary expertise for the management of the second LTP. All planning matters were addressed by a form of "teamwork" between the public planning authority, external experts and the working groups. Furthermore, the head of the department and the head of the unit acted as a kind of "project champion", and gave continuity because they had been involved in the transport planning of Erfurt for a long time.

Preparing for project management → ✕

At the time the first Local Transport Plan was developed in Erfurt, local municipality officers had little experience in involving the public. Furthermore, the expertise of East German planners was called into question by the population at the beginning of the 1990s. Therefore, project managers decided to take on an external moderator to ensure neutrality, and give the project the benefit of 'western know-how'. The planning agency "Schnüll, Haller and Partner" was given the task of moderating the first Local Transport Plan. The project partners included the transport department of the City of Erfurt, the political parties represented on the city council, various city technical departments and regional planning bodies, and various interest groups.

The work of the moderator was rated highly. Participants felt they had learned a lot. The moderator was able to bring new expertise to the discussions, and smooth the handling of contentious issues when required. The agency also had a great deal of experience in public participation.

External moderators can bring new view points and expertise into the planning process. Such a technique could be used elsewhere - but most German cities lack the funds to employ a moderator. If this is the case, it might be useful to assign the role to a member of staff, though he or she might not be seen as neutral. Good relationships between the moderator and the city administration are essential.

Also see:

[Overcoming barriers](#)

[External consultant](#)



Development of Modal split: still a high level of sustainable modes after the reunification



Park and Ride facilities for traffic calming in the inner city

Key lessons

Managing the decision process

- Balance long term objectives and short term wishes of people, politicians and companies.
- Stay flexible and be pragmatic when it comes to finances. Some measures might have a better chance of securing funding than others.
- Establish effective administration structures. The new transport department in Erfurt included all relevant sectors, and was therefore able to take full responsibility for the plan.
- Keep continuity. The LTP was seen as a process which was managed by local planners who were able to make the link between strategic targets and implemented transport projects.
- Make the most of favourable circumstances. The Erfurt Local Transport Plan was drawn up during an economic boom, which helped speed up the process.
- Exchange know-how. In Erfurt, the project leaders had good links with planners in West Germany, both before and after unification.
- Make sure the plan is credible. An external moderator is helpful to design a complex strategic document which has to be discussed with various stakeholders.
- Involve the public in the decision-making process, rather than face unexpected opposition later on.
- Review progress: a review after 10 years was useful to show effects and the continuity of aims and implemented measures

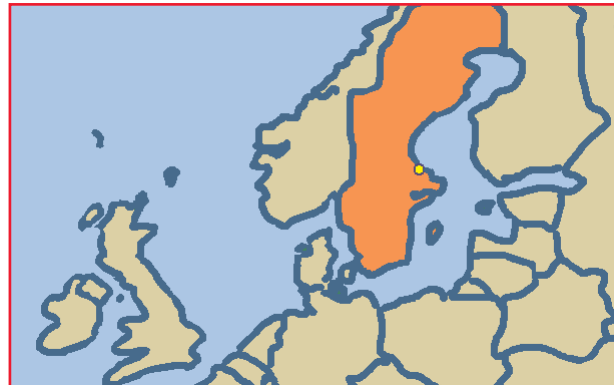
Tools and fact sheets used in this Practice Example

| | | |
|-------------|----------------------------------|-----|
| Tools | Preparing for project management | → ✕ |
| | Overcoming barriers | → ✕ |
| Fact sheets | Project champion | → 📄 |
| | Elected officials | → 📄 |
| | Technical working party | → 📄 |
| | Expert advisors | → 📄 |
| | Community visits and study tours | → 📄 |
| | Exhibition | → 📄 |
| | Management of information | → 📄 |
| | External consultant | → 📄 |

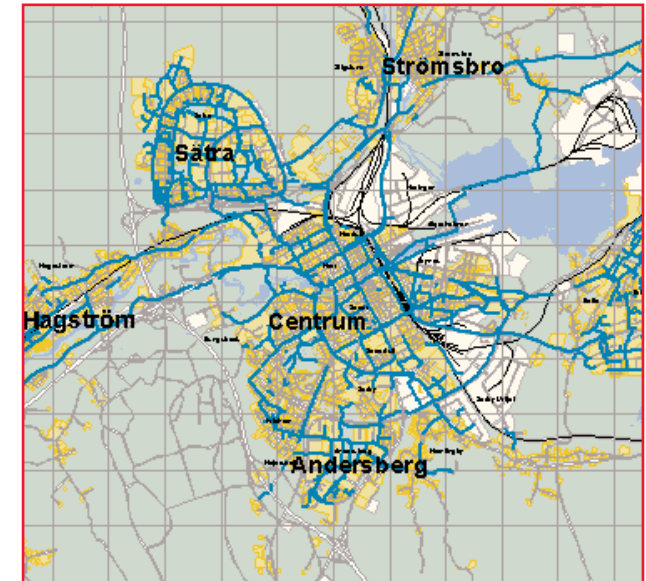
Gävle

The city of Gävle, about 170km north of Stockholm on the east coast, is considered to be an average Swedish town. It has 90,000 inhabitants and covers an area of 1,600km², meaning its population density is quite low compared with similar-sized European cities. The county administration board and a large county hospital are both situated in the city.

The fast-growing university of Gävle has about 12,000 students and is well-regarded in the fields of housing, planning and building. The city is also home to a wide range of industries - employing over 40,000 people - including forestry, metal and engineering and telecommunications. Trade and the hotel and restaurant industries are also important. However, the county of Gävleborg faces a decreasing population and a relatively high level of unemployment (5.8% compared with 3.9% nationally).



Socialdata



'Cykelstaden Gävle'

The idea for Cykelstaden Gävle came from a cycling conference in Sweden in 1994. Project leaders presented figures showing that only between 30 and 40% of journeys in Dutch cities were made by car, while a significant number of trips were by bike. The Gävle representatives wondered if they could repeat this success at home. Shortly afterwards, the National Road Administration produced a report saying emissions must be reduced immediately.

Gävle looked like a promising site for a bicycle project: it is flat, with a good cycle path network. However, it was thought the city might be too spread out for cyclists. Gävle proved that theory wrong. Today, 20% of all trips are by bike, and there are more than 200km of cycle tracks in the city compared with 400km of roads. Efforts that were made to reduce cycling accidents and encourage people to wear bike helmets have been harder to assess.

The majority of the population has been very supportive of the initiatives.



Above: The Health Pedallers campaign logo.
Right and below: A flier inviting people to join the project.



Six health cyclists wanted

Would you like to become one of our six test cyclists? If you have:

- at least 5 kilometres to work
- have a desk bound job
- don't exercise much
- use your car to work

If this is you, then you have the chance to become one of our test cyclists. We only ask that you leave the car at home and cycle instead. And we would like to regularly test your physical condition during the year.

We'll supply you with:

- a new bike
- helmet and winter tyres
- a bus pass (just in case the weather is really bad)
- a windproof jacket

If you're interested in becoming one of our test cyclists ring the council's Technical Office on 178219 or 178211 for further information.

Gefle Dagblad
OM DU VILL VETA MER
Gävle Cykelstad

GUIDEMAPS interests

The Gävle practice example shows how the involvement of private companies, the media and the public can be the key to success.

In Gävle, GUIDEMAPS explored:

- The involvement of the media, businesses, sponsors and the public;
- The way the partners involved in the project placed themselves under positive pressure by outlining their aims in the media; and
- How the project manager involved partners and the public.

Techniques reviewed included:

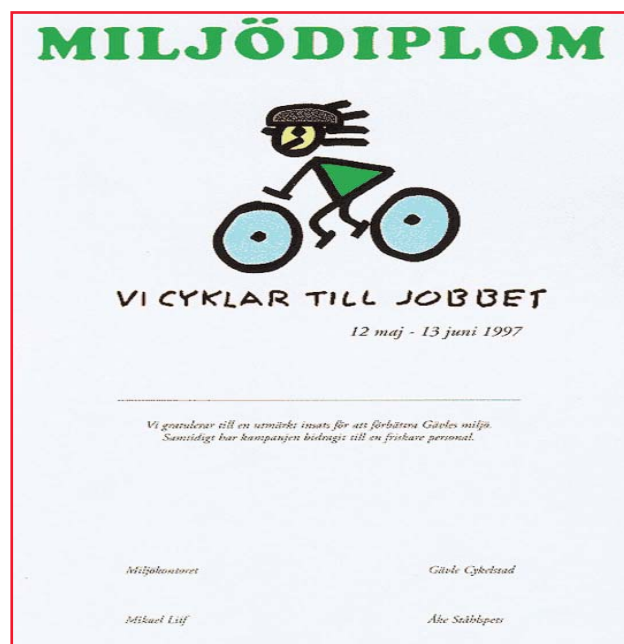
- The appointment of a project manager with a background in marketing and good contacts with the media.

Decision-making process

Discussions about a possible cycle project were begun by the manager of the local technical authority. In 1996, the project was officially launched when the politicians at the technical authority approved a three-year contract (later extended) between three partners. This laid out how the project should be financed, what measures should be taken, and how the results should be presented.

A bicycle group was then formed within the municipality administration, and a full-time project manager appointed in May 1996. His first task was to draw up a plan to increase the proportion of cycling in the city. He began by collecting information from similar projects elsewhere, and improving provision for cyclists. He was then able to begin the various campaigns to promote cycling and cycle safety among the public.

As the project progressed he was allowed greater independence by the project partners. They held occasional meetings and received reports, but made no changes to the way the project was run.



A newsletter: 'Cycling to Work'.

Engagement

The municipality of Gävle, the National Road Administration and the Public Health Committee were all easily persuaded to contribute to the campaign's costs. To meet the shortfall, the project manager got sponsorship from private companies by showing them what they could gain.

The partners made minor changes to the project manager's plan, and held coordination meetings once or twice a year. The project leader also had to draw up reports for the municipality's bicycle group and for the technical authority. Overall, the partners regarded the project as both useful and fun.

Public involvement was crucial. Some 7,000 people took part in the 'Cycling to Work' campaign. The Health Pedallers initiative, in which eight car drivers used bikes for a year, gained a great deal of media interest.



Poster and photograph of the Cykelstaden Gävle campaign.



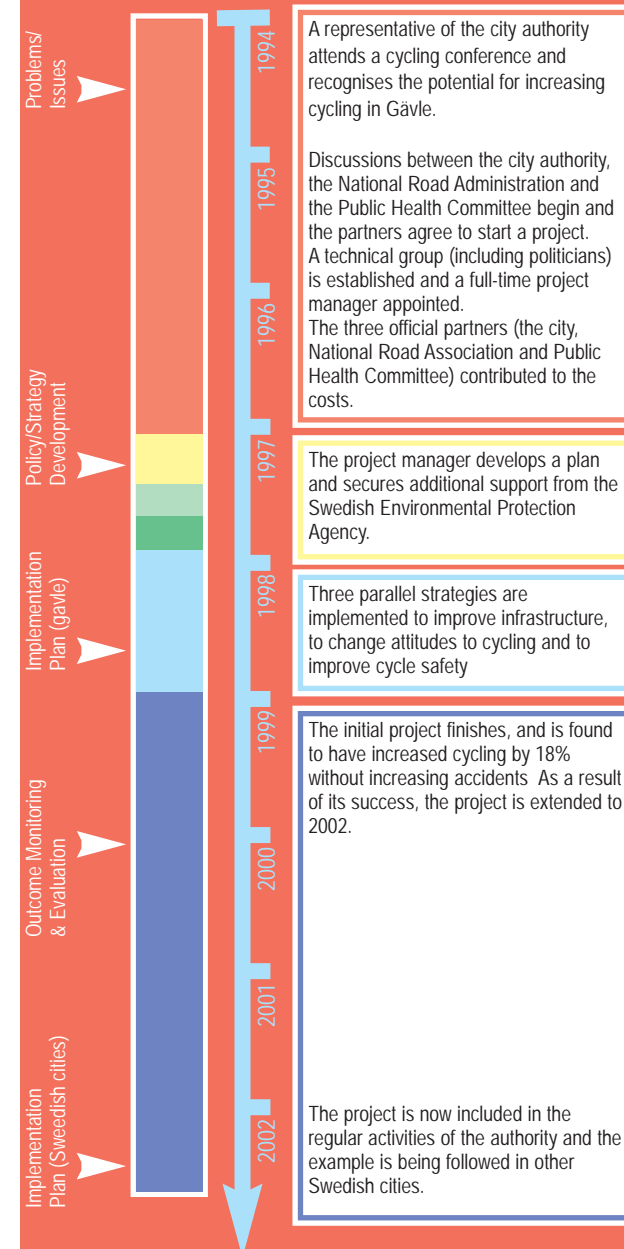
Tools and techniques

The project leaders wanted to increase cycling - but not cycling accidents. Two techniques were used to persuade the public to take up cycling and encourage them to use cycle helmets.

Firstly, the largest newspaper in the city kept people up-to-date with the campaigns. It also promoted the health benefits of cycling - particularly through an article on the Health Pedallers campaign. By responding to letters in the paper, the project manager was able to counter public criticism.

Secondly, the public was involved directly through different campaigns. In order to reach as many people as possible, companies were invited to enter a competition to see which had the highest number of cycling employees. The companies that took part were given free adverts in the local paper.

Timeline



Overcoming barriers

Communication

- ✗ There was considerable vocal debate about whether cycling in pedestrian areas should be encouraged.
- ✓ The project manager had good communication skills and contacts with the media. This meant that he was able to make sure that the benefits of the scheme were communicated effectively and that concerns of opponents were addressed.
- ✓ Financial problems were largely avoided, as the project did not need large public investment.
- ✓ Information was carefully targeted to make sure that it reached the public effectively.

Management

- ✓ Ambitious participants helped to ensure that any problems were overcome.
- ✓ Involving politicians from the beginning helped to ensure that the project gained the necessary support. The politicians could benefit from the positive image of the project, so their involvement was mutually beneficial.
- ✓ Learning from other projects helped problems to be avoided.
- ✓ Avoiding a bureaucratic management structure helped the project progress smoothly and adapt to changes quickly.

Financial \$ €

- ✗ There was no money available for continuous monitoring and evaluation.
- ✓ Using informal reports and meetings, it was possible to keep the cost down.

Project manager →

The **project manager** in Gävle used a variety of imaginative techniques to persuade residents to take up cycling. He began his work by studying similar campaigns, and included their best techniques in a strategy plan.

He then searched for suitable sponsors. The project manager already had extensive knowledge of local companies, so was able to tailor suggestions. Before contacting firms, he developed a pitch that showed them what they had to gain from backing the project. He won the backing of several private firms, and was able to put his ideas into practice.

Experience in Gävle showed that:

- Market oriented thinking can help project implementation;
- A practical approach is necessary; and
- The interest of potential partners is crucial.

Also see:

[Project champion](#)



[Managing resources: skills](#) → 

Managing resources: costs →

The project was financed by the municipality, the National Road Administration and the Public Health Committee. The three partners also had a say in how the project was run. Their funding launched the project, as it allowed the employment of a project manager. He found further funds from private companies, who sponsored campaign activities.

The project partners believe they gained a lot through financing the project, and are happy with how it progressed. When securing resources, it is important to raise interest among potential partners by showing them how involvement improves their image.

Cooperation between different authorities is sometimes difficult, but worked well in this case as all partners had similar interests and were committed to the initiative.

Also see:

[Institutional/legal/financial barriers](#) → 


Managing resources →

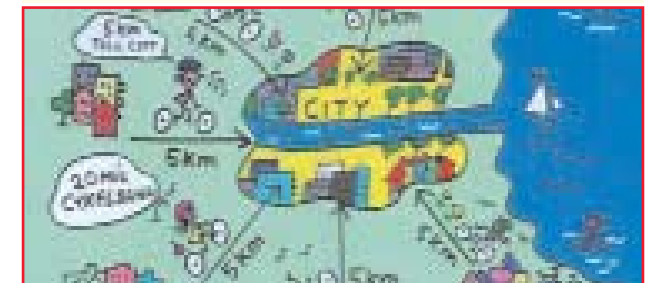
The **project manager** was the key figure in making this project a success. His task was to maintain contacts and make sure the project made progress. He was employed by the municipality and his salary sponsored by two project partners. At first they influenced the course of action, but gradually the project manager became more independent. All partners trusted him.

The project manager's background, outgoing nature, market-based thinking and competence made the project a success. He played a crucial role in pushing the project ahead and in coordinating it, and his background in marketing was seen as an advantage.

The project manager's role is crucial - so recruit carefully!

Also see:

[Management barriers](#) → 



Simple map showing the cycle network.

Project monitoring →

Each official partner had its own reason for supporting the project. For example, one wanted to increase helmet usage, while another aimed to improve public health. They all wanted to monitor the project's direction and impact.

The project manager drew up yearly reports, and held regular meetings with the partners. The partners also checked on progress through occasional informal phone calls or emails. They hoped to check accident statistics to make sure that more cyclists did not result in more accidents. However, this was never done as there was not enough money, and the available statistics were unreliable.

Although such an informal approach can create tensions between partners, all were happy with the outcome in this case.

Media strategy →✘

The over-arching aim of the project was to increase cycling without increasing the number of cycling accidents. Two main strategies were used to get the message across.

The first strategy was of indirect communication. The largest newspaper in the city, Gefle Dagblad, supported the project by providing information for readers. It kept people updated on the progress of the campaigns. The project manager was also able to respond to public opposition by answering critical letters in the paper.

The newspaper was a very effective partner, and conveyed the message to a wide audience. Other projects could try using this technique - depending on the views of the local newspaper.

The second strategy involved the public directly through different campaigns. In order to recruit as many people as possible, the project manager enlisted the help of local companies. They were invited to enter a competition to see who had the most cycling employees, and each entrant was given a free newspaper advert.

Overall, the project built up a positive image of cycling, which reflected well on the partners. The communication strategies were integral to how the project was run.

Also see:

Printed public information materials

The media



Above and left: Publicity materials for the cycling campaign.

Key lessons

Decision process

- Involve politicians from the start. This is essential for a project's success.
- Take care when appointing the project manager. Make sure his or her skills suit the task in hand.
- Learn from other similar projects. Carry out research to find out what works and what doesn't.
- Make sure all official partners feel involved and committed. Keep them informed of progress.
- Use informal communications methods for 'soft' projects. This makes coordination smoother.

Participation and communication

- Show companies what they can gain if they sponsor the project and get involved.
- Be creative. Design campaigns that capture the imagination of the public.
- Use the media wisely. This can be essential to get your message to a wider audience.

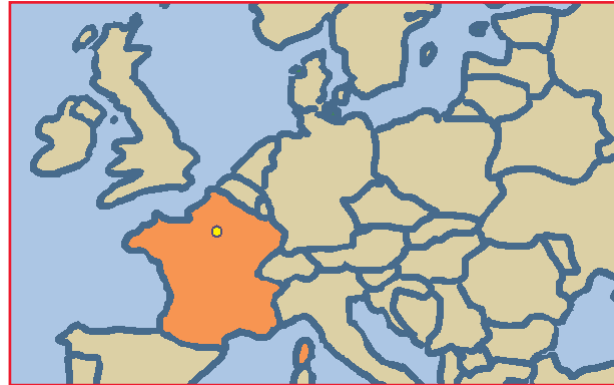
Tools and fact sheets used in this Practice Example

| | | |
|-------------|--|----|
| Tools | Project champion | →✘ |
| | Managing resources | →✘ |
| | Project monitoring | →✘ |
| | Media strategy | →✘ |
| | Printed public information materials | →✘ |
| Fact sheets | Project manager | →☑ |
| | Managing resources: skills | →☑ |
| | Managing resources: costs | →☑ |
| | Institutional/legal/financial barriers | →☑ |
| | Management barriers | →☑ |
| | The media | →☑ |

Ile-de-France

The Ile-de-France covers 12,000km² of the central-northern part of France. It contains the heavily built-up area of Paris, but 49% of the region is farmland and 23% forest. It has 11m inhabitants - including 2.1m in Paris proper - and 4.7m jobs. It is one of the world's largest urban areas, and its fourth most productive metropolis.

Travel needs have grown steadily over the past 20 years. More people are travelling between Paris and its suburbs, and between suburbs. They are doing so less and less for work and more and more for leisure. Cars now account for 45% of the region's journeys. Unsurprisingly, the consequences have been a rise in noise and air pollution; road accidents and urban sprawl are also issues.

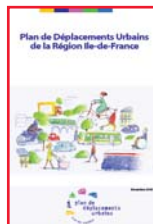


Developing the Urban Transport Plan

GUIDEMAPS looked at the development and introduction of the Urban Transport Plan for the Ile-de-France. Such Urban Transport Plans are compulsory for towns of more than 100,000 people within France. Their basic aims are to achieve a balance between cars and other forms of transport, and to place transport issues under the control of a single authority. They are drawn up in consultation with a broad range of groups, including community authorities, operators, and users.

Normally, the authority in charge of organising transport controls the plan, but in Ile-de-France it is run by the state. This is largely because of Paris' role as the capital of France.

The Ile-de-France plan includes measures aimed at encouraging the use of public transport, improving the planning of major road networks, encouraging a more sustainable modal split for freight, and managing its operation in towns. It is consistent with the Regional Land Use Master Plan.



The plan document, available at <http://www.pduif.org/lepduif/plan.php>



Above: Traffic congestion in Ile-de-France - one of the problems addressed by the Master Plan.

Below: Seeking multi-modal solutions.



GUIDEMAPS interests

Planners are using new consultation and decision-making procedures at the development and the implementation stages of the Ile-de-France plan.

In Ile-de-France, GUIDEMAPS explores:

- How the plan evolved;
- What hurdles it encountered;
- What measures were put forward and applied to overcome these hurdles;
- What factors were crucial in its success; and
- The decision-making procedures.

Techniques reviewed include:

- The use of task forces in drawing up the plan - an original feature of the project; and
- The numerous committees, especially road, hub and local committees, set up to implement the plan.

Decision-making process

The development of the Ile-de-France Urban Transport Plan was long and complex. Work began in March 1997, under the Ile-de-France Regional Public Works Department (DREIF). In 1998, six task forces/thematic groups produced reports and a series of action proposals, on issues such as quality of service and alternative modes of transport, after analysing the results from a wide investigation over the whole region. These were compiled into one document, which formed the basis of the preliminary plan published in April 1999.

The period from May 1999 to April 2000 was mainly devoted to gathering feedback on proposals from local authorities, and some amendments were made accordingly. The resulting document was the subject of a public inquiry between June and November 2000. It was approved in December 2000.

The implementation of the plan began with the formation of road and hub committees. Their proposals (based on studies leading to schemes or policies) should be carried out by 2005 at the latest. Local committees have also been set up to approve, manage and monitor local travel plans.



A leaflet providing information and asking for public comments.

Engagement

Many groups were involved at different stages of the development and implementation of the Urban Transport Plan.

In the initial stages, they included:

- Steering committees;
- Task forces;
- Scenarios forecasters; and
- Expert groups.

The project leaders wanted to improve the drafts by inviting comments from people concerned with mobility issues, yet not always consulted on such topics, including:

- Regional and departmental administrators;
- Transport operators and associations; and
- Local institutions.

The outcome was that more than 50 people attended most meetings of the different committees and work groups. At a later stage, the project leaders invited the general public and interest groups to take part in the inquiry. Hub, road and local committees were set up to implement the plan.

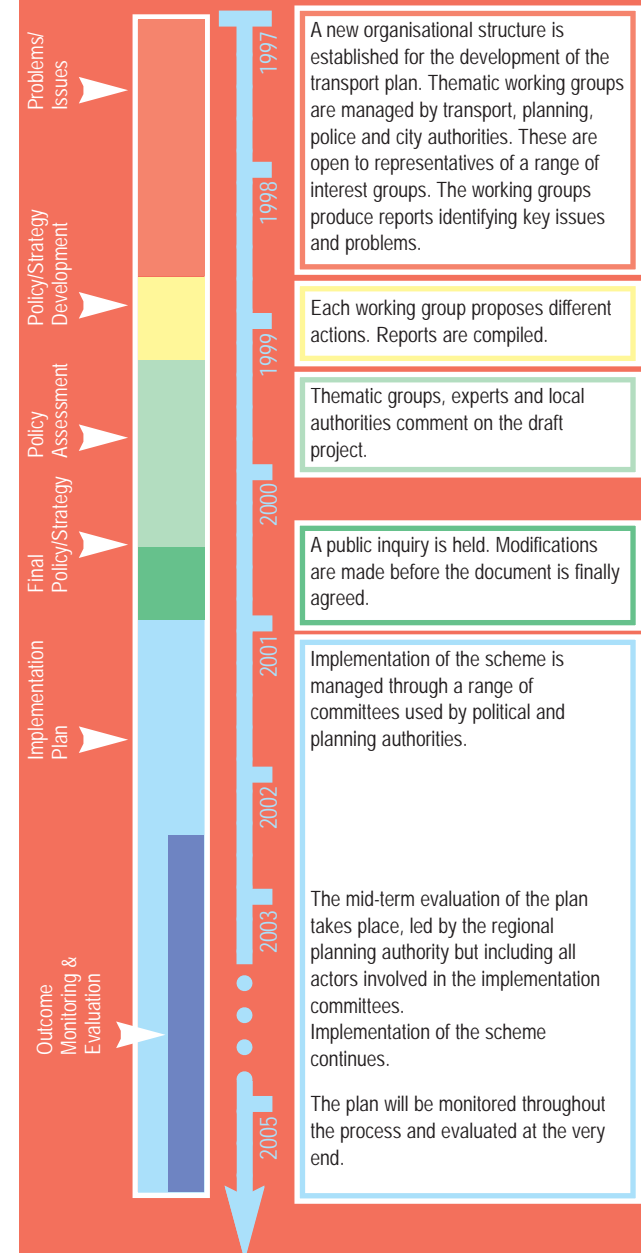
Tools and techniques

Local and national newspaper adverts, radio commercials, a press conference, posters, information panels and flyers were all used to invite people to take part in the public inquiry. The inquiry committee held debates in the town halls of Ile-de-France and feedback was collected by post.

Additional methods used in the implementation stage include:

- Website. This is the main channel of communication. Committee members and the general public can exchange views, follow project progress and put forward suggestions or questions in an online forum;
- Meeting and training days for committee members; and
- Professional gatherings.

Timeline



Overcoming barriers

Communication

- ✗ It was difficult to get the public involved in the project.
- ✓ An extensive communication campaign was undertaken.
- ✗ Technical reports were not always clear and it was not always easy to identify the most important information.
- ✓ Using skilled writers to structure and summarise reports can significantly improve their value.
- ✓ Allow more time for analysis of reports.

Management

- ✗ Staff lacked experience in new procedures.
- ✗ The working groups had large numbers of participants.
- ✓ Steady and well-organised management was required, with training workshops for managers.

Institutional

- ✗ In the committees, there was a lack of clear political leadership.
- ✓ Strong management of meetings was required.

Financial

- ✗ Some committee projects were not realistic financially.
- ✓ Expectations of what is possible and what resources are available should be managed from the outset.

Engagement strategy →

The project leaders hoped that the plan would be enriched by contributions from a wide variety of people, including those who do not usually take part in such initiatives. They also wanted people to feel that the project was “theirs”.

As a result, many people were involved at different stages. Regional and departmental institutions, transport operators and associations attended thematic groups. Local institutions were asked to comment on the draft document. The general public took part in the public inquiry. There were also task forces, ‘concertation’ authorities and steering committees.

The strategy was successful. More than 50 people on average attended the meetings of the different committees. People involved at all levels have expressed their views on the issues.

Preparing for project management →

The project managers wanted to make decisions on how to implement the Urban Transport Plan through agreement between all parties involved. They formed committees made up of transport operators, community associations, local and district authorities, etc. to discuss the issues.

It took a great deal of effort to translate the general principles set out in the Urban Transport Plan into actual projects. The committees discussed the possibilities from every angle. The final decision rested with the committee leader, but the aim was to reach consensus. The committees contributed greatly to the decisions made. However, the ‘concertation’ procedure also slowed things down.

At first, project managers thought the committees would need to work on the project for about 18 months. This turned out to be too short.

Some of the leaders did not have the relevant experience, especially in this new kind of policy process. They also lacked detailed knowledge on specific topics and clear political guidance.

The options put before the committees must be drawn up with care, by experts with relevant experience and local knowledge.

Also see:

Managing resources: time

Managing resources: skills

Management barriers



Identifying issues that require engagement →

The project leaders wanted to make sure the Urban Transport Plan was not seen as being imposed by the state. Therefore, they were keen to get local associations and people to help in drawing up the plan, so that would support it later on.

‘Concertation’ is a collaborative approach used to reach consensus on various issues. In Ile-de-France, the process brought together a wide range of people in order to find solutions which were technically, economically, socially and politically acceptable. The various actors were involved in diagnosing the problem, discussing the different scenarios and drawing up the final proposals. Their suggestions were compiled by a ‘scriptwriters group’, and most were taken into account.

Bear in mind that:

- Concertation procedures take time;
- Concertation only really works if introduced at an early stage - when it is still possible to influence the outcomes; and
- Some people suggested that consensus was only reached because the plan was general rather than specific.

Engaging selected stakeholder groups →


The regional planning department (DREIF) has organised a series of coordination meetings and training **workshops** for leading members of the road, hub and local committees.

The meetings allow staff to swap experiences, and hear from experts on topics such as sustainable transport, goods movement and ‘soft’ modes. They also discuss ways of evaluating how their work is progressing.

Committee leaders have found the meetings useful, and say they have learnt from them. DREIF regards the meetings as an effective way of finding out the needs of the committee leaders, in order to set up targeted training and relevant guides (also accessible on-line).

The meetings appear to speed up and ease the decision-making process. Although not common practice yet in France, the managers believe they could be used in other major transport projects.

Also see:

Technical working party → 

Managing stakeholder involvement → ⚡

A variety of committees have been set up to decide how to put the principles of the Urban Transport Plan into practice. They include representatives from all the local bodies who are involved in implementing the measures.

The regional planning department (DREIF) oversees the road committees, the regional transport authority (STIF), the hub committees, the urban districts the local committees. They set up work schedules, organise regular meetings, and send out information and reports to participants.

The committees have precise objectives: to set up road, hub or local transport plan contracts. Each committee has a leader, who sets out a timetable and organises meetings. The committees define the roles of each person involved, plan budgets, design, manage and further monitor the different projects.

The committees were set up to involve local bodies in planning, rather than imposing decisions made by the people at the top. They are

generally successful, though the following points must be taken into account:

- To be a good project management tool, such committees need a strong leader. They must be able to choose the best solution if committee members cannot agree. They must make sure the committee progresses smoothly, by recording participants' opinions during the meeting and sending the minutes to the participants after the meeting.
- The committees slow down the decision process, as it takes time to set them up and ensure they function properly. They need more than the 18 months allocated initially.
- It costs almost as much, in time and money, to set up consultation committees for small projects as it does for larger ones. Therefore, such an approach might be 'over the top' for a small project.

Also see:

Technical working party → 📄



Above: One of the initial meetings at the beginning of the project.

Key lessons

Decision process

- Make sure thematic groups are well organised and managed.
- Keep all participants motivated, especially community associations.
- Get help from experts and consultants.
- Find strong leaders to manage local committees. They must be able to search for consensus, and take decisions where disagreements occur.
- Allow plenty of time for projects, especially during the development and implementation of the project. Considering the large number of actors involved and associated issues, 18 months was not enough.

Participation and communication

- Involve as wide a range of people as possible. Their input will enrich the process.
- Take feedback into account.
- Develop efficient (well-targeted, innovative and friendly) methods of information dissemination and communication.

Tools and fact sheets used in this Practice Example

| | | |
|-------------|--------------------------------------|-----|
| Tools | Engagement strategy | → ⚡ |
| | Preparing for project management | → ⚡ |
| | Engaging selected stakeholder groups | → ⚡ |
| | Managing stakeholder involvement | → ⚡ |
| Fact sheets | Managing resources: time | → 📄 |
| | Managing resources: skills | → 📄 |
| | Overcoming management barriers | → 📄 |
| | Workshops | → 📄 |
| | Technical working party | → 📄 |

The practice examples for Ile-de-France dealt with two levels. One is the elaboration of the Urban Transport Plan of the region (see before). The focus of the following detailed description is the local implementation of this plan by means of new project management tools called 'axis committees' which deal with suburban bus lines. These axis committees are steering and organising both the technical committees and 'selective' meetings. A second focus is the use of the Plan's website as a management and engagement tool. Its objective is to give access to all kinds of information to all the actors involved, as well as to the general public. Anyone can exchange opinions, ask questions and make suggestions through a discussion forum. Moreover, all the actors involved in the plan can access a 'private/professional space' where organisational (meetings agendas and minutes, training sessions schedules and booking forms), practical (examples from other committees), methodological issues (how to make a 'bus line project'? How to elaborate 'parking plan'? 'How to make a low speed zone'? etc) information is available.

Legal situation

The French Urban Transport Plans (PDU) are drafted by authorities in charge of organising transport within areas served by urban transport. The engagement required for the elaboration of the plan is pre-defined: the authorities in charge of organising transport lead the process and must associate representatives from the State. Representatives from transport professionals, transport users, chambers of commerce and industry and environmental associations must be consulted at their request.

Local strategy

The Urban Transport Plan of Ile-de-France is implemented locally through the region by three kinds of committees: the axis committees, the hub committees and the local committees. These are partnership-based groups working in order to improve the main bus network, exchange hubs and traffic-generating hubs, and to establish local travel plans. The intention of the genuine managers was to obtain a master plan with the agreement of all the regional and local actors concerned about mobility issues.

Motivation

All actors should agree with the global transport Plan, should share its proposals and should be prepared for its implementation. To achieve this, management through committees and communication tools are needed. The actors who elaborated the Plan were highly motivated. But those in charge of the local implementation might feel bored, inexperienced or not supported sufficiently. The committee meetings enable local projects to be developed and define everyone's tasks and responsibility. The Internet website as a two-way communication tool providing day-to-day information and technical assistance has become crucial to maintain motivation and participation.

Feedback and Monitoring

DREIF is evaluating the Transport Plan implementation process with the technical support of external consultants. Feedback is planned for some committees to know if the different participating actors are satisfied with the final results and also with the process. Beside the usual assessment of the outcomes (including indicator analysis), the objective is to learn about the participation process itself. However, this feedback won't be available before the end of the committees' work or the end of the Transport Plan.



Experience

The concern of ensuring such a large participation from the very beginning was completely new in Ile-de-France. It was the first time that a huge participation process took place for a public transport decision/plan. Transport and urban planning professionals, operators, experts, etc. were and are involved within the Plan elaboration and implementation. Specific companies have been hired for communication and design purposes. For the moment, the website is not used much by the general public (350 visitors/day), but this is still a new tool. In local municipalities, participation strategies have been so far more classical (exhibitions, e-mail, post, fax and phone).

Technical support

The website was built by DREIF working with an external consultant. Several versions evolved since 2000. At first, the website just contained general information about the Urban Transport Plan. In the course of 2001, the idea of improving it emerged, from building up a complete library with official documents to creating a participation forum. Cartographic documents and updated newspaper articles were also introduced. The third version of the plan website was on-line in 2003 and allows professional actors involved within committees to log in with a personal password in order to follow their committees' state of affairs (including schedules, documents and reports produced, meetings minutes...).

Obstacles

The committees have to deal with different competing objectives (sometimes on different territories) and local authorities facing difficult political decisions (for technical issues consultants are able to help!). Some other obstacles to the participation process include the lack of local competence in those new procedures and tools (such as management through committees and communication), the non-attendance at the meetings of some political actors/decision-makers, and the lack of time to implement the projects. In spite of training organised within the region on how to use the website efficiently, people have not really measured the potential of such a tool yet.

Responsibility

The region Ile-de-France is split into 8 departments. Theoretically for each department, the team responsible for the Plan implementation is also responsible for the whole participation strategy of the axis committees within its territory. The website was built and is maintained by a team of four staff members of the DREIF (Direction Régionale de l'Équipement d'Ile-de-France), working with an external consultant. The committees' managers were asked to introduce detailed information concerning their committees' state of affairs on the monitoring boards/tables of the website (which are not in used today unfortunately).

An engagement tool: the Website

The website is structured into four main parts:

1. General information about the Plan: its elaboration, its aims, and its organisation.
2. The state of implementation: this information should be renewed periodically with the actual state of affair of each committee and with refreshed local news including dates of next meetings or special events (even trainings sessions).
3. Documentation: all the documents published by the DREIF (including several methodological guides, training synthesis, fact sheets), since the approval of the Urban Transport Plan is available on the site. It also includes several maps illustrating committees' projects at different scales.
4. Participation: the general public and committees' members (who are registered users) have access to a discussion forum where they can ask for information and exchange experiences. Professionals are allowed to get access to more confidential or technical details than the public.



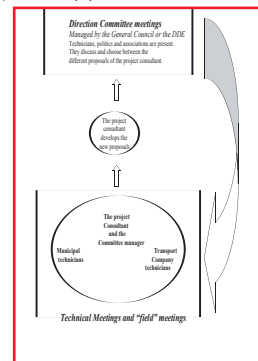
Beside this commonly available information, news and library, the website should provide elements from within the committees: progress and meetings reports, documents to be discussed, technical issues considered by the consultant, etc. In this case, it is a "private space" where the actors involved into committees can exchange opinions, ask questions and make suggestions through their dedicated discussion forum (accessible with a personal password).

The general public does not have access to those professional debates, since they were designed to be a way for the technicians to exchange experiences and information. However, anyone can download all the general information about the committees and the Plan's official documents.

A project management tool: the organisation of 'selective' meetings

"Selective" meetings involving only some "selected" actors have been organised by the managers of the axis committees' to discuss specific local issues that could not be efficiently dealt with by a larger number of participants.

The organisation of all these "selective" meetings has become something normal and almost necessary in the implementation process. These additional meetings are planned by the axis committees' managers, usually during or at the request of the steering committees, when it appears that a problem cannot be solved and needs a detailed discussion with a local authority or with the transport operator(s).



In the axis (that is the bus line) committees, all the preparation for the meetings involves on one side the departments (that lead the meetings) and the project consultant, and on the other side the local technicians (sometimes with the mayor) or the transport company technicians, or both. The main objective is to define the best technical solutions for each area/section of the project/bus line.

The scheme above shows how the "selective" meetings are linked, and fill the technical and steering meetings. All these different meetings are also a good way to manage the information (the team managers meet separately with the main actors/deciders and collect the different pieces of information that can be useful for the project), to manage the costs, and to manage the role of the different actors.

Lessons learnt

Lessons learned concerning the website

- People are not used to this method of working and the committees' managers who already face a lot of other issues, have chosen traditional (and thus better mastered) forms of communication.
- People have not yet really measured the potential of such a tool.
- Using the website as a communication platform for the committees' members was not successful until now, because the website was not often used by them actually.
- In order to make the Website more useful it would be necessary to establish an operational plan to manage the information available/accessible on the site and to appoint a person from each committee responsible for updating/maintaining it.

Lessons learned concerning 'selective' meetings

The implementation of 'selective' meetings and their linkage to the technical and to the steering committees meetings makes it possible for the project to develop smoothly and to be precisely designed, for the different actors to get tasks and involvement pre-defined, and for the budget to be programmed.

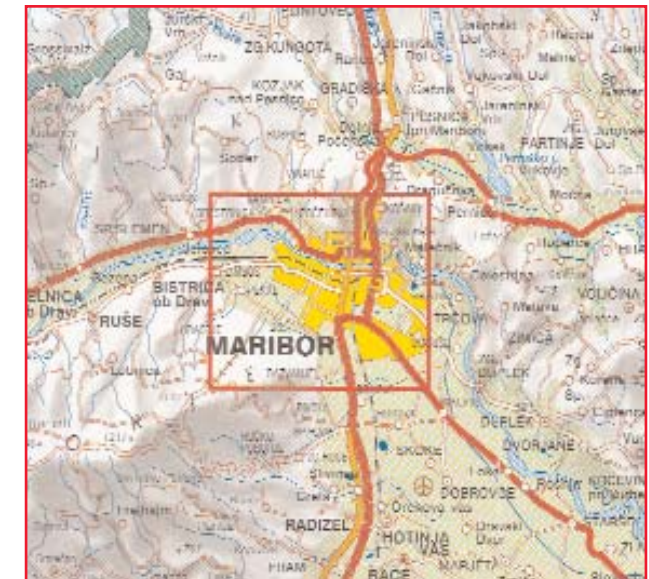
It is more efficient than management from the top (in this case from the State), because the local actors who are going to support the new urban and transport decisions/projects are attending those meetings, thus participating in the whole process.

Maribor

Maribor, Slovenia's second largest city, has a population of 156,000 and covers an area of 360km². It is the economic and cultural centre of north east Slovenia, and is situated at the intersection of two major cross-European routes.

Maribor used to be an important industrial centre, particularly in the fields of machinery, electronics, metal, chemicals and textiles. However, conflict in Yugoslavia from 1991 meant the collapse of Maribor's southern market. Many of the city's factories closed down, and unemployment increased.

Maribor has a city road network totalling 500km. Most people use private cars, and most do not consider sustainable options. Although the city has a bus system, its share of the market is low. The most visible effect of the high car usage is that drivers park wherever they choose.



Campaigning for provision for cyclists

GUIDEMAPS looked at the process of developing a cycling network in Maribor. The scheme was the result of sharing ideas between many individuals in Maribor. It was initiated by a campaign group, the Maribor Cycling Network, which put pressure on the city administration to put new measures in place.

Work began on the network in 1996. So far, some new recreational paths have been created, and some have been remarked. The project stalled early on due to lack of political will and funds, but restarted in 2002. It is due to be completed in 2005.



A Maribor cycle path.



Panoramic view of the city of Maribor.

GUIDEMAPS interests

The Maribor practice example gives insights into how sustainable transport projects are treated in a country where the concept is a new one.

In Maribor, GUIDEMAPS explored:

- How strategy decisions are made in Slovenia;
- How pressure groups are involved in the preparation of strategy documents;
- What mechanisms exist to allow the public to be involved in making strategy decisions; and
- What are the weaknesses of the decision process in relation to public participation.

Decision-making process

In 1994, a group of cyclists formed the Maribor Cycling Network (MCN) to put pressure on the city administration to improve provision for bikes. Officials realised that they lacked expertise in this area, so they commissioned wide-ranging research from independent experts.

Council committees were set up to examine the research recommendations and make amendments. In some cases, a forum was set up in which professionals could make their comments. The resulting documents were adopted by the City Council with little discussion.

However, despite the agreements, not much action was taken due to lack of funds and political will. The MCN kept up pressure through a series of campaign activities, and more measures were put in place in 2002.



Cyclists and pedestrians cross the bridge separated from motor vehicles.

Engagement

The development of the cycling network faced a degree of apathy from politicians and the public, who did not really understand the need for sustainable transport. However, many different bodies were involved in its creation, including:

- The City Council, which approved the plans;
- The City Mayor;
- Consultation bodies, including the Transportation Committee Administration departments: Planning Institute; Communal Agency; Traffic Office;
- Professional organisations, which carried out the research: Faculty of Civil Engineering; Road Traffic Institute; and
- The Maribor Cycling Network, the non-governmental organisation behind the plan.



Media coverage of a demonstration staged by Maribor Cycle Network.

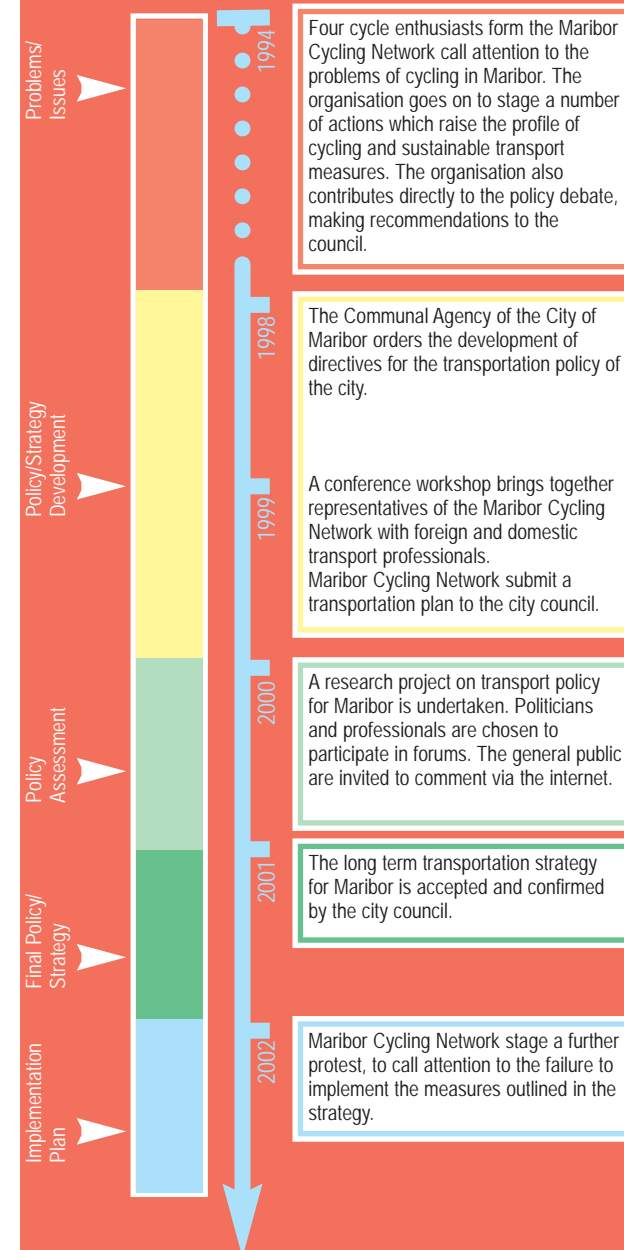
Tools and techniques

The project was instigated and kept alive by a series of campaign activities organised by MCN. These included: riding over the Old Bridge to demonstrate the problems faced by cyclists; highlighting the lack of parking restrictions on cars; and clearing snow from cycle paths to show they were not being maintained.

The protests gained widespread media coverage, which was crucial to building up support among the public. The MCN issued press releases, and learnt how best to talk to reporters.

E-city, the official Maribor city website, was used to keep professionals and the public informed of the progress of the project. All the relevant planning documents were available online.

Timeline



Overcoming barriers

Financial \$ €

- ✗ The city budget had few dedicated financial resources for cycling.
- ✓ Funding was sought from other sources, including local societies, tourist organisations and international organisations.

Management 1

- ✗ Low motivation of political decision makers, fuelled by limited acceptance of the scheme in the political arena and a low level of political courage.
- ✓ Public pressure and good media support were significant in persuading politicians that the scheme was in the common interest.

Legal

- ✗ There was no legal foundation for the measures taken and no regulation regarding traffic penalties.
- ✓ Transportation strategy was adjusted to encourage sustainable development. This gave cycling infrastructure priority status.

Institutional/legal/financial barriers →

Slovenia has undergone major changes on the political scene in recent years, in its transformation from a socialist federation into a democratic state. This has meant introducing new administrative structures at all levels. However, legislation is still car-oriented, and is not expected to change in the near future.

In 2000, the Maribor City Administration was reorganised. A new Transportation Office was set up, with a new urban plan and city transport strategy, which covers cycling. The new office was based on a model common across Europe. Its role is to oversee traffic and transportation in the city, carry out research into local transport issues, and develop and implement projects.

The new structure has led to better management of transport projects. However, the office does not have the staff to fulfil all its tasks. It is also vulnerable to new political decisions.

Managing resources: costs →

The project leaders had to try to get funding for their proposed network of cycle paths. This meant persuading the city council to agree amendments to its budget.

The budget included some money earmarked for cycle paths. There were also some funds available for other soft mobility infrastructure projects, to be allocated as councillors saw fit. Obviously, this depended on their political allegiances and interests.

The campaign group behind the proposals suggested amending the budget, but were only partly successful as cycle measures were seen as low priority. However, some private enterprises did invest in the scheme, enabling a wide network of cycle paths to be built.

See also:

Institutional/legal/financial barriers → 

Media strategy →


The main goal of the campaign group was to persuade the public to support the cycle network and so put pressure on politicians to give it higher priority.

Favourable media coverage helped win support from the city council and administration. The proposals were covered in the local newspaper, and on television and radio.

The media coverage also opened up the issues to a wider audience. It also prompted more interest in the measures from politicians, which helped kick start the project.

However, the impact of the media coverage was short-lived. In general, the public was keener on cars than on soft mobility measures. Local politicians' interest waned as the media coverage declined.

See also:

Communication barriers → 


The media →

Campaigners organised media activities, briefed speakers on how to communicate with the media and produced background documents for the media. They invited journalists along to their protest activities, and proved willing to answer all their queries. They maintained contact after the events.

Experience showed that:

- Dealing with the media is time-consuming; and
- It can be easier for NGOs to gain positive media coverage as they are often perceived to be objective and independent from the authorities.

See also:

Information session and briefing → 

Technical reports → 

Managing stakeholder involvement → ✖

The most important task of nongovernmental organisations is to act as watchdogs over the work of the authorities, and to offer new ideas. The main goals of the Maribor Cycling Network were to set up environmentally-friendly transport routes in the city, and to ensure safety on the cycle paths. Its secondary objective was to focus the attention of the city services and the mayor on the problems of cycling in heavy traffic.

The MCN campaigned for equal weight to be given to all modes of transportation. This involved promoting walking, cycling and public transport. It tried to encourage people to consider the bicycle as an environmentally-friendly alternative to the car.

It organised activities to put pressure on relevant professionals and politicians. It also took part in the transport committee, suggested transport measures, and promoted cycling through round-tables, seminars, and group bike rides.

Public interest waned somewhat after 1998, which had a knock-on effect on the council's level of commitment to the project. However, the MCN managed to get cycling infrastructure measures included in all the relevant urban plans. But if the measures are to be put into practice, the various institutions in Maribor - city council, transport operators, police - need to work together.

See also:

Marketing strategy → ✖



Above: the problems caused by cars parking on cycle lanes. Left: A pamphlet produced by Maribor Cycling Network to draw attention to the issue.

Key lessons

Decision process

- Keep the pressure up on politicians until you have achieved your goals.
- Beware of apathy from politicians. A lack of active support can hinder plans almost as much as active opposition.
- Bring attention to the problems through protest activities.

Participation and communication

- Make sure you get all stakeholders involved in your project.
- Campaign activities need public support. Keep people constantly informed through methods such as newspaper articles and round-tables.

Tools and fact sheets used in this Practice Example

| | | |
|-------------|--|-----|
| Tools | Media strategy | → ✖ |
| | Managing stakeholder involvement | → ✖ |
| | Marketing strategy | → ✖ |
| Fact sheets | Institutional/legal/financial barriers | → 📄 |
| | Managing resources: costs | → 📄 |
| | Communication barriers | → 📄 |
| | The media | → 📄 |
| | Information session and briefing | → 📄 |
| | Technical reports | → 📄 |

The Practice Example for Maribor dealt with cycling, and in particular with the introduction of an integrated citywide cycling network with the support of local NGOs, above all by the Maribor Cycling Network (MCN). While the previous four pages have mainly described the 'history' of the approaches to establishing a cycling network and to raising public awareness for cycling (1994-2002), the following two pages illustrate those activities which took place during the GUIDEMAPS project, i.e. when MCN used the tools and techniques in the GUIDEMAPS handbook for a new campaign that called attention to cycling in Maribor (2003-2004). In so far, engagement activities in Maribor have not been coordinated by the local City Council but by a local NGO, which shows that the GUIDEMAPS handbook can also be useful for improving stakeholder engagement and sustainable transport activities if it is used and applied 'in the hands of the public'. The tools that were used by MCN for the campaign to improve the introduction of an integrated citywide cycling network were the preparation of a leaflet, newspaper feature articles, key person interviews, public meetings and an internet forum.

Legal situation

There is no legal requirement for public participation or public consultation on national or local level in Slovenia. Usual practice involves presentation of the draft strategy, policy or programme to the public in the last phase of decision-making process. Thus, public has a limited opportunities to comment on the proposed document and to explore its content, when different options and alternatives are still open. As a consequence, usual practice can be described as a "top-down" planning approach.

Local strategy

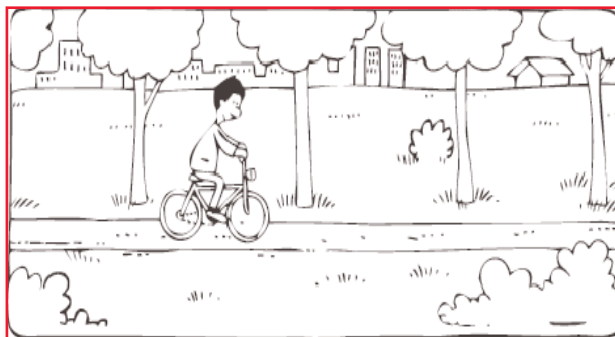
The lack of a legal requirement for public participation and consultation affects common practices at a local level: activities concerning the public are usually implemented in form of 'persuasions' or as 'decide-announce-defend' model. The main goals of such activities are to convince people of the acceptability of the predefined solutions and measures. Moreover, the City Council had not yet carried out any general awareness campaigns for sustainable mobility practices - which was the reason for MCN to start an awareness campaign for cycling on its own.

Motivation

There are various participation and consultation motives and motivations in Maribor, depending on the individual stakeholders' interests. While the motivation for public participation and consultation in the City Council has been at a low level, the highest motivation could be identified at the level of NGOs, with clearly identified demands for public participation - such as transparent decision-making processes in transport projects, early inclusion of the public into decision-making processes, obligatory feedback.

Feedback and Monitoring

To evaluate the effectiveness of the MCN activities, both an ex-ante and an ex-post questionnaires were used, with questions regarding the citizens' knowledge of, and attitude towards, local transport problems for cyclists. The survey was carried out by Maribor University; 300 randomly selected citizens were ready to fill out a questionnaire. Also 10 face-to-face interviews with selected "key stakeholders" were carried out before and after the campaign.



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Experience

Concerning transport issues, MCN and other NGOs were keen to open the debate on cycling to the public, trying to strengthen the importance of sustainable transport modes and to influence political priorities in the city. The experience both on cycling issues and on engagement techniques came from many contacts made through the participation of MCN members at conferences, as well as contact with Maribor University or to other European cities and networks, e.g. also in the context of GUIDEMAPS.

Technical support

MCN as a local NGO, working only with low budget but with highly motivated volunteers, does not have many technical means for participation activities available. Nevertheless, MCN achieved a high awareness with only a little budget and without expensive 'infrastructure': newspaper articles, a press kit, roundtable meetings, radio discussions and a website were all established by MCN members on their own by using private technical means.

Obstacles

The main obstacles for the campaign for cycling and the engagement activities of MCN were the low level of public support for cycling, the resistance of shopkeepers who feared a diminishing number of customers and the opposition of residents who are using existing parking lots for free and who don't want them to be replaced by cycle tracks. Opposition came also from the politicians and the City Council, concerning cycling measures that would lead to additional costs and could not be financed.

Responsibility

Usually, the City Council or the Transport Department should be responsible for setting up a cycling plan or strategy. However, as politicians' and City Council's interest in cycling is low, MCN tried to take over the responsibility for the strategic plans voluntarily. Although it is clear, that 'ownership' of sustainable transport measures is very important it cannot be achieved by NGOs alone. Thus, MCN aimed at cooperating with other stakeholders and in particular with the City Council as far as possible.

Objectives of MCN activities for improving cycling

As previous activities in 1994 to 2002 on setting up an integrated citywide cycling network had been only partly successful and did not gain much interest from responsible politicians and staff at the local authority, the Maribor Cycling Network (MCN) changed its strategy: Instead of trying to set up an individual cycling plan, they aimed at improving the general conditions and facilities for cyclists through the new Parking Development Programme for Maribor (to be developed until 2004/2005) and a new awareness campaign for cycling.

The parking programme will result in recommendations, directives and plans for new parking arrangements in the city centre, including a thorough reorganisation and extension of parking facilities, e.g. underground parking in the city centre. MCN recognised that it also offers the opportunity for solving the problems of other road users as well, particularly those of cyclists that are strongly affected by the parking problem, e.g. when cars are parked on cycle tracks. However, as the latter was not planned from the outset, MCN was striving to open the preparatory phase of the programme to public participation and involvement and to influence its content by public pressure to achieve the following goals:

- To broaden the programme scope with cycling issues;
- To instigate public debate about available alternatives to car-use;
- To strengthen public demands for public involvement in decision-making processes

The MCN activities and tools selected from the GUIDEMAPS handbook were intended to contribute to a more broad-based problem understanding of all stakeholders involved; politicians (decision-makers), city officials (transport), journalists, and the general public.

The overall 'message' for all stakeholders was to use the reorganisation of parking space for reaching a "win-win" situation for all road users: car drivers would benefit from the offering of additional parking facilities, cyclists would benefit from cars not parked on cycle tracks anymore and traffic separated on streets, pedestrians would benefit from cars not parked on footpaths etc.

Tools and techniques applied

For the awareness raising campaign, it was found to be necessary to focus in particular on a media approach with the following tools selected from the GUIDEMAPS handbook:

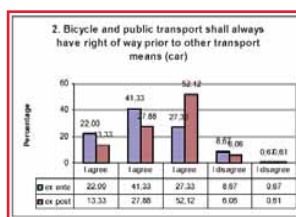
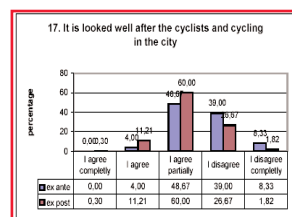
- Preparing newspaper feature articles;
- Arranging radio discussions with a telephone hotline;
- Preparing a press kit/press pack;
- Carrying out a public meeting (roundtable meeting);
- Carrying out key person interviews;
- Preparing a leaflet; and
- Setting up an internet forum.

Two questionnaires (ex ante and ex post) were prepared for the campaign to be able to evaluate the success of the activities.



Results of the awareness raising campaign

A comparison of the results shows that the knowledge about the preparation of the new parking programme and cycling issues rose from 11% to 18% after the campaign. Two thirds of the respondents declared that the media in Maribor had reported more about traffic issues in the city lately. Most notably, the recognition of the problems for cyclists rose significantly, so that after the campaign 2/3rds of the respondents felt ready to participate in public meetings. Consequently, a better informed and sensitised public will be able to monitor transport activities with regard to cycling more carefully in the future.



Lessons learnt

MCN discovered quite a number of important criteria that must be considered if a local NGO tries to prepare an awareness raising campaign efficiently. It depends on a good relationship with the local media. Lessons learned have been, among others:

- Media tools for consultation activities have to be chosen carefully: identify your goals (what you would like to achieve) and decide about the means and tools you need in order to achieve your goals.
- A mixture of media tools should be used, and their content should be consistent and to-the-point: comparison of data (your city, good examples) and graphical presentations are much more informative and comprehensible than pure text.
- The media (newspaper and local radio) need to find the issue important for their readers/listeners: issues that are very technical should be presented in a different way and to focus on everyday experiences, so that technical things are understandable for the 'average citizen'.
- Media space and radio time are limited: having 30 and 60 seconds for e.g. speeches or radio interviews, means that you must be prepared in advance, in order to 'deliver' the exact message (longer speeches will be edited by the editors and your message might get distorted in an unintelligible way). The same applies for the printed media: try to have statements prepared in advance.

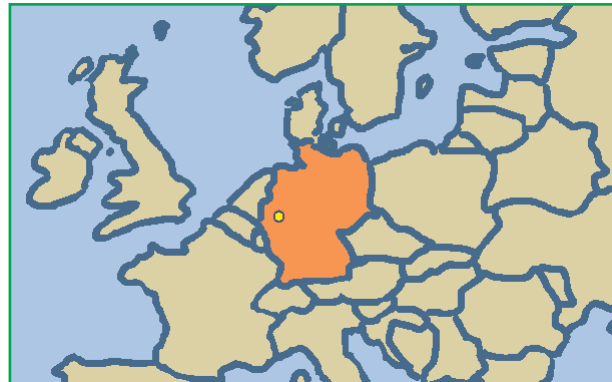
All in all, it was realised that engagement tools and techniques can help to establish a bottom-up approach for achieving sustainable transport and that this can help to 'influence' the decision-making process in the Parking Development Programme more 'positively'.

Also, it was found to be useful to monitor and evaluate the specific engagement activities, in order to build trust to citizens, media, and to get feedback and motivation for future activities.

Bochum

Bochum is situated in the Ruhr area in Germany. It has a population of 400,000 in an area of 145 km². For many years, the coal and steel industries dominated the city. Now it has many service industries including insurance, science and technology companies and the Ruhr University. It also serves as a regional centre for shopping, culture and other leisure activities. Unemployment is higher than the average for western Germany. The biggest employer is the car manufacturer, Opel.

Bochum has one of the highest levels of car use in Germany. The associated problems (including congestion, noise and air pollution and the waste of urban space) are unpopular. Since the 1980s, urban transport planning has concentrated on promoting alternatives to car use, particularly public transport.

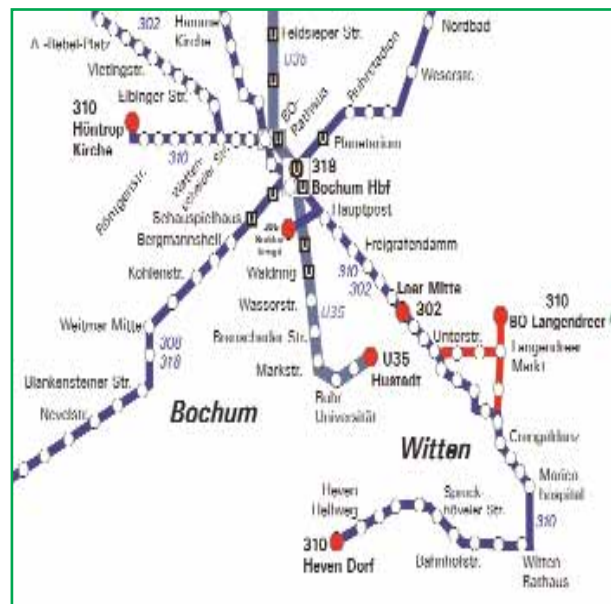


Re-routing tramline No. 310

The City Council, together with the public transport operator, Bogestra, have begun a programme to improve public transport. This includes a range of measures to improve and extend the existing tram network. GUIDEMAPS research explored a plan to change the route of tramline No. 310. The current route passes through the outskirts of Langendreer. Only 10% of people in the district live within easy walking distance of the route. Re-routing the tramline through the centre of Langendreer will allow 80% of the district's population access to the tram network.



A Bochum Tram



Network map showing the route change.

GUIDEMAPS interests

The Bochum-Langendreer tramline extension provides an interesting example of a project where unexpected public opposition significantly delayed the progress of the project.

In Bochum, GUIDEMAPS explored:

- The information strategy used;
- How the city authority and the public transport operator responded to unexpected public opposition; and
- How local elections influenced the progress of the project.

Techniques reviewed included:

- Informal meetings; and
- Surveys.

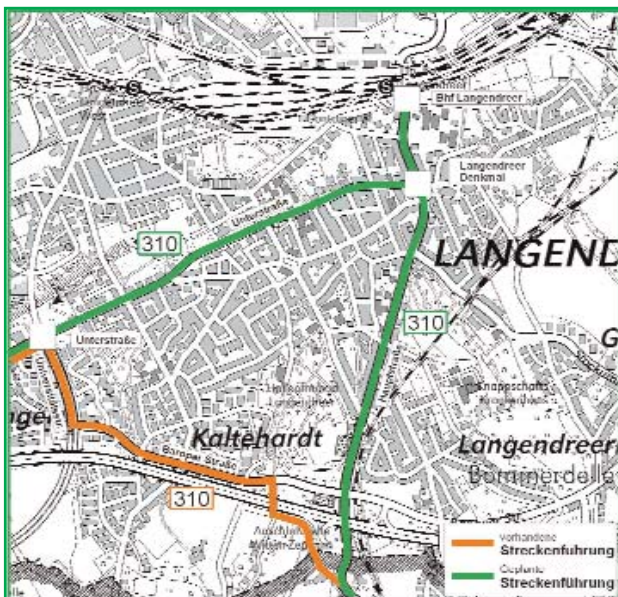
Decision-making process

In managing the tramline re-routing project, the objectives were:

- To tell the public about the project and to overcome public opposition;
- To plan the project so that delays from political causes could be avoided; and
- To find out what the affected people thought about the project.

Progress between stages of the project were managed using informal meetings between the city authorities and Bogestra, the public transport operator. These meetings were co-ordinated and moderated by the planning department.

The City Council will make the final decision on the project, and has also contributed to other major decisions. Other official actors include the authorities for the state of North Rhine Westphalia, as the project was included in the public transport demand plan for the Ruhr area.



Map showing the re-routing of tramline 310.

Engagement

At the start of the project, there was limited public involvement. Later, the tramline re-routing was presented to the public as a planned measure and there was unexpected opposition from some individuals. This opposition became more organised and the press presented it as the majority view. Then, the information strategy had to be changed to persuade opponents and to encourage supporters to voice their opinion. The strategy has started to win support for the project, but it is too early to say whether it will be a complete success.

In Germany, city authorities are required by law to respond to every complaint, so the unexpected public opposition in Bochum delayed the progress of the tramline re-routing project. The complaints received were used to revise the project plan.



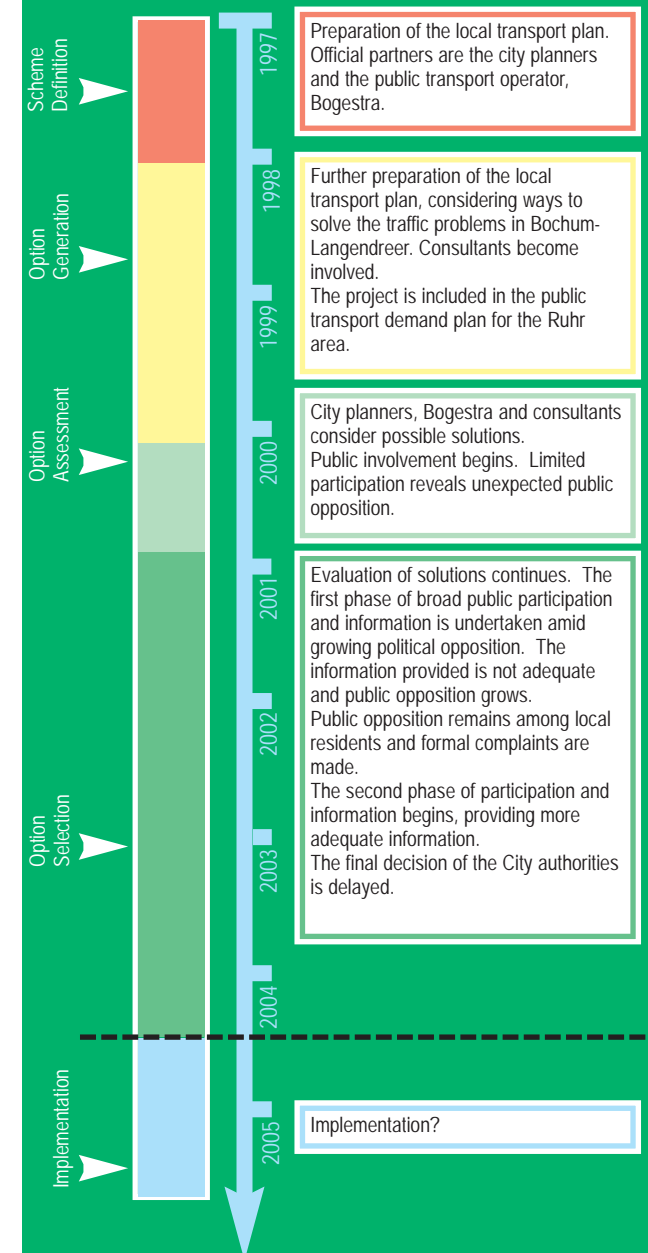
A Bochum tram.

Tools and techniques

Formal meetings between the official partners, takes place 3-4 times a year. These meetings are used to manage transport projects. Smaller meetings take place more often. All the meetings involve city authorities and Bogestra. The city planning department acts as mediator.

A survey of public opinion was carried out. Results were used to design a campaign to improve the image of the project.

Timeline



Overcoming barriers

Communication

- ☒ Press coverage of the project was unfavourable.
- ☒ There was unexpected public opposition.
- ☒ The city authorities and Bogestra planned a communication campaign.
- ☒ The number of public complaints delayed the project while responses were prepared.
- ☒ The complaints were all answered and the project was revised.

Management **1**

- ☒ In the City Council, there was support for the tramline extension at first, but the issue became more controversial when public complaints began.
- ☒ Opposition groups made it a political issue.
- ☒ New campaigns were started to convince politicians and the public of the benefits of the scheme.

Institutional

- ☒ Internal communication problems.
- ☒ Frequent, informal meetings between organisations.
- ☒ The city authorities could not respond quickly to public opposition because the city council did not put this scheme on the agenda.
- ☒ Control of the information campaign was transferred to the public transport operator.
- ☒ Legal obstacles to using private land.
- ☒ The route was modified to use public instead of private land. This made it easier to get planning permission and helped to reduce complaints.
- ☒ No one can make sure that projects do not become politicised when public opposition comes up.
- ☒ An option is to try to convince politicians of the benefits and necessity of the project.

Opponents →

When the city administration began to publicise its proposals to re-route the tramline, it met unexpected public opposition. The authorities had to overcome this. Under German law, people are allowed to make official petitions against aspects of such projects. The administration has to respond to every petition. The main barrier was the use of private land for the extension of the tramline. To overcome this barrier, planners reworked the proposals. By taking complaints into account, the project leaders successfully reduced the potential for further obstacles. Remember:

- Public opposition is often the work of a few individuals. Project leaders must make contact with those people;
- Try to use public land for planning proposals where possible;
- It is always important to encourage people in favour of the project to speak out; and
- Failure to include the public in the early stages of the planning process can lead to surprise protests later on.

Also see:

[Communication barriers](#)



[Preparing for project management](#)



Engaging selected stakeholder groups →

Regular consultations between the different planning departments and the public transport operator are needed to identify potential problems at an early stage. Large consultation meetings take place three to four times each year. In addition, smaller meetings are held every two to eight weeks. They are chaired by the planning department responsible for road construction. No decisions are taken without the participation of the public transport operator.

Good cooperation means that the various projects are better coordinated. It avoids the situation where the same street can be dug up every two or three years.

Successful informal meetings require:

- Cooperation and trust between participants;
- Careful planning and strong personal commitment; and
- Good moderation and mediation between relevant partners.

This important technique can be applied in many different situations.

Institutional/legal/financial barriers →

It is likely that elections will take place during the course of a long-term project. It is important to manage a project to limit the impact of party politics or any change in the administration. At first, all political parties supported the tramline extension - some even included it in their manifesto, and won. However, once public opposition began, some parties began to change their opinions and the project started to become a party political issue. The city administration and the public transport operator began a campaign to change the image of the project among politicians, which was largely successful. To minimise disruption due to political factors, remember that:

- Politicians can use public controversy to make their mark;
- If transport projects become politicised, it can make it harder to carry them out; and
- The city administration is responsible for presenting projects in such a way that they do not become politicised.

Also see:

[Communication barriers](#)



[Opponents](#)



Questionnaire surveys →

After public opposition to the tramline extension project was voiced, a survey was carried out among the local population to find out what people really thought, and to use the results as the basis for a campaign to change the image of the project.

The survey was highly successful, as it showed that opposition was not as strong as feared. Conducting a survey before the start of the planning process would have identified any likely opposition at an early stage and would have allowed changes in public opinion to be assessed. The administration is considering a further survey after the end of the project to evaluate its success and provide planners with useful information for future initiatives.

Using independent consultants to carry out the surveys ensures that the information gathered is objective and increases its credibility.

Also see:

[Communication barriers](#)



Marketing strategy → ✕

The project managers had planned to use technical plans to inform people of the proposals to extend the tramline. But after the plans were unveiled, opposition arose and grew. The press presented their views as those of the majority.

Therefore, the project managers had a new goal: to win people over, and to encourage the silent majority who supported the scheme to make their views known. They launched a comprehensive campaign to change the image of the re-routing project.

While the initial small-scale information campaign had been led by the city administration with the support of the public transport operator Bogestra, the roles were reversed in the second, large-scale campaign. Bogestra had more money to invest in such a strategy, and could react faster to new developments.

The campaign included public exhibitions, brochures, flyers and meetings with people living in the affected areas. Project leaders also established a presence at the construction site, and held one-to-one talks with those most opposed to the scheme.

The new communication strategy appears to have started to win people over.

Also see:

Printed public information materials → ✕
Information events → ✕



Above and right: Publicity material produced in Bochum.

Experience in Bochum has shown that:

- Project leaders must think about information strategies from the very beginning, not just in reaction to opposition;
- City administrations are not always well-placed to lead active communication strategies and may not have the knowledge, expertise, resources or flexibility to carry them out;
- Information for the public must be easy to understand;
- One-to-one talks are the best way to win over opponents;
- It is important to get the press on your side; and
- As people get more involved in public affairs, major communication strategies are needed more frequently.



Key lessons

Decision process

- The political decision process can cause delays. Make sure that there is a politician (or party) keen for the project to be delivered on time.

Participation and communication

- Plan the appropriate information strategy at the beginning of the project. Don't wait until there is public opposition.
- Consider getting other partners (e.g. PT Operator) to manage communication. They may have more knowledge, more resources, and be able to respond faster.
- Information for the general public must be easy to understand.
- Use one-to-one talks to convince individual opponents.
- Try to get the press to support the project.

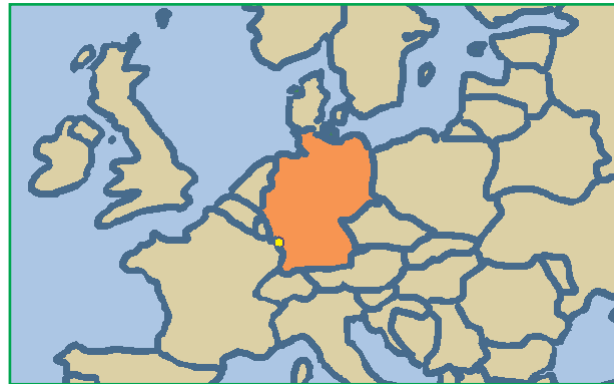
Tools and fact sheets used in this Practice Example

| | | |
|-------------|--|-----|
| Tools | Preparing for project management | → ✕ |
| | Engaging selected stakeholder groups | → ✕ |
| | Marketing strategy | → ✕ |
| | Printed public information materials | → ✕ |
| | Information events | → ✕ |
| Fact sheets | Opponents | → 📄 |
| | Communication barriers | → 📄 |
| | Institutional/legal/financial barriers | → 📄 |
| | Questionnaire surveys | → 📄 |
| | Exhibition | → 📄 |
| | Leaflet and brochure | → 📄 |

Saarbrücken

The city of Saarbrücken, the capital of the German federal state of Saarland, has a population of 184,500 and covers an area of 167km². It is a regional centre for shopping, a conference and trade fair destination, and home to the University of Saarland. It is situated near the border with France, and works closely with its French neighbouring municipalities on common transport solutions.

Heavy industry and mining used to dominate, but many jobs are now in the service trades. As the surrounding region has a high level of unemployment, more than 60,000 people commute into the city each day, with consequent traffic problems.



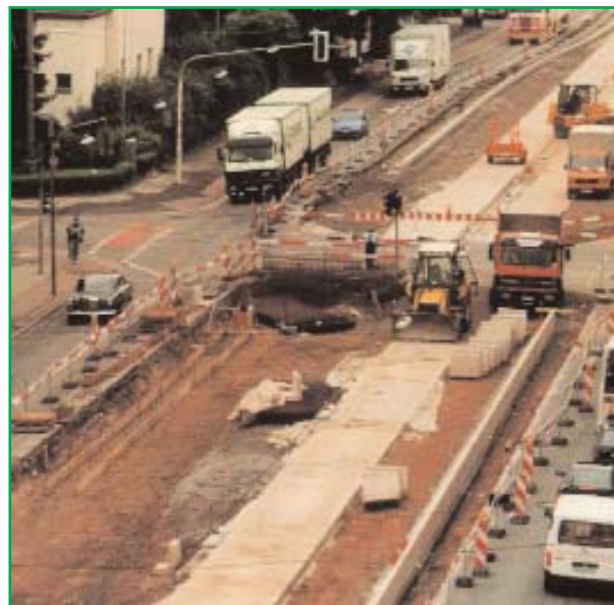
The Saarbahn light rail system.

Building the Saarbahn

GUIDEMAPS looked at the planning and building of the Saarbahn - the new light rail system for Saarbrücken. It was designed to tackle the problem of the increasing number of commuters, and to take the pressure off the city's only existing mode of public transport - the bus system. The project had to be carried out quickly, to make the most of political will and available funds.

The Saarbahn links the city with the surrounding region, mainly along old rail tracks. Its first phase was built between 1995 and 1997, and connected the centre of Saarbrücken with the French town of Saareguemines located south of the city. Another section has since been opened to the north. In October 2001, about 30,000 people were using the Saarbahn each weekday, and the number was rising.

Further expansion is planned, and should be complete by 2005.



The Saarbahn under construction.

GUIDEMAPS interests

The Saarbahn is an interesting illustration of a successful major trans-border project planned and implemented in just seven years.

In Saarbrücken, GUIDEMAPS explored:

- The role of the two major 'project champions' (the Managing Director of the Saarbahn GmbH and the Mayor of Saarbrücken);
- The pros and cons of having semi-independent companies involved in constructing a major transport infrastructure project;
- How decision-making processes should be structured to speed up planning and construction;
- The role of public decisions in transport projects; and
- The legal and technical problems of including a foreign (French) town in the project.

Decision-making process

The Managing Director of the Gesellschaft für Straßenbahnen im Saartal AG came up with the idea of a light rail system for Saarbrücken in 1991. He enlisted the support of the Mayor of Saarbrücken, and the proposal was adopted by the municipality in 1992. The project leaders created the semi-independent company Stadtbahn Saar GmbH to carry it out.

In 1993, consultants drew up an assessment of the cost-effectiveness of the proposals. This document was used as the basis for winning funding, most of which came from the federal government.

Plans were drawn up between 1993 and 1994, and planning permission hearings were held in 1995. The city administration formally adopted the plans into its official transport strategy for the city.

The first track was constructed between 1995 and 1997. In 1996, a new company was formed to operate the Saarbahn, and it opened in 1997.



Engagement

Players in the Saarbahn project included:

- Stadtbahn Saar GmbH AG, the semi-independent company set up to oversee the process, especially its Managing Director;
- The Mayor of Saarbrücken;
- City administration, including the planning office;
- Deutsche Bahn, which agreed to let the Saarbahn use its old rail tracks;
- A consultancy, which assessed the various options;
- The national Transport Ministry, which financed the project;
- Saarland Ministry of Commerce, which co-financed the project; and
- Independent planning bureaux.

The need to build the Saarbahn quickly meant that public participation was limited. The residents affected by the construction of the Saarbahn were informed according to legal guidelines, and some were given compensation. The project leaders also carried out a wide-ranging communications strategy.

Tools and techniques

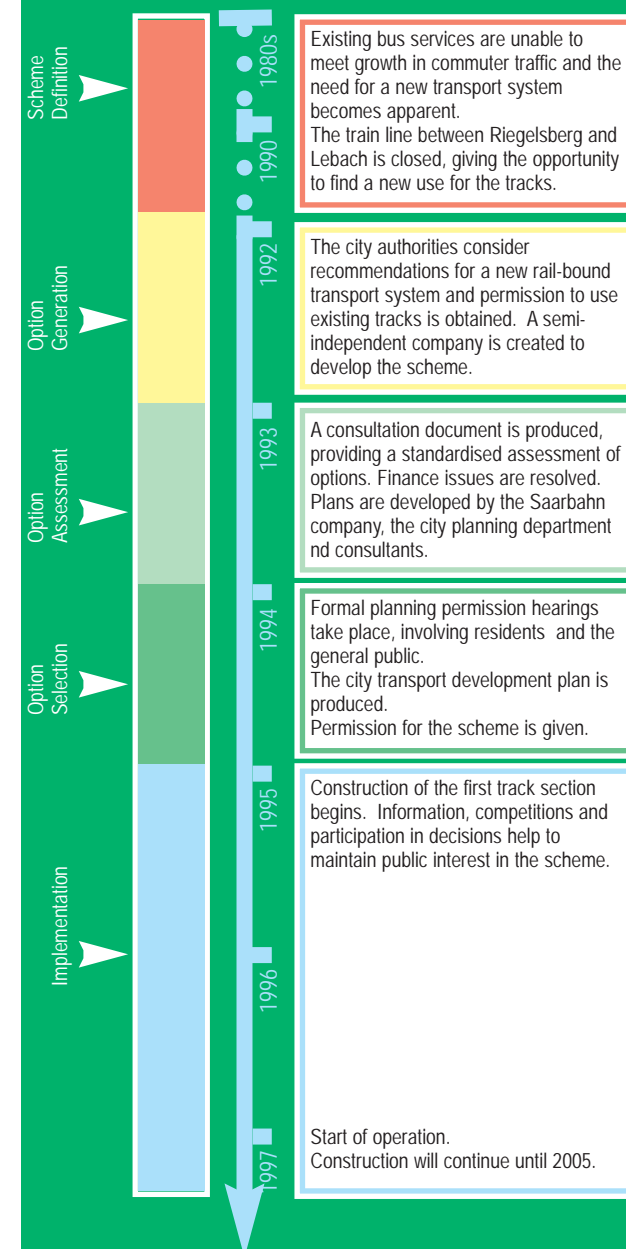
A semi-independent company, the Stadtbahn Saar GmbH, was founded specifically to keep bureaucracy to a minimum. During construction, the company could react to sudden problems within 24 hours. For tax reasons, it was easier for the new company to finance the project than for the City of Saarbrücken to do the same.

Another key technique was the creation of a Stadtbahn Coordinator post within the city administration. This meant one person was responsible, rather than one in each department. The coordinator was the main contact point for the public.

An intensive marketing campaign kept the public informed. This limited the inevitable opposition. The strategy included community meetings, most of which were attended by the Mayor and the Managing Director of the Saarbahn. One innovative technique was a public competition to choose design aspects (such as the colour scheme) of the new Saarbahn vehicles.

Left: Publicity material for the Saarbahn project.

Timeline



Overcoming barriers

Communication

- ✗ There was the potential for public dissatisfaction with the disruption caused by the construction process.
- ✓ Coordinating construction to build four track sections at the same time reduced the construction period and minimised annoyance.

Management

- ✗ Political barriers were encountered.
- ✓ The role of the project champion was crucial in securing political support.
- ✗ Municipal authorities did not have the necessary human resources to plan and build the Saarbahn.
- ✓ A separate company Stadtbahn Saar AG was created to build the Saarbahn.

Legal

- ✗ Some legal and technical barriers were associated with the requirements of a cross-border project.
- ✓ Legal and technical requirements were fulfilled, and good personal contacts enabled this to be effectively managed.

Institutional

- ✗ Some bureaucratic delays occurred.
- ✓ These were reduced through the actions of the project champion and the creation of Stadtbahn Saar AG to carry out construction work.
- ✗ Unexpected problems were encountered during implementation.
- ✓ A fast and informal decision-making process within Stadtbahn Saar AG enabled these problems to be quickly overcome.

Project champion →✗

The Saarbahn was a ground-breaking project for the City of Saarbrücken, where the only form of public transport until then was the bus. Without the strong support of key players, the scheme would never have begun.

The Saarbahn was the vision of the Managing Director of the public transport company Saartalbahnen, who won the backing of the Mayor of Saarbrücken. They worked together to get the necessary political backing at city, regional and national level. They also attended **public meetings** together to persuade the residents of the benefits in the areas affected.

The mayor created the post of Saarbahn coordinator in the city administration to oversee all planning and construction measures. The mayor backed his decisions, and defended the project in the city council. He also supported the Managing Director of the Gesellschaft für Straßenbahnen im Saartal AG, who was responsible for implementing the proposals.

Overcoming barriers →✗

The Saarbahn proposals included a stretch of track across the French border to Saareguemines. This made the project more prestigious and therefore more likely to attract funding from central government, and also paved the way for further cross-border connections.

Contacts between the German and French sides were already good: an important bus line ran between the two cities, and the Mayor of Saareguemines was in favour of the tramway. He helped the Stadtbahn Saar GmbH reach an agreement with French rail company SNCF to use existing train tracks. Personal contacts between the Stadtbahn Saar GmbH and SNCF management in Paris also helped.

There were some technical and legal obstacles about running low-floor trams on national rail tracks. These were overcome through personal discussions, legal amendments and the addition of security measures.

Surveying individuals →✗

The main aim of the opinion poll conducted in Riegelsberg was to show that public opposition to the Saarbahn was not as strong as sometimes portrayed.

The first task was to carry out a survey to find out what Riegelsberg residents saw as the problems with the Saarbahn. Lack of information turned out to be top of their list. Therefore, project leaders began a marketing campaign to tell people about the new trams.

Afterwards, the Stadtbahn Saar GmbH conducted an opinion poll to find out whether the Saarbahn should go through Riegelsberg. The poll was in no way legally binding, but a negative result would have made it harder to go ahead with the project. However, the result was in favour. This helped project leaders gain support from city councillors, and opposition decreased.

See also:

Institutional marketing
Elected officials



Marketing strategy →✗

The aim of the marketing strategy was to inform people about the construction of the Saarbahn. Later, the Saarbahn managers wanted to project a certain image.

At first, the campaign did not provide enough information about the construction works. After negative public reaction, the project managers began a new, more informative campaign. They produced placards, a special bulletin, **brochures** and flyers about the construction of the Saarbahn, its proposed routes, and ticket prices. The local **media** also covered the issues.

Once the Saarbahn trams were ready, the campaign changed tone. The new vehicles, which were of a very modern design compared to the buses, became the focus of the marketing strategy. In order to involve people in the project, the public was invited to vote for further design aspects such as colour scheme.

See also:

Management of information
Communication barriers



Managing the engagement process →

The Saarbahn needed to be constructed quickly, otherwise funding might not be available. Therefore, the decision-making process had to be fast.

The city council gave more or less full backing to the Saarbahn project throughout. Project managers were able to avoid the politicisation of the scheme, even when there was public opposition later on. The fact that city councillors agreed on the project and there were limited objections from residents affected by it meant that planning permission was granted easily.

The national government wanted to get the Saarbahn built quickly. It gave planners enough money to help overcome public opposition through a marketing campaign, and by offering compensation to people badly affected by the new trams.

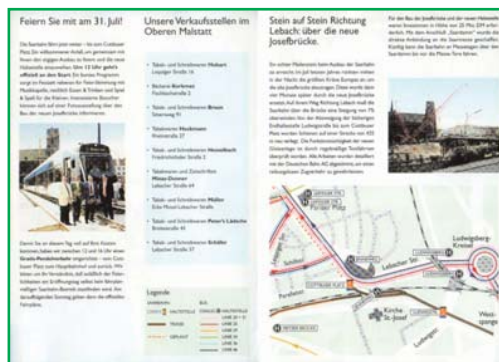
The Mayor of Saarbrücken helped set up the post of Saarbahn Coordinator, who coordinated the work of the various departments of the city administration with that of the Stadtbahn Saar GmbH. The coordinator had two assistants, whose salaries were paid by the Stadtbahn Saar GmbH. Together, they managed to get the planning process completed quickly.

Building work began on four parts of the Saarbahn at once. This meant the whole project was finished quickly.

Overall, the strategy worked well. It took less than four years to plan the first phase of the Saarbahn (1991 - 1995), and less than three for it to be built (1995 - 1997).



Information materials produced for the Saarbahn project.



Key lessons

Decision process

- Find project leaders with different backgrounds and areas of expertise. This can speed up the project.
- Widespread political support will help ease the planning process.
- Keep bureaucratic procedures as simple as possible to make swift progress.
- Monitor the project's outgoings. This helps you keep within budget.
- Follow guidelines - but improvise if necessary rather than let the project stall.
- Take a personal approach to winning sponsors. Saarbrücken's mayor got actively involved in getting money from both the city and the federal authorities for the project.

Participation and communication

- A proper communication strategy is essential for a large infrastructure project. Public complaints are inevitable when construction begins.
- Don't make intensive attempts to get the public involved if you don't receive many complaints. But make sure you are ready to react if public opposition does arise.

Tools and fact sheets used in this Practice Example

| | | |
|-------------|-------------------------------------|----|
| Tools | Project champion | →✗ |
| | Overcoming barriers | →✗ |
| | Marketing strategy | →✗ |
| | Surveying individuals | →✗ |
| Fact sheets | Public meeting | → |
| | Leaflet and brochure | → |
| | Press releases and news conferences | → |
| | Management of information | → |
| | Communication barriers | → |
| | Institutional marketing | → |
| | Elected officials | → |
| | Managing the engagement process | → |

Today, Brno is the industrial, cultural and shopping centre of the region of southern Moravia, which has a total population of about 1m. Some 150,000 people travel to Brno for work each day. The city also has a large student population - it is home to four universities - and is the most important centre for international trade fairs in the country.



After two years of public consultation, it was selected and incorporated into the city plan. The 1.26km stretch of road was completed in 1998 at a cost of 27m Euros. It includes a 582-metre tunnel.



Map of the Brno ring road.

- An exhibition;
- Leaflets;
- Opinion polls;
- Discussions; and
- Public inquiry.

Decision-making process

The Institute of City Development (UHA) developed a new route for the proposed stretch of ring road which avoided the need to knock down any buildings. The UHA realised that public involvement was the key to gaining support for the proposal. In cooperation with the Municipality of Brno-Nord, it devised a communications strategy and carried out a public consultation exercise.

The proposal attracted great interest, as residents were desperate for a solution to the area's traffic problems. A clear majority supported the new plan. But it also met opposition from independent transport experts and architects, as well as some of the people who lived closest to the proposed route. There were complaints that the moves to involve the public were a sham, and that the information provided was biased.

Following the consultation period, an Environmental Impact Assessment was carried out. The official proposal was confirmed as the most suitable by an independent company, and then adopted into the city plan. However, an independent review rejected the EIA, largely because no alternatives had been put forward.

Nonetheless, after intensive discussions, it was approved by the Environment Ministry, and construction began in 1996. Its impact on the traffic situation is still debated.



The new section of the Brno ring road.

Engagement

The public had a legal right to comment on the proposals in the 30 days after they were announced. Comments were also allowed during the process of assessing the environmental effects. Unusually for the Czech Republic at that time, the local authority encouraged public participation. Local residents played a very active role, even holding a demonstration and organising a petition in favour of the proposal.

The key officials and stakeholders were:

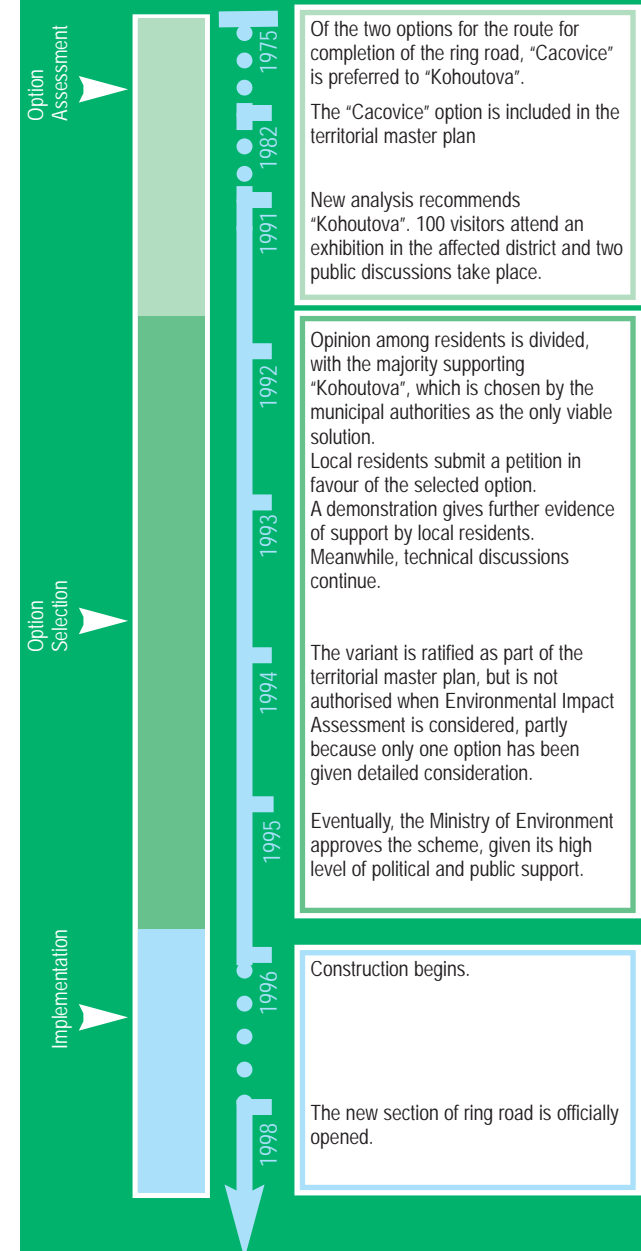
- The UHA;
- The Municipality of Brno-Nord;
- Residents - supporters and opponents;
- The Environment Ministry;
- The Municipality of Brno;
- Investproject NCC - a private company which handled the environmental impact study;
- Via Consult Brno - a private company which developed the transport-town planning study;
- Consortium of Independent Solvers - a group of three former engineers and architects who opposed the official proposal and put forward alternatives and were also consulted as experts for the EIA; and
- The Czech Institute of Nature Protection, also involved in the EIA.

Tools and techniques

The opinion poll conducted by UHA and the Municipality of Brno-Nord in September 2001 found that 65% of residents supported the official proposal. At the same time, the project leaders held public discussions and an exhibition, developed with the help of a design company.

The local municipality's newspaper was an important source of information, and residents were also kept informed through notice boards.

Timeline



Overcoming barriers

Communication

- ☒ Public opinion on the project was divided.
- ☒ In the end, a significant number of residents supported the chosen solution.
- ☒ There was only one realistic solution, so it was not possible to present the residents with a choice.
- ☒ Even though there was only one solution, using the opinion poll to demonstrate that the option had public support was important in helping to gain the necessary official approval for the scheme.

Management

- ☒ There were technical problems with the level of understanding of traffic movements associated with the project.
- ☒ The political willingness to complete the project helped solutions for technical and other problems to be found.

Legal

- ☒ The laws regarding the Environmental Impact Assessment were interpreted in different ways.
- ☒ Communication with the Ministry of the Environment helped to clarify the regulations.

Managing resources: costs →

The plans to build a section of ring road through a busy district of Brno were approved in the 1990s. The City of Brno needed to find funds for the €27m construction work.

Most of the costs were paid by the state through the Directorate of Highways and Motorways of the Ministry of Transport. The City of Brno financed only some minor aspects of the plans.

The construction of the city ring road was acknowledged to be a priority issue for Brno, so getting the funding was easy. However, it has since got harder for transport projects to get money from the Czech state authorities. Most still rely on central funding, although some are given EU money.

See also:

[Institutional/financial/legal barriers](#) → 

Engaging large groups →

The Institute of City Development of the Municipality of Brno decided to carry out an opinion poll to find out people's views on the new ring road proposals. The main, though unofficial, aim was to show that most people supported the option favoured by the authorities.

The poll was carried out in cooperation with the Municipality of Brno-Nord in September 1991. An external consultant helped design it. The poll was accompanied by an **exhibition** and public discussions.

The poll showed 60% of residents in favour of the new proposal, therefore backing up the authorities' plans.

Experience in Brno showed:

- That project leaders need to know something of public opinion on an issue before they carry out any opinion poll. Otherwise, the results can slow the decision process down or even cause it to fail; and
- It is important to decide who to poll - only those directly affected, or also those indirectly affected.

Special interest groups →

Two main groups of residents lobbied the authorities about the proposals to build a new stretch of ring road, and played a significant part in the decision-making process. The views of the residents depended on where they lived.

Supporters and opponents of the scheme organised themselves without the help of any formal associations - such groups were only just beginning in the Czech Republic in 1991. The larger residents' group was in favour of the new proposals, while the smaller group opposed them. However, the smaller one played a very active role. It was called the Consortium of Independent Solvers, and included three engineers. As they were able to suggest a number of alternative solutions, they took part in developing environmental impact studies.

The City of Brno also carried out an opinion poll that showed that most people were in favour of the new proposal. This was a great help in pushing it forward.

See also:

[Opponents](#) → 



Marketing strategy →

The Municipality of Brno-Nord and the local authority made great efforts to involve the public in the plan to extend the ring road. However, the municipality also wanted to promote the proposal as the only realistic option.

Residents got information about the scheme from the local newspaper and an **exhibition** run by the municipality. The official notice board also displayed details.

Most residents were in favour of the option promoted by the municipality. However, communication with opponents should have been better: They should have been made to feel part of the project, not enemies of it.

See also:

[Engagement strategy](#) → 
[Communication barriers](#) → 

Engagement strategy →✖

The Institute of City Development of the Municipality of Brno developed a strategy to inform residents about the ring road proposals, and get their opinions. The project was one of the first in Brno where a participation strategy was planned.

There are legal requirements in the Czech Republic to announce the location of any new construction, to notify of changes to land use plans, and to set dates for public meetings. The public has a right to express views for a 30-day period after the announcements and to take part in the discussions about the environmental impact.

In Brno, the authorities involved built a communication strategy around these legal requirements. It included **exhibitions**, talks, the distribution of **leaflets**, a **questionnaire survey** and an opinion poll. The Institute produced and printed **questionnaire surveys** and **leaflets**, while the Municipality of Brno-Nord provided the rooms for the exhibitions and helped distribute the questionnaires. The two authorities worked with a design company on two public discussions and one exhibition.

The strategy was deemed a success. Local residents played a very active role in the decision-making process. For example, the residents of nine streets organised a petition and held a demonstration in support of the proposals.

Experience of the Brno communication strategy showed:

- That there should have been better communication with opponents;
- That the questionnaires should have offered more options: only one realistic option was put forward. This was partly because the authorities wanted public confirmation of their choice, and partly because other options were too expensive; and
- That the opinion poll was a key to success for the project.

See also:

Printed public information materials →✖

Information events →✖

Information session and briefing →📄



Above and below: The new section of the Brno ring road.



Key lessons

Decision process

- Make sure you win over the public. This makes it harder for opponents to influence the outcome.
- Make sure the problem to be tackled is clear to the public.
- Create a working team, and involve independent experts. These give your project credibility.

Participation and communication

- Be ready to react to different opinions and suggestions.
- It is important to involve the public in all sorts of projects, not just when you expect their support.
- Use professional designers for major marketing campaigns.

Tools and fact sheets used in this Practice Example

| | | |
|-------------|--|----|
| Tools | Engaging large groups | →✖ |
| | Marketing strategy | →✖ |
| | Engagement strategy | →✖ |
| | Printed public information materials | →✖ |
| | Information events | →✖ |
| Fact sheets | Managing resources: costs | →📄 |
| | Institutional/legal/financial barriers | →📄 |
| | Exhibition | →📄 |
| | Special interest groups | →📄 |
| | Opponents | →📄 |
| | Feature article | →📄 |
| | Leaflet and brochure | →📄 |
| | Questionnaire surveys | →📄 |
| | Information session and briefing | →📄 |
| | Communication barriers | →📄 |

The practice examples for Brno dealt with two different topics. One is the construction of the Ring road in Brno (see before). The focus of the following description is the Consultation during the Reconstruction of Mendel Square. The aim was the partial reconstruction of the area of Mendel Square and reorganisation of the public transport lines, which run through this square. Mendel Square is one of the three most important interchanges in Brno and is therefore a very busy traffic junction with a lot of problems. From the transport perspective there are problems with the excessive amount of traffic caused by public transport (the square is the terminal for 4 trolleybus lines, 4 bus lines and 3 tram lines) as well with severe traffic congestion caused by through traffic (over 20,000 cars a day). Other problems include chaotic arrangements for pedestrians and also a lack of facilities for public transport users. From the town planning perspective there is a predomination of asphalt roads and the extensive reconstruction after damage by bombing after the end of the World War II was not very sensitive and was never finished anyway.

Legal situation

The range of public engagement opportunities is determined by the relevant laws. The work of the Department of Land Use and City in charge of the project deals with landuse planning, therefore the relevant law is the Construction Law. Obligations included in this law regarding the public engagement are as follows: The public has the opportunity to take part in the landuse planning process during its feasibility stage, at the stage of creating the concept and during the stage of creating the land use plan for the final proposal.

Local strategy

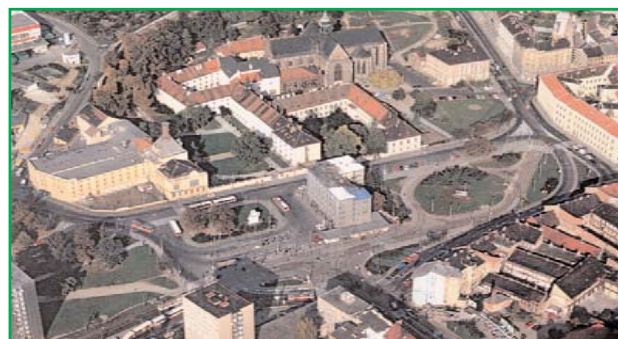
There has been a clear effort to reconstruct the whole area of the Mendel Square since the 1950s, but each attempt faced various problems and failed. The main objective was to overcome previous problems and to produce a realistic and reasonable solution for the square. The goal was therefore to initiate and restart the process and to involve the public and various stakeholders in the process of creating a new design of the square. In the past public engagement was often understood only as the need to provide information.

Motivation

OUPR is the department of Municipality of Brno dealing with landuse planning and city development. OUPR has made an effort to engage the public especially in important and city-wide projects, but this effort is limited by the available budget and time resources. The involvement in GUIDEMAPS has provided an opportunity to engage the public into the project in an extended (and not typical) form and to enhance the experience and knowledge about public engagement.

Feedback and Monitoring

The monitoring and evaluation of projects has not been very usual so far, mainly because of a lack of financial resources. OUPR provides feedback to citizens as much as possible; the most frequent form is internet communication.



Experience

A few years ago OUPR partly carried out a similar project dealing with creating a new image of the central Brno Square - the Svobodovo Square. OUPR had no internal rules regarding the use of public engagement in its projects. All activities regarding public engagement are in the hands of the relevant employee, who is responsible for the specific project. A lack of public engagement caused some problems in decision-making especially in building the new city ring road.

Technical support

OUPR is one of the departments of the Municipality of Brno, so it uses the official website for the city of Brno for some of its projects. The website was used to inform citizens about the project and it was also possible to view the visualisation of the most important future transport project there. OUPR also uses the city newspaper Halo Brno (owned by the municipality) and local district newspapers to inform the citizens about projects.

Obstacles

The most important issues are political acceptance and how to overcome the potential mistrust of citizens (based on past experience). Other barriers were also the unclear system of decision-making for the public and a lack of clear methods and experience in communication. Sometimes there was still an opinion that public engagement is useless. The main reason for this attitude is a lack of faith in professional skills of stakeholders and also the fear that the engagement process could be misused by some stakeholder groups.

Responsibility

The project team was quite diverse. The leader of the project was the Department of Land Use and City Development (OUPR). Two consultants were involved; the Centre for Community Work (CpKP) was responsible for the engagement and communication process and the Transport Research Centre (CDV) was responsible for the evaluation of the project. Other important stakeholders were the Public Transport provider DPmB and elected members from the local authority of the district Brno-Centre who were affected by the proposals.

Problem identification:

- how to change the image of the square
- how to do it fast
- how to do it inexpensively
- how not to upset the public
- how to co-operate with the experts from other departments
- how to communicate with the public
- how to implement relevant tools
- how to evaluate the results



The overall strategy for engagement and project management

The strategy consisted of the following steps:

- Creation of the project team
- Preparation of background material and creation of alternative solutions
- Information and media strategy
- Interactive live radio discussion
- Public opinion surveys
- Interactive exhibition about the Mendel Square
- Roundtables with target groups
- Feedback to stakeholders
- Preparation and marketing

Creating of project team and meeting organisation

The first step for the successful progress of the Case Study was the establishment of the project team. The project team was responsible for providing the feedback to the public and was also responsible for providing the information to the city council, to all the institutions involved and to the public affected by the proposals. The meetings took place at OUPR. Regular meetings of a regular group of people from the institutions involved seemed to be the most suitable tool for the smooth development of the whole project. A problem occurred during the first meeting which could not be solved. The participants were not able to discuss peacefully, without emotion and arguing. Thereafter the meetings were facilitated by CpKP and the problem mentioned above was solved.



Facilitation of meetings

An Important condition for successful communication was the engagement of an independent consultancy organisation - Centrum for Community Work - for the project.



Information and media strategy

The possibilities for how the public could participate in the project was announced by a media campaign. The campaign provided information on the project - e.g. the illustration of its objectives and contents, as well as how citizen participation would be organised. A media partnership was established with the radio station Brno - CRO (the public regional radio station for older listeners) and with radio Kiss-Hady (the private regional radio station for younger listeners). The following tools were used to provide information to the public:

- Press releases
- Newspaper insert in Halo Brno (the city council newspaper)
- Information in a local newspaper covering the affected city district Brno - centre
- Leaflets - 2000 copies
- Information notice boards
- Interactive talkshows on radio Brno
- Information advertisements on radio Kiss-Hady
- 200 posters inside the trams
- 3 reports on local TV



Preparation of alternative solutions

OUPR prepared, in co-operation with an external designer, two alternatives for a possible image of the affected area. Both alternatives had to fulfill the conditions of valid plan according to local regulations, which will determine the future image of the square. The main idea for both alternatives was the displacement of the trolleybus stops from the middle to the western part of the square and to reconstruct this free space for pedestrians. One alternative offered the creation of a park, while the other offered the creation of a square. The alternatives were presented to the public in a understandable design with only brief technical information.



The Interactive exhibition

The exhibition was placed in a house near Mendel Square. It consisted of information panels situated in 2 rooms, a 20-minute video about the history of the area, and the visitors were given the opportunity to write their comments on paper sheets. Two experts involved in the project were ready to answer questions of the visitors. The exhibition lasted 7 days and was visited by 700 visitors. Students of the University of Architecture spontaneously provided the exhibition with their suggestions and a petition from inhabitants living near Mendel Square offered their opinion on the planned reduction of parking places.



Roundtable discussions

To get further insight into the different opinions of specific target groups, three roundtables were organised. Each table focused on a specific target group. The following target groups were identified:

- Local businessmen - shop owners and NGOs (8 participants)
- Local residents (43 participants)
- Departments of the City Council, politicians, experts (7 participants)
- 58 participants in total attended the roundtables and more than 80 comments were collected.

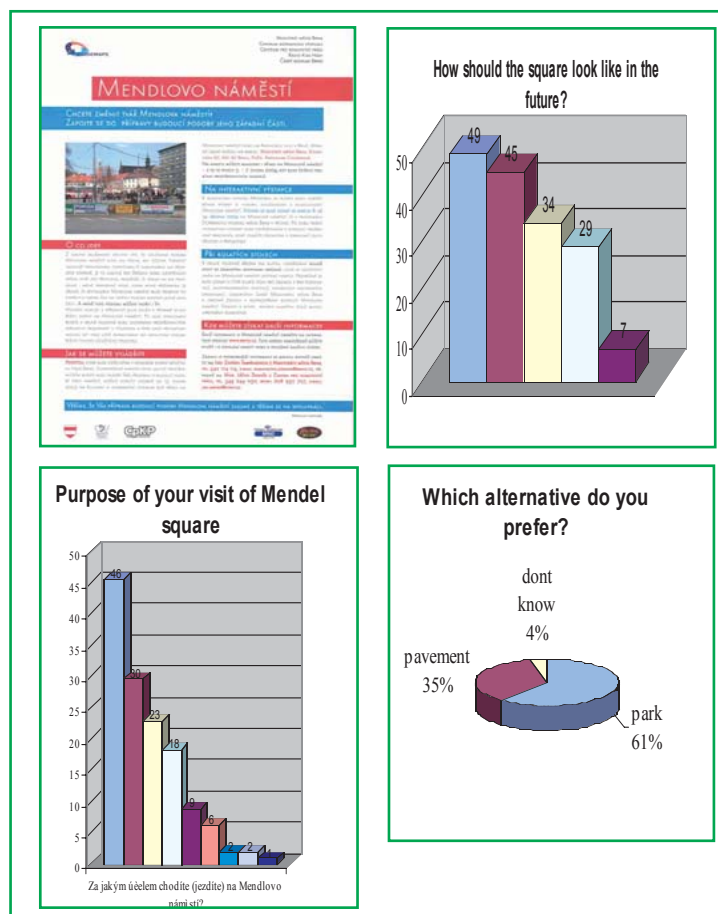


The public opinion survey

The public survey followed three lines:

- The questionnaire was published in the city newspaper Halo Brno and citizens had the possibility to deliver their answers to three different addresses (by post or personally)
- Structured interviews were conducted in the area around Mendel Square (5-7 February 2004) by Social Science students
- It was possible to complete the questionnaire during the exhibition.

Altogether, 813 questionnaires were collected (44% by way of the city newspaper, 36 % from the structured interviews and 20% during the exhibition).



Lessons learned from the engagement strategy

- The planning authority has enhanced its experience and knowledge regarding several fields of engagement.
- It was useful to subcontract the independent company dealing with public engagement to implement the engagement strategy.
- The price of implementing a reasonable public engagement strategy in smaller transport project is not so high, but it is time consuming. Because OUPR has no special team working on public engagement and no extra budget for engagement, it will be difficult to engage the public to the same extent in other OUPR projects.
- The organisations involved agreed that the style of work used during the GUIDEMAPS study was very useful (creating the project team, facilitation the meeting etc.)
- Carrying out extensive public engagement has positive effects on the development of the project and also on the image of the commissioning body.

Monitoring and evaluation

Monitoring and evaluation was done by the CDV and CpKP. CDV monitored the whole project on the basis of Guidemaps requirements and demands. Interviews with members of the project team were conducted. CpKP has prepared the final report, where the engagement process is summarised.

Conclusions regarding the Reconstruction of the Mendel Square

The citizens of the affected area had the possibility to participate in the project and to influence the future image of the square - such a possibility is still not typical within transport projects in Brno. The process enabled the discussion about Mendel Square to be reopened

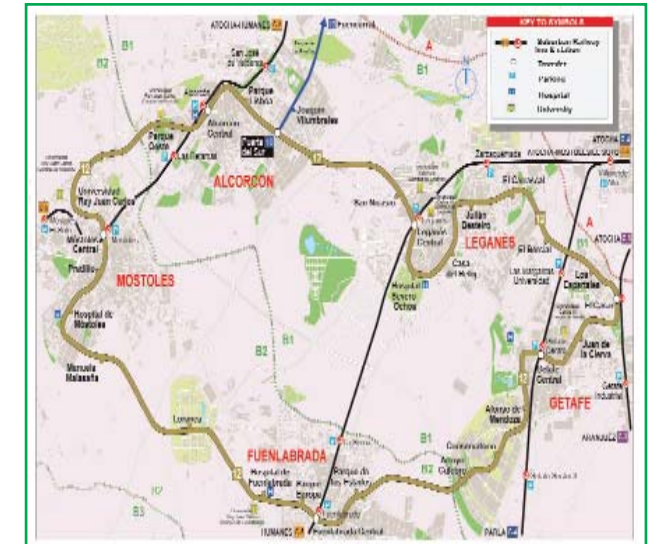
A realistic alternative to the reconstruction of the Square was found - the successful implementation of the case study assumed that the tram route must be moved by about 200m. However It is not definite that the project will be implemented - it depends on further political decisions.

Madrid

Over a million people live in the southern metropolitan area of the Region of Madrid, distributed among five large municipalities and other neighbouring towns. These towns are now all interconnected by MetroSur, but until recently, they were enormously dependent on Madrid, a dependence which was exacerbated by the radial nature of the road and public transport networks.

The transformation of these towns in recent years has given rise to the emergence of an entire network of essential facilities and services. This means that their dependence on the capital is gradually declining, and what could be termed dormitory towns back in the 1970s and 1980s have now developed into modern towns in their own right.

The Regional Government of Madrid has made a clear bid to support and consolidate the development of the southern metropolitan area through the creation of a circular underground line.



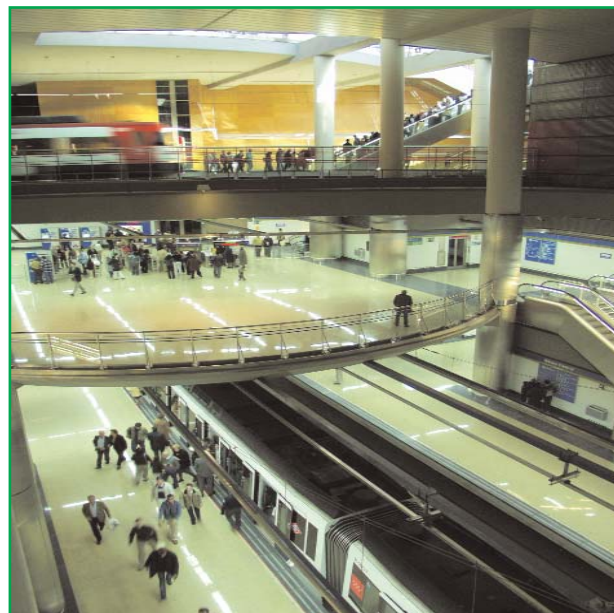
MetroSur orbital line map

Linking the towns

GUIDEMAPS looked at the process of developing MetroSur, an orbital metro line linking the towns in the south of the Madrid region.

The entire project was carried out in just four years. The 40.5 km stretch opened in April 2003, and cost €1,640 million. It has 28 stations, providing direct access via MetroSur between the five large municipalities of Alcorcón, Leganés, Getafe, Fuenlabrada and Móstoles. Connections to Aranjuez, Ciempozuelos, Valdemoro, Parla, Pinto, San Martín de la Vega, Humanes (railway under construction) and Madrid, are possible with a single intermodal interchange from MetroSur to Cercanías-RENFE.

The new infrastructure allows direct connections to the Carlos III University (Getafe and Leganés campuses) and the Rey Juan Carlos University (Alcorcón, Móstoles and Fuenlabrada campuses), major hospitals in Alcorcón, Móstoles, Getafe, Leganés and Fuenlabrada, commercial, leisure and entertainment facilities and industrial estates and business areas.



The new station at Getafe.

GUIDEMAPS interests

The Madrid practice example shows how the creation of a single coordination body can greatly speed up the process of making major infrastructural improvements.

In Madrid, GUIDEMAPS explored:

- How the political vision and willingness drove the project;
- How the different administrative bodies communicated with one another;
- How to finance and develop such a big investment through MINTRA in only 4 years;
- The role of the Consorcio Regional de Transportes de Madrid (PTA) in facilitating coordination between different administrative bodies;
- How to implement integrated regional transport systems covering different cities;
- How a coordinated transport system improves the quality of life;
- How much different interest groups took part, and what influence they had; and
- The influence of the media.

Decision-making process

MetroSur was conceived in 1997 as part of an ongoing process of developing the areas around Madrid. The regional transport authority, CRTM, coordinated work with the consultants, regional government and local governments on the initial plans. The politicians set out the goals for the project.

The first viability studies were carried out in 1997, followed in 1998 by the preparatory technical projects. The findings were incorporated into the final design, published in 1999. This was followed by a public information period.

At this point, MINTRA was created to construct and finance the project. MINTRA took all the decisions about the works, with support from the other administrative bodies. It was able to respond to problems within 24 hours. Construction on the project began in 2000, and was completed in April, 2003.



Map of the Madrid Metro network, showing the MetroSur orbital line.

Engagement

Key officials involved included:

- CRTM, the regional transport consortium, which is an autonomous agency of the regional government. It is made up of representatives of the Region of Madrid, nearby towns, the Spanish Government, transport operators, trade unions and user associations. It helped coordinate the different administrative bodies;
- MINTRA, the regional public company created to manage the project;
- Regional government (Comunidad de Madrid);
- Metro de Madrid operating company; and
- Municipalities.

Also involved were:

- Consultants; and
- Suburban bus operators.

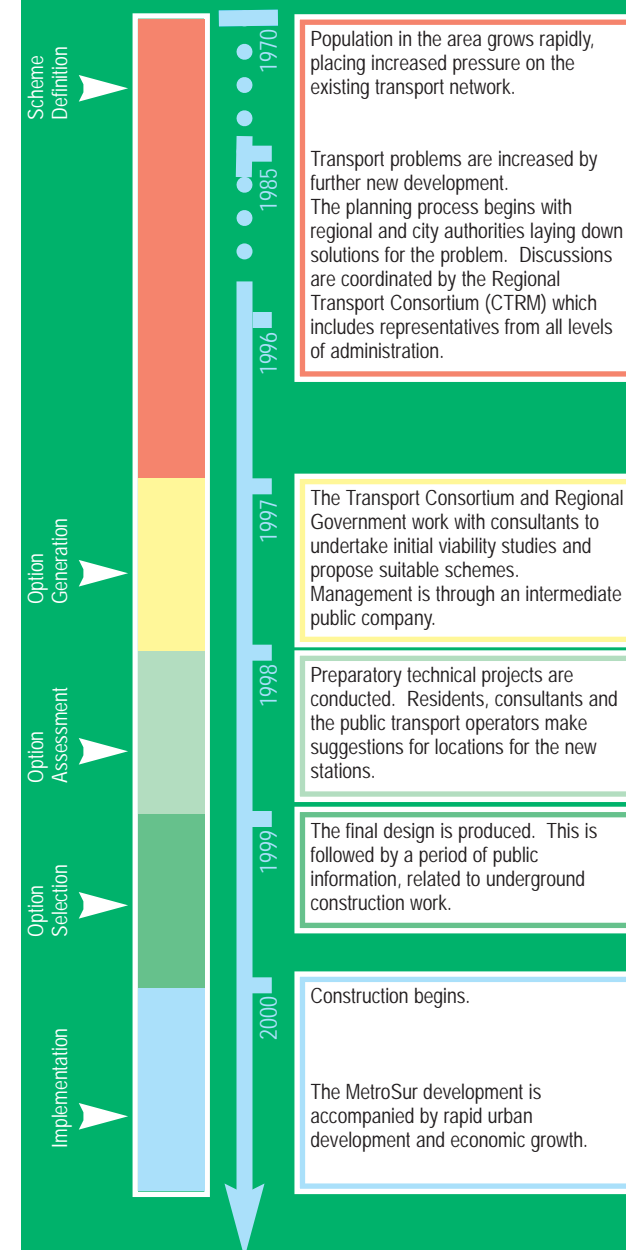


Puerta del Sur station during construction.

Tools and techniques

The main tool was the creation of MINTRA, which coordinated decisions. It could also assume debts, making it easier to manage the project finances. Citizens were able to express their views through the city councils that are in permanent contact with MINTRA and the Consorcio Regional de Transportes.

Timeline



Overcoming barriers

Institutional

- ☒ The project was huge in scale.
- ☒ There was a strong political drive to complete the project.
- ☒ The project was coordinated firstly through the Regional Transport Consortium (CRTM) which included representatives from all administrative levels, and then by MINTRA.

Communication

- ☒ The need to fulfil legal requirements which prescribed the information to be provided to the public could have been a barrier.
- ☒ The legally prescribed level of involvement was that usually followed in relation to an underground project, as was familiar to the consortium.

Legal

- ☒ Legal problems associated with the large scale of the project were encountered.
- ☒ Following established procedures allowed these barriers to be overcome.

Financial \$ €

- ☒ Problems with securing and managing the project finances were encountered.
- ☒ Management was undertaken by an intermediate public company, MINTRA, with budgeting responsibilities.

Project champion →

The Regional Government of Madrid included in its electoral programme for 1999 a clear bid to support and consolidate the development of the southern metropolitan area, through the creation of a circular underground line.

Political support on all sides was unwavering. Politicians were also prepared to delegate decision-making powers to the project management team. This allowed decisions to be made quickly, so there were no delays.



The new route in operation.

Managing resources →

The MetroSur project was a major construction scheme carried out in a short period of time. Its success rested on a small management team with powers to take decisions on economic and technical matters.

All those involved - MINTRA, the Comunidad de Madrid, the Regional Transport Consortium and others - knew exactly what their responsibilities were, and who was in charge at each stage. MINTRA also had the explicit support of the political decision-makers.

All unforeseen problems that arose during construction were solved within 24 hours. The various partners kept in contact through ongoing meetings and regular reports.

The approach worked well, and meant the line was built on schedule. Such a system could be applied wherever the political decision-makers are prepared to give project managers a fair amount of autonomy.

Institutional/legal/financial barriers →

To avoid potential financial problems, the project managers formed an intermediate public company. MINTRA (Madrid, Infraestructuras de Transporte) assumed the debts of the project, helping to speed up the process of building the new metro line.

MINTRA is a public entity of Madrid Regional Government. Its task was to finance the MetroSur project. Its budget was sufficient to carry out all the work needed as well as react to unforeseen problems.

Managing the engagement process →

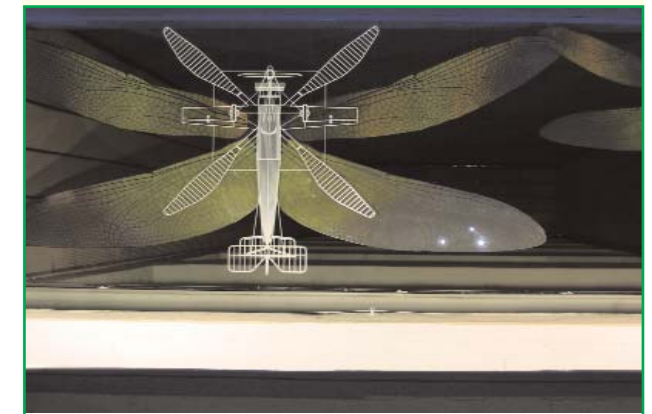
Managers followed the public information process in the MetroSur project as usual. They followed legal requirements, but participation was low, as common in Spain.

People affected by planning proposals expressed their ideas through councils in permanent contact with MINTRA and the Regional Transport Consortium. Each municipality affected by the line also set up informal neighbourhood forums. The project managers were obliged to announce the project, and provide information for a set period of time. Articles were printed in the press, and journalists were shown the construction site.

See also:

[Communication barriers](#)

[Special interest groups](#)



Mural at the new Juan de la Cierva station.

Key lessons

Elected officials →

The schedule for the construction of the MetroSur line was tight. Therefore it was crucial that it did not get delayed by excessive bureaucracy caused by the various administrative bodies involved in the process.

The Regional Transport Consortium - an autonomous body of the Regional Government - is in charge of public transport services in the area. MINTRA was set up to oversee the MetroSur project.

MINTRA had the support of various other administrative bodies: the regional administration, plus the city councils. The political bodies were committed and active, and helped push the decision-making process forward. All those involved were satisfied with the way things went.

Experience in Madrid showed that limiting the number of managers involved helped to greatly speed up the decision-making process and that construction problems were solved very quickly.



The new stations: Getafe Central (above) and Puerta Del Sur (below and right).



Decision process

- Political vision, drive and support for the project has been crucial for its success. Objectives and deadlines were clearly defined at the very beginning.
- A high quality professional small team working together for all four years, with the power to make economic and technical decisions as needed, so that such a major project can be carried out swiftly.
- Overcome problems quickly - preferably within 24 hours.
- Ensure there is enough money to carry out your project.

Participation and communication

- Make sure one team is in permanent contact with all the administrative bodies involved.
- Make sure everyone involved knows who is responsible for what aspects.

Tools and fact sheets used in this Practice Example

| | | |
|-------------|--|-----|
| Tools | Project champion | → ✖ |
| | Managing resources | → ✖ |
| Fact sheets | Institutional/legal/financial barriers | → 📄 |
| | Managing the engagement process | → 📄 |
| | Communication barriers | → 📄 |
| | Special interest groups | → 📄 |
| | Elected officials | → 📄 |

The examples for Madrid dealt with the improvement of public transport systems. One is the planning and building of a new MetroSystem (MetroSur) in the Madrid region (see before). The MetroSur-project included many complementary measures to improve the success of the initiative. One of these complementary measures has been selected within the GUIDEMAPS project: the new design of the suburban bus network connecting the area with the new orbital metro line. The focus of the following detailed description is the improvement and the redesign process of the bus network in Móstoles municipality which is one of the municipalities affected by MetroSur with some 200,000 inhabitants and 5 MetroSur stations and which is served by the "De Blas" suburban bus company. Within the framework of GUIDEMAPS, several studies, meetings and actions were developed to reach the best redesign solution for all the stakeholders involved.

Legal situation

The legal situation is quite complex due to the concession system regulating suburban buses. The combined management of the network of metropolitan buses is mainly based on this system. In this case, Madrid's Public Transport Authority (CRTM) acts as an integrating and coordinating entity that concentrates the administrative and economic roles vis-à-vis service providers, creates a stable framework that allows proper management.

Local strategy

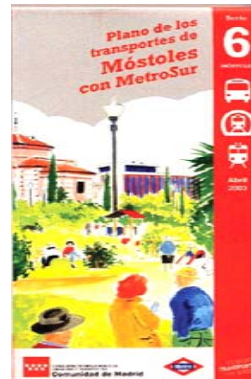
CRTM (Madrid Region Public Transport Authority) is an autonomous body of the Regional Government where all administrative levels of government are represented (national, regional, municipal) together with operators, consumer associations and labour force representatives. This composition ensures the formal participation of the main stakeholders in any transportation project. The citizens are involved through their municipal governments, but normally not directly.

Motivation

In this GUIDEMAPS study project, all the stakeholders mentioned above took part in it, but additional efforts are ongoing to engage residents, public transport operators, land developers, etc., because these project impacts go beyond transport, because these project impacts go beyond transport related concepts to become a regional territorial strategy. The number of people directly affected by the project consisted of 200,000 inhabitants from Móstoles plus many workers and students from other municipalities.

Feedback and Monitoring

Following the field work for the Madrid Case Study, specific counts and surveys were conducted in March 2004, with the advantage that during November 2002 another field work exercise (only for buses) was carried out in order to compare the before/after scenario. In interviews with the different stakeholders, it was detected that the tools and techniques that were used were considered to be positive.



Experience

CRTM has some experience in relation to public engagement and public participation because all administrative levels of government have to be coordinated together with operators, consumers' associations and labour force representatives. During the last few years, the decision-making processes have changed from a consensus-led approach to a vision-led one, where politicians are used to act as project champions.

Technical support

CRTM has experience in interacting with citizens in several ways: official website, customers department, telephone information service, e-mail information and orientation service, the distribution of maps, presentations at conferences, press, etc.

Obstacles

The main obstacle to proceed with the engagement process was the time frame. CRTM has technical/sociological skills and financial resources to apply to the process but the time these tasks deserve was one of the main barriers to the engagement procedure. In addition, people had to be convinced of the importance of their contribution and participation in a higher extent they are used to, particularly due to the lack of previous experience of some of the tools applied.

Responsibility

CRTM needed some assistance for carrying out parts of the work. Therefore, a consultant company was involved to the planning and engagement process. For public engagement in Spain, there is only public information required by law. In fact, the first network redesign (just after the inauguration of MetroSur) was planned only by CRTM and the operator.

Focus groups and surveys

The focus in relation to GUIDEMAPS was on the urban and suburban buses connecting to MetroSur. The location of bus stops was also investigated. The conclusions of these surveys have led to proposals to change the itineraries of some of the lines, frequencies and improvements to the bus stop location close to MetroSur stations. These proposals were presented to all stakeholders in Móstoles and many comments were received, some of them were incorporated, but, in any case, all have been answered by the CRTM technicians and commercial staff.

Different groups participated in the preparation of the questionnaires. Mainly CRTM staff, bus operating company, consultants and technicians of the municipalities served by MetroSur took part in this task. They all agreed to allocate some free space in the survey sheet to allow the respondent to highlight any aspect not covered by the questionnaire and relevant to his/her opinion according to his/her mobility needs.

Following the field work, specific counts and surveys were conducted in March 2004 for suburban buses, with the advantage that during November 2003, further field work was carried out in order to compare the before/after scenario. To provide information and receive feedback, the official CRTM website and the phone information service was used. This field work gave interesting results that coincided with the expectations of CRTM technicians. For example:

- Current bus lines lost about 30% demand when MetroSur started to work.
- The surveys also indicate that only 4% of the demand arrives at MetroSur using bus interurban lines. This means that in the beginning of MetroSur these lines were not a complementary network for the main public mode that is MetroSur.



The measures, that resulted from the participatory processes, included e.g. the adjustment of the fixed supply during the one year transition period; this measure was also brought forward to other municipalities, trying to optimise the transport system as a whole. Additionally, the surrounding area of MetroSur stations in Móstoles was redesigned with better location of stops and pedestrian accessibility.



Information campaigns

An extensive information campaign was conducted with leaflets, press, TV spots, marketing campaigns and a total of 430.000 transport maps printed for all the households in the area (around one million inhabitants), 100.000 being specifically from Móstoles,, including the new routes of lines, services and location of stops. In the meantime, a special contract (called "Contrato-Programa") was signed with the operator for one year, this timespan allocated to complete the major redesign of the bus network in the area. As transport planners know it is a continuous task that evolves with the City itself.

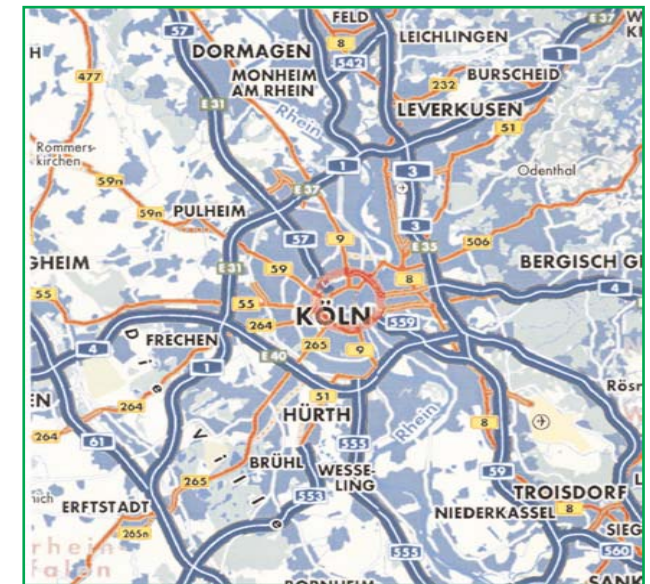
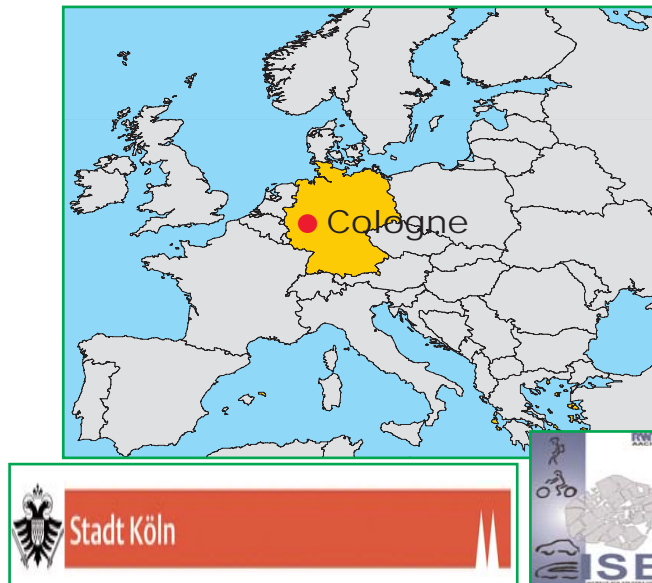


Lessons learned

- The participation spectrum has been impressively increased since the original conception of the MetroSur project (construction of the Underground Metro line as described before).
- In general, the GUIDEMAPS tools applied have improved the process and all stakeholders revealed, in an informal or formal way, their satisfaction with the way the project has been developed.
- This process, still under analysis, reflects a positive feeling from residents and users in relation to the measures adopted, following their suggestions after applying the GUIDEMAPS tools.

Cologne

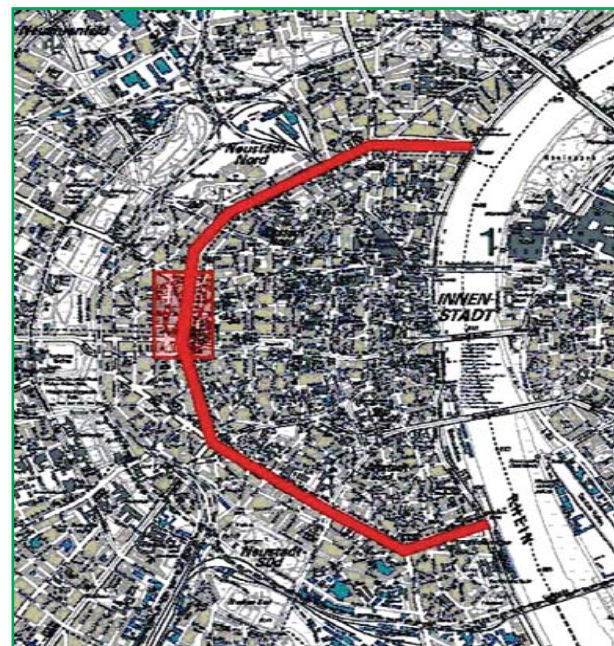
Cologne is situated in the south of the Rhine-Ruhr-area in Western Germany and has a population of about 1.000.000 inhabitants. The city of Cologne is the metropolis for the entire region of the south-western part of North-Rhine-Westphalia and covers about 405 km². The population density is quite high with 2518 inhabitants per km², and every third person in Cologne owns a car. In fact, a lot of workplaces and shopping facilities with a large catchment area around Cologne are situated in the city centre. Additionally, the Rhine river divides the urban area into two parts, so that a lot of traffic is concentrated on the main roads and bridges across the river. This causes congestion problems which have to be dealt with in terms of managing all transport modes equitably and ensuring traffic safety for all users. One of the arterial roads is the inner city ring road ("Kölner Ring") with a connecting role for the entire city of Cologne but also an important route for downtown through traffic.



Re-design of an inner city ring road with consultation of all stakeholders

Since 2001, the City Council, politicians and various stakeholders have been engaged in improving traffic safety and recreational spaces along the inner city ring road: The main objective is to re-design and re-build some parts of the inner city ring road in consultation with all of the affected stakeholders in the area. The section of the inner city ring road treated within the GUIDEMAPS project is at the boundary between the medieval part of the city and the parts of the city developed during the years of industrial expansion. Surrounding the ring section is a high-density housing area. The ring section is characterised by various shopping and leisure facilities as well as office facilities. Day and night uses differ vastly. The re-design of this inner city ring road section was required because the current situation caused several problems:

- the high traffic volumes caused security problems;
- reckless driving behaviour of a number of vehicle drivers led to conflicts and dangerous situations, even to fatalities (especially at night and on the weekends);
- the intensive use of the area by visitors and residents; and
- the high traffic volumes affecting the quality of public space.



GUIDEMAPS interests

As recognised by the City Council, a lot of different aims and interests of different stakeholders had to be dealt with during the consultation process. In the beginning, the most commonly used tools were public meetings, hearings and public announcements. However, it soon became clear that some groups or stakeholders could not be reached by those 'traditional' engagement activities. Therefore, the City Council, with support from the GUIDEMAPS project, explored two 'new' and more 'innovative' engagement tools: a 'working committee' and a 'moderated internet forum'. Questions that had to be dealt with were:

- In which ways could a working committee with various stakeholders accompany and improve the decision-making process?
- In which way could a media strategy - with specific emphasis on the internet - be implemented?
- How could a temporary moderated internet forum help to involve new stakeholders?
- What is the acceptance level of these 'innovative tools' among planners, citizens and politicians?

Decision-making process

In September 2001, the Construction and Traffic Board of the City of Cologne commissioned the Department for Road Construction and Traffic Engineering (Amt für Straßen und Verkehrstechnik) to develop plans for a temporary closure of one of the inner city ring road sections to car traffic and to launch a pilot scheme to test a temporary road closure on weekends. The process was accompanied by a new working committee representing all the stakeholders involved, such as tradesmen and residents. The experience gained from this pilot test was intended to be the basis for a permanent solution in the future.

When discussions about a temporary closure started in 2001, different interest groups of commerce and trade were opposed. They were worried about fewer customers and decreased income as well as lower attractiveness during closure times. In July 2002, the closure of the ring section during weekends started and after four months, the experiment was terminated. Regarding traffic safety and traffic flow, the results of the project were positive because the number of accidents declined and there were no negative effects on the traffic situation in the surrounding areas. On the other hand, the concept implemented showed shortcomings concerning urban design and quality, as there was almost no additional use of the carriageway and the efforts to construct and to control the closure were too high.



Engagement

The objective of the City Council was to carry out participation processes in order to achieve transparency of the planning process for the public. All the persons who were directly involved in the process and also all the people who are affected by the project were to receive ongoing information about the further course of the procedure. In doing so, a good measure of credibility and a participation culture were achieved in Cologne. Furthermore, it allowed the additional ideas of residents and shop owners to be incorporated into the plans for the re-design of the inner city ring road.

During the process, much importance was attached to the concerns, interests and needs of the various stakeholders who were affected by this project:

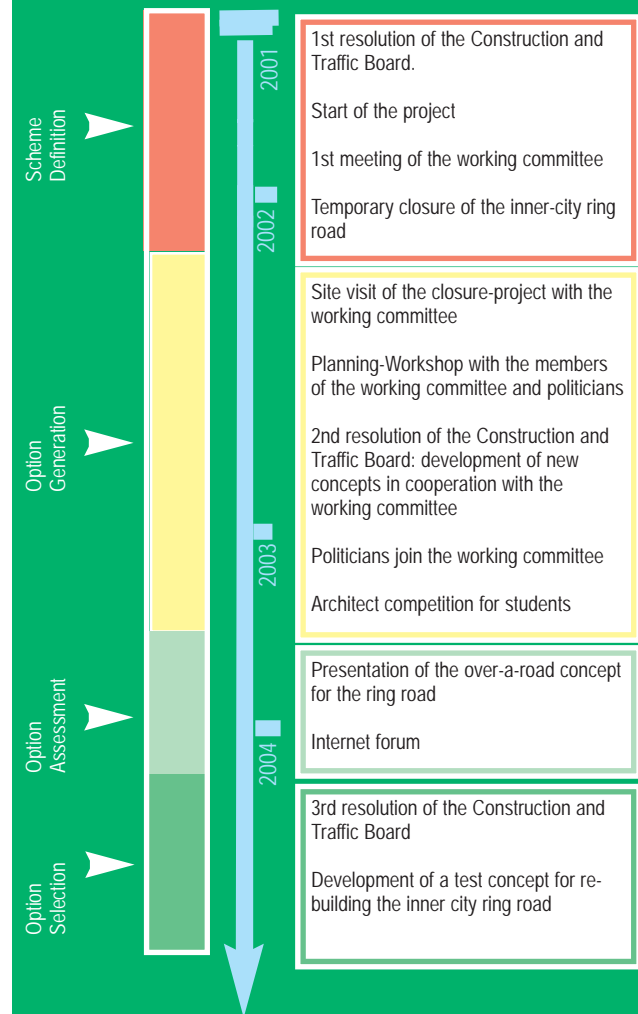
- City council;
- Regulatory administrative units (police, fire department, emergency services etc.);
- Traffic and transport authorities;
- Interest groups representing commerce and trade;
- Residents interest groups; and
- Politicians.

Tools and techniques

A working committee was set up right at the beginning when the temporary road closure was discussed. This committee aimed at representing all stakeholders involved with all their different interests. The first sessions during the temporary closure were moderated by an external moderator.

When the overall concept for the redesign of the ring-road was worked out and agreed by the working committee, the City Council decided to widen the range of participation. In order to involve additional target groups within the planning process, the City Council looked for a tool to involve more citizens and to get different views on how to re-design the road. It was decided to establish an 'innovative' tool into the process based on the internet. The internet forum was a part of a media strategy in cooperation with the local newspaper and the Department for Public Relations.

Timeline



The decision-making process for the inner city ring road in Cologne incorporated two projects "within the project". The first "subproject" was the temporary closure of a part of the inner-city ring road ("Kölner Ring") at the weekend. The process for this project was accompanied by a working committee. The second "subproject" (after the temporary closure was terminated) was the development of a new concept to re-arrange the existing road space. This step was again accompanied by the working committee. Additionally, a new tool was introduced: a moderated internet forum. This was also embedded in a comprehensive media strategy.

Legal situation

There was no legal obligation for an extensive engagement process at this stage of the planning process. Therefore, it was a "voluntary service" of the City council for the public and the stakeholders to be involved in such transport planning activities. A legally binding arrangement only applies for projects of transport planning projects which concern infrastructure investment (only for large investments), so not e.g. for measures of mobility management or traffic calming.

Local strategy

The whole process was accompanied by a working committee. It was the aim of the City Council to establish this form of participation, because a kind of trust and continuity was established during the process. However, there was no strict and predefined structure how to organise the process to ensure flexibility. In general, a lot of transport projects are accompanied by a comprehensive media strategy using different kinds of media (leaflets, meetings, press articles, local radio etc.).

Motivation

The City Council decided to widen participation in order to involve various stakeholders in the planning process. An additional tool to involve more citizens was investigated. The advantage of an internet-based tool is that people can participate independently of the time and the place of discussion. But if it is limited to merely informing citizens and stakeholders it was realised that this is not the right way to get input and new ideas from those who were not involved so far. Therefore, the possibilities for a moderated internet forum were investigated.

Feedback and Monitoring

The monitoring of the internet forum was done during its life by the moderator-team of the forum (external consultant) and by an additional online-questionnaire which was sent to registered internet forum users. Furthermore, the results and experience were discussed during a meeting of the working committee. The comments that were received from participants allowed for an improvement of future internet forums for similar projects, if applicable.



Experience

The planning department had some experience with various tools for engagement like meetings, telephone hotlines etc., but the intensive co-operation with a permanent working committee was a new approach.

There was also no specific experience with an internet forum. The department responsible for the city-website had no specific software system for internet forums. Therefore, an external consultant with appropriate knowledge in this field was assigned.

Technical support

The city of Cologne runs a self-standing website to inform people about the City of Cologne in general and also specifically about transport planning (www.stadt-koeln.de). Some technical problems concerning the integration of the internet forum's websites into the corporate design of the homepage of the City of Cologne had to be worked out but were finally solved.

Obstacles

During the starting phase of the working committee, conflicting interests had to be resolved and some agreements for discussion were made by the external moderator.

In the beginning, certain scepticism prevailed within the administration with regard to the effectiveness and the benefit of this form of participation. Furthermore, it was feared that a moderated internet forum could not become a "standard" tool for every project (due to costs, timing and the different kinds of projects).

Responsibility

The internet forum was established jointly by the City of Cologne and the Fraunhofer Institute for Autonomous Intelligent Systems (AIS). The Planning Department was involved in structuring the contents of the forum, to prepare materials and to ask technical questions during the operation of the forum.

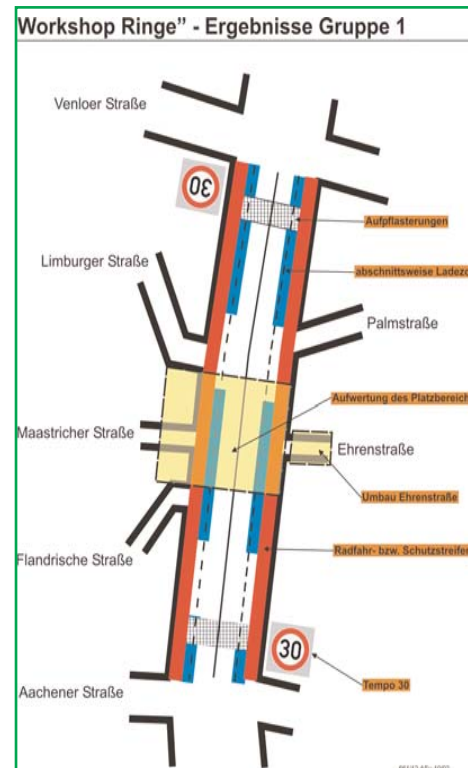
The working committee

The working committee went through a development process. When the first "subproject" (temporary closure) started in 2001, especially the different interest groups of commerce and trade (pressure group of local craftsmen (IG Ring e.V.), Chamber of Commerce, the Association of Hotels and Restaurants (Dehoga) etc.) were opposed to the temporary closure of the ring-road. They were worried about fewer customers and decreasing income and feared lower attractiveness during closure times. Before the first session of the working committee the decision of the construction and traffic board to establish the closure of the ring-road had already been taken by the City Council. No alternatives to the closure could be worked out and it was just a matter of how the closure was to be implemented. This caused some irritation and disturbed target-oriented discussions. At the start of this phase, an external moderator was involved to lead discussions and to reach an initial consensus. During several meetings, some individual members of the working committee disturbed the process because they pushed their own private interests and ignored some agreements already made. This was also one reason to broaden the group of involved persons with the internet forum at a later phase.

In the course of the project, after the closure of the ring-road was stopped, attitudes started to change: there was still opposition against closure plans, but most of the members of the working committee supported a re-design of the ring-road towards more safety and an improvement of urban development. At this phase, the meetings were moderated by the Department for Road Construction and Traffic Engineering.

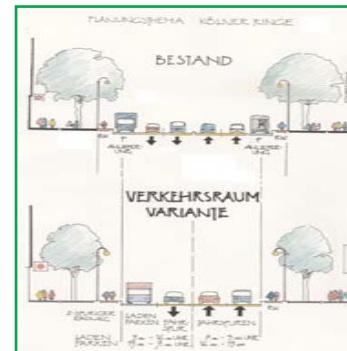
The working committee was involved in several activities in different stages of the decision-making process:

- Site visit of the temporary closure;
- Planning workshop;
- Architectural competition for students;
- Developing flyers for residents and guests;
- An opening event with an information desk;
- Advertising spot at the local cinema;
- News conference/press releases/media campaign;
- Development of a questionnaire;
- Design study for the plans for the re-building; and
- Internet forum.



A significant change in cooperation took place after the temporary closure was stopped and plans for a permanent solution had to be made. As the City of Cologne is short of money to invest in further investigations, some stakeholders of the working committee (private companies around the ring-road section) were willing to spend extra money for some draft schemes. Together with a planning expert (commissioned by the working committee), the Department of road construction and Traffic Engineering developed an overall concept. As a first step, a workshop was planned which was attended by the members of the working committee and politicians.

The results of the workshop provided a basis for a further concept of redesigning the ring section. As a second step, an Architectural competition for students was organised by the working committee, and an architect and a consultant (financed by external stakeholders) made some suggestions for design elements and décor. The results were discussed during the meetings with the entire working group and the City Council.



The moderated internet forum

Preparatory phase and marketing

The internet forum was a part of an overall media strategy of the Department of Road Construction and Traffic Engineering and the Department for Public Relations in cooperation with the local Newspapers. As the local press was ready to cooperate, it established a link between the forum and its website, it published a long article about the "redesign of the inner city ring-road" at the launch of the project, provided access to relevant articles in its press archive and reported on the forum while it was running.

At the start of the forum, a press release was published and the local newspaper reported on the forum and the project. Postcards promoting the internet forum by announcing the website were distributed twice to customers and visitors during trading hours on the relevant ring section. Additionally, postcards were given to the residents in the surrounding areas.

Technical Implementation

The aim of the moderated internet forum was to find out about the opinions of the public, based on the situation, the measures carried out so far and the draft schemes that were already developed. Their additional wishes and the identification of problems were important topics.

It was soon realised, that a moderated forum needs a continuous support from the moderator and the department in charge of the work. Therefore, a limited operating time is necessary to save costs and staff resources, and to keep the discussion alive.

The internet forum had unlimited access for everyone. In order to submit contributions, registration was necessary. This registration enabled the contributing persons to be identified and made discussions among the participants possible. Moreover, it was possible to indicate an e-mail address, which allowed for a direct information supply in the course of the participation procedure as well as direct announcements from the moderation team. During registration, the indication of one's real name was voluntarily.

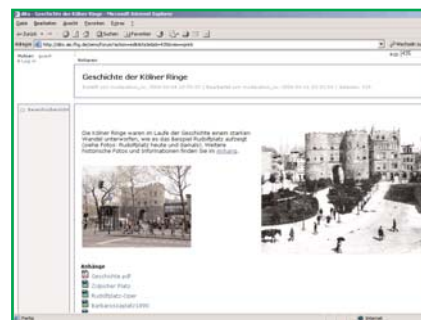
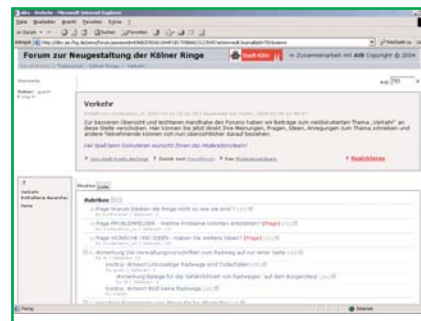


Support during run-time

The Fraunhofer Institute for Autonomous Intelligent Systems (AIS) accompanied and supervised the forum during the three-week online presentation.

During the discussion, different "sub-forums" were designed by the online-moderators to rearrange the input to specific topics and to facilitate a discussion among the forum-users. The participants could make contributions in the main forum, in the thematic sub-forums, and in the 'praise and criticism' forum. They had the choice between new topics or an answer to an existing topic. Answers that were related to the existing topic were also given, so that a whole interrelated rubric structure evolved. It was possible to mark each contribution so that a new topic, or for a pro or against argument or question could be identified immediately. Contributions were marked with the name of the author, respectively with "guest" in case the name had not been indicated. The number of times each contribution had been read was collected and listed.

Explanations from the planning authority were given in between to avoid any misunderstandings and to provide background knowledge if necessary.



Monitoring and evaluation

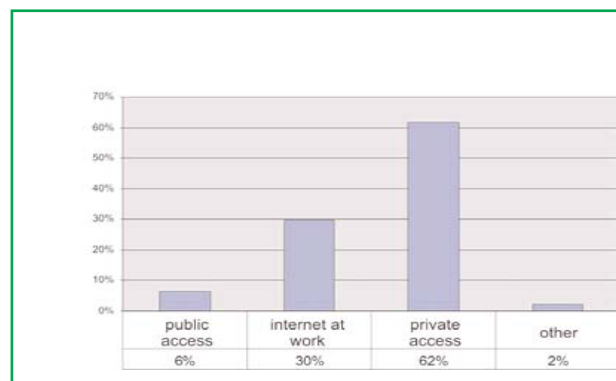
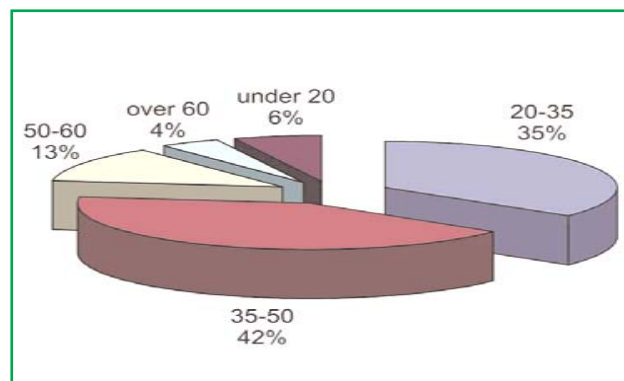
Monitoring and evaluation results are only available for the internet forum, not for the re-design of the inner city ring road, as this project is still running after the analysis by GUIDEMAPS. Before the project was involved in GUIDEMAPS, there were no specific monitoring activities. The monitoring of the internet forum was done by the moderator-team (external consultant) and the evaluation was done by an online-questionnaire. Beside many propositions in the thematic forums, a sub-forum called 'praise and criticism' has been offered to the participants to give their feed-back. The forum, which was a new form of public participation in Cologne, was judged very positively and promisingly. Before closing the internet forum, an online questionnaire was implemented and the participants were asked about their opinion of the forum. The answers show that:

- the largest group represented were between 35-50 years old (42%);
- 67 % were male participants;
- 62 % had a private internet access; and
- 80 % of the participants were not involved professionally in dealing with urban and traffic planning.

During the three-week online discussion, 112 interested citizens registered as forum participants. Of these, 71 persons wrote their own contributions and submitted them to the network. In total, 330 contributions were submitted to the forum, of which 235 came from participants and 95 came from the moderator team. All in all, there were approximately 8,000 reading hits.

An important result was that 2/3rds of the participants (65%) were not involved in the planning process so far. All in all, the internet forum was predominantly considered very positively. The structure, the information given and the dialogue facilities were - according to the participants - mostly clearly arranged. The contributions were of a high standard and quality; there was just one 'unqualified' contribution. There were helpful suggestions which will be checked by the experts and will be taken into account in the concept where applicable. And what is most notable: these 330 contributions would never have been received at the normal meeting-based engagement activities such as at public meetings, for example.

The results were also discussed at a meeting of the working committee. The first responses of the members of the working committee was reserved, as they felt that some contributions would not be relevant. For the future, it was considered to be essential to communicate the objectives and limits of the forum more clearly - both to users and politicians.



Lessons learned concerning the use of a working committee

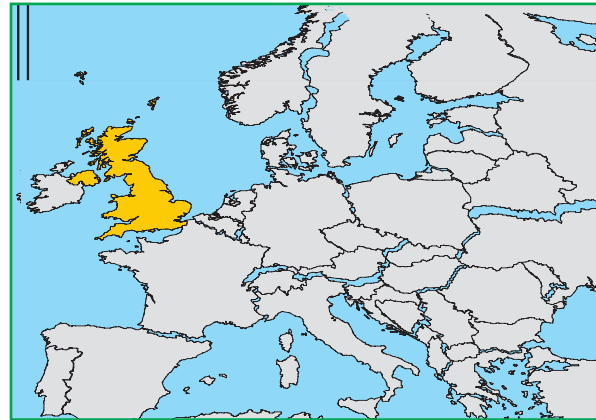
- A working committee needs some time to develop effectively, and a certain kind of trust and co-operation can be established only after some time.
- A working committee can play an active role in contributing new ideas and - in some cases - also additional funding.
- A balance between organised stakeholders, interest groups and local inhabitants is necessary, and an external moderator might be helpful sometimes.

Lessons learned concerning the use of a moderated internet forum

- The moderated internet forum was generally accepted. It was able to involve other groups in the process, who were not involved before.
- The advantage of a moderated internet forum, compared to forums which only collect and display contributions, is the benefit of having a 'real' discussion, with clearly arranged topics.
- A moderated internet forum needs a continuous support from the moderator and the department in charge of the work. Therefore, a limit on the operating time is necessary to save costs and to keep the discussion alive.
- 'Traditional' accompanying public relations represent an essential factor for success when implementing internet-based discussion and participation offers.
- A moderated internet forum should not become a 'standard' tool for every project (due to costs, timing and the different kinds of projects).

Essex

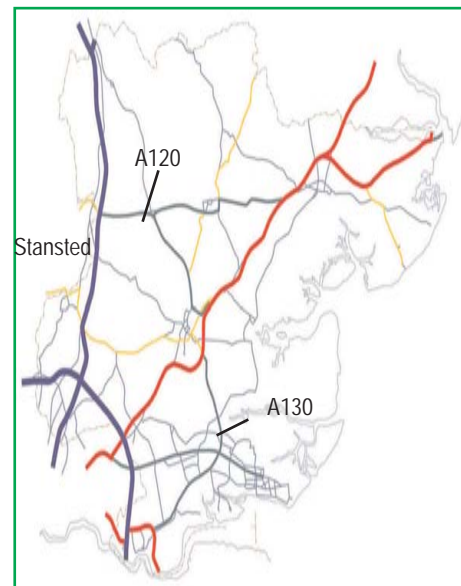
Essex is a large and diverse county of England. It contains high concentrations of industrial, commercial and housing development, alongside more rural areas. Travel patterns are influenced by the county's position on the North East border of London, proximity to the European mainland and the dispersed settlement pattern. There are twelve boroughs and districts, and two unitary authorities (Thurrock and Southend), making up a total population of over 1.6 million. Nearly half of the county's workers are employed outside the borough or district in which they live, so many people travel long distances to work.



Consultation in traffic management and promotion of sustainable transport on newly by-passed roads

The studies involve the implementation of measures along two by-passed roads, namely; A130 from Chelmsford (A12) to Basildon (A127) and A120 from Stansted to Braintree.

In the case of the A130, there had been an exhibition that moved along the whole route, showing 29 measures designed to keep traffic off the minor roads and direct it on to the new roads. These included road closures and traffic calming measures. Many of these measures were rejected by the public and local council officials. Therefore it was decided to start again with a more holistic approach looking at all modes of transport and improving the environment. A multi-disciplinary project steering committee was set up, a workshop was held with local councillors and new schemes were put together. These were taken to each village individually through representations to Parish Councils and by exhibition. For the A120 a slightly different approach was taken, having learnt from the A130. A multi-disciplinary project steering committee was set up at the start of the project. The Parish councils, District councils and local user groups were engaged to find out the problems they encountered on the route. This was followed by exhibitions to determine the public's problems.



Location of A120 and A130 bypass scheme.

GUIDEMAPs Interests

As both the A120 and A130 projects were at mid-consultation stage, a varied range of tools, methods and techniques from the handbook, were introduced to both. It was possible to test several of these between the two projects, which reside in a similar type of area.

Particularly GUIDEMAPs considered the use of techniques:

- Exhibitions (the role of materials at these events; ie exhibition boards, printed information, computer presentations, interactive games 'voting', use of graphics and photo's);
- Planning for Real activity; and
- Questionnaires (the purpose and effective results achieved from their use at different stages in the decision-making process).

Decision-Making Process

The Guidemaps handbook was used in the final stages of decision making, to consult on packages of schemes. In the case of the A130, there had already been an exhibition that moved along the whole route, showing 29 measures designed to keep traffic off the minor roads and direct it on to the new roads. These included road closures and traffic calming measures. Many of these measures were rejected by the public and local council officials. Therefore it was decided to start again with a more holistic approach looking at all modes of transport and improving the environment. A multi-disciplinary project steering committee was set up, a workshop was held with local councillors and new schemes were put together. These were taken to each village individually through representations to Parish Councils and by exhibition.

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In both cases the final decision making process was dependant on:

- The views of the multi-disciplinary project steering committee;
- The views given at the exhibition;
- Local Parish, District and County councillors; and
- The officers involved and what they thought was feasible in light of budget available, technical guidelines and practicality for delivery on the ground.

Barriers in the Decision-Making Process

Both the schemes had similar barriers to overcome, but on the A130 these were greater because of the history of the scheme, and the experiences of local people.

One of the main barriers to overcome was the difficulty of trying to implement a strategy along routes that served a number of villages. The inhabitants had different views on what was needed depending whether they lived within the village or were travelling through other villages. There was a need to get buy in for the whole strategy not just bits and pieces of it.

There were barriers to be overcome with local businesses who already saw the new road as a threat and had concerns about the way that the old road was going to be treated with the post-bypass measures.

There were financial barriers to be overcome; because the roads covered a number of villages decisions had to be made between making a big impact and with a big effect in a few key locations, or undertaking a larger number of more widespread small scale schemes.

Tools and Techniques Chosen for the Engagement Process

The following tools and techniques were used in either the A120 or A130 scheme:

- Exhibitions;
- Media Strategy;
- Printed information materials (brochures, fact sheets);
- Feature Stories (newspaper);
- Questionnaires;
- Planning for Real; and
- Interactive computer presentation.

Challenges for Essex

- A culture of dependence on the car
- Traffic Growth projected at 20% by 2011
- Congestion in urban areas
- Isolation in rural areas
- Changing behaviour and reducing the need to travel
- Gaining political and public support for decisions that will make a difference

Need for a public engagement strategy

It is necessary to:

- Change the institutional approach from consultation to public engagement
- Gain political buy-in to the process
- Vary the approaches to public engagement
- Improve skills levels of staff
- Incorporate public engagement into the whole project management process

The projects - A120 and A130

The A130 decision making process consisted exhibitions, questionnaires, involvement with the Parish Councils and key stakeholders. There was also an attempt to explain the schemes and gain political support by involving Councillors in a value management workshop. The approach for the A120 was different and lessons were learnt from the process that had taken place on the A130. These included having clear objectives from the start of the project and a multi-disciplinary steering group taking the project forward. Work was undertaken with consultants and these were hand picked for their skills in project delivery and consultation. The project did not start with a list of schemes but went to the public and stakeholders asking them for their problems.

Legal situation

The national guidelines give general indications of the types of consultation applicable to different stages of a project. If the project proposal involves new Road Traffic Regulations, there is a legal requirement to consult on these set out by the Local Authority Traffic Orders Regulations 1996. Essex County Council takes these into account, and has its own general procedures for consulting, which Essex County Council believe is necessary to obtain the views of the public.

Experience

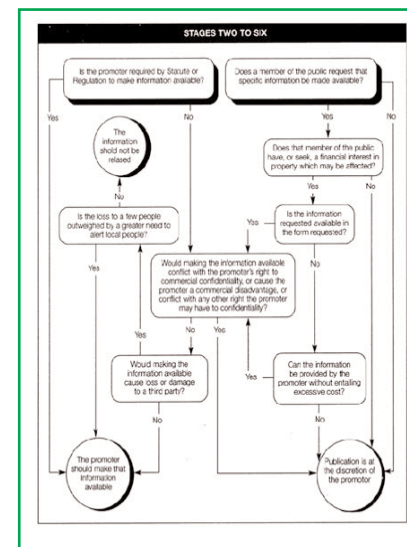
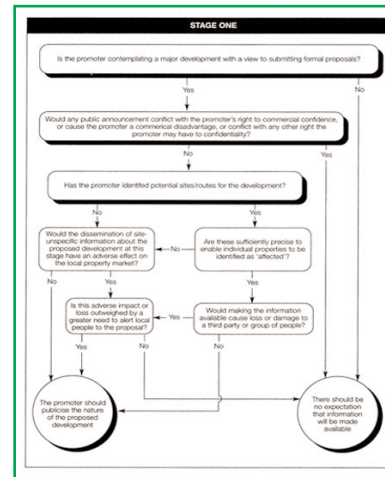
Some of the project managers lacked in experience in conducting large consultation events, therefore an external consultant was used to undertake the consultation. One of the problems they had was choosing a location along such a long route and trying to get people to attend the exhibition. Publicity is always a problem and can be very expensive. It is important to keep a cap on how you publicise the event as the consultation could end up costing as much as the scheme.

Responsibility

The project manager, employed by the County Council, is responsible for the engagement strategy. This promotes a good sense of ownership of the participation process. However, in some ways, this can be limiting as a project manager has a limited amount of money and time in which to consult, as the greatest pressure is to deliver the project on the ground. The County Council has a graphics and communications department for small scale projects and hires a private consultant for large scale marketing.

Technical support

The technical and financial resources available for this project consist of a graphics and reprographics department. The graphics section did the artwork for posters, leaflets, booklets, etc, although some of the larger jobs are contracted-out. The reprographic department can make copies of less complex material, but more complex material is contracted out. The main software programme used is Microsoft Project.



Local strategy

Essex County Council have undertaken a wide variety of tools and methods, including stakeholder workshops, seminars, public exhibitions, workshops, leaflet dissemination, road shows, Planning For Real, Parish Council meetings, individual meetings with representatives, correspondence by letter and telephone hotlines...etc. Essex County Council aimed to find out the aspirations and expectations of the residents, so they could build on the information given.

Motivation

When the normal flow of daily life is potentially to be interrupted, the public may become unsettled, uncertain and anxious over possible loss. The main benefits are to inform and reassure the public - particularly those directly affected. They need to understand what the problems are, and on many occasions the public are instrumental in helping to choose between proposed options, or to make alterations to improve a proposed scheme.

Obstacles

Generally consultation is supported within the County Council. However, there is some cynicism that NIMBYism will prevail and the consultation is unlikely to come up with innovative ideas.

Feedback and monitoring

The public participation part of the A120 Post Construction Bypass project consisted of two public exhibitions. The results and feedback from the first exhibition was presented at the start of the second exhibition. The feedback from the second exhibition will be presented by letter as details of those who participated were noted.

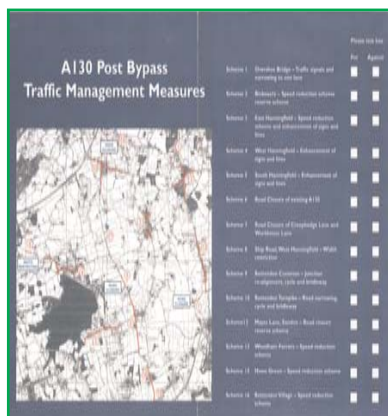
Introduction - A130

Consultation with members and villagers began in 1999, with subsequent gap in the process until 2001, during which time the philosophy of the scheme changed from being primarily one of traffic management to improving the environment and promote alternative transport. This scheme adopted a traditional consultation technique, such as a public exhibition and community newsletter.

Exhibition 1 and 2

The first exhibition was designed to highlight the need for traffic calming measures along the bypass A120. The purpose of the second exhibition was to present detailed technical schemes for local stakeholder comment. Participants were asked to complete a questionnaire. An information leaflet was prepared to outline the measures in the draft proposals. It provided background information, and was presented using photographs to illustrate what each measure looked like.

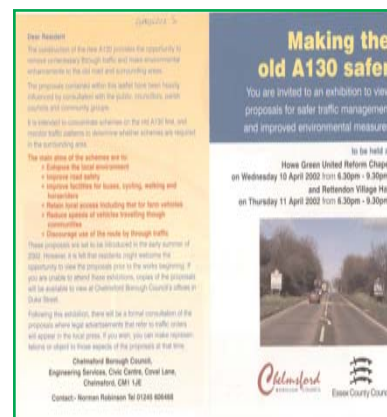
Questionnaire used
in Exhibition 1



Exhibition 3

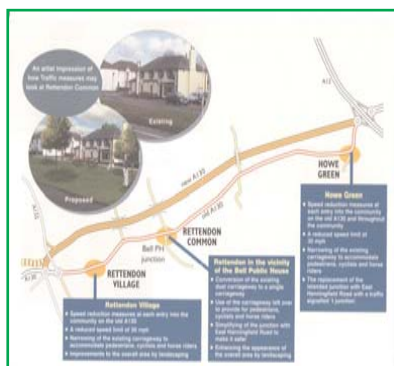
This exhibition used a leaflet to advertise the upcoming event, but also provided information on the proposed measures to be introduced. This event was an information giving activity, as participants were encouraged to make comments. Instead, the exhibition was used to inform local stakeholders of the next steps of the scheme, and to notify them of a forthcoming, statutory consultation, prior to the commencement of building works.

Fact Sheet used
in Exhibition 3

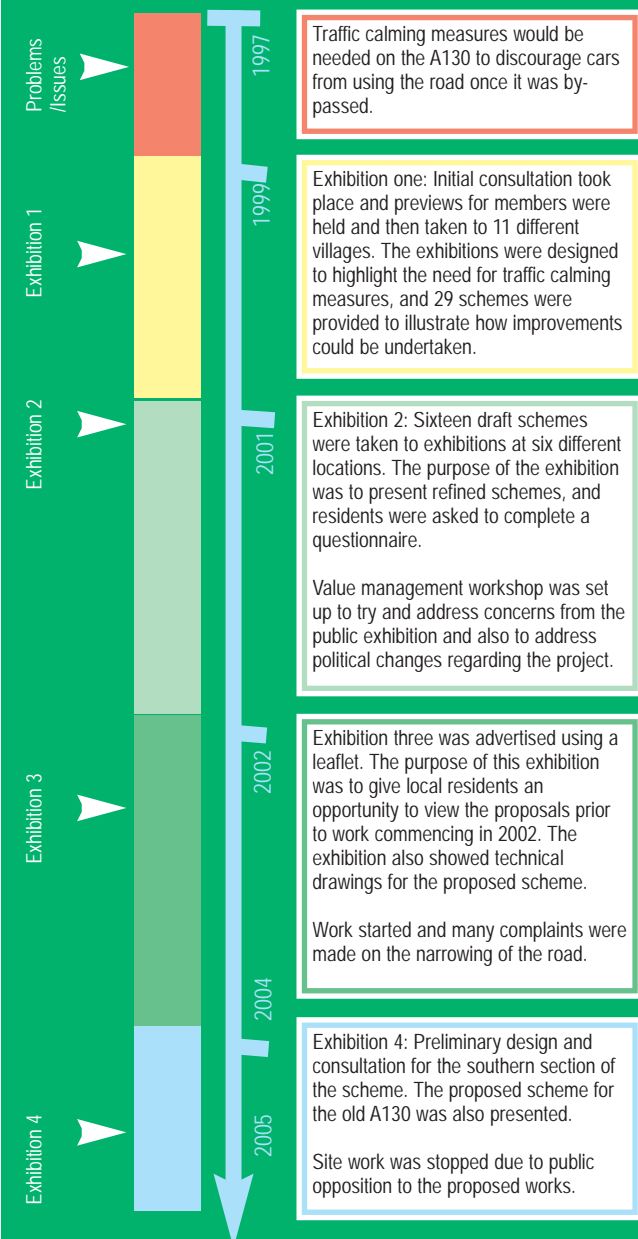


Exhibition 4

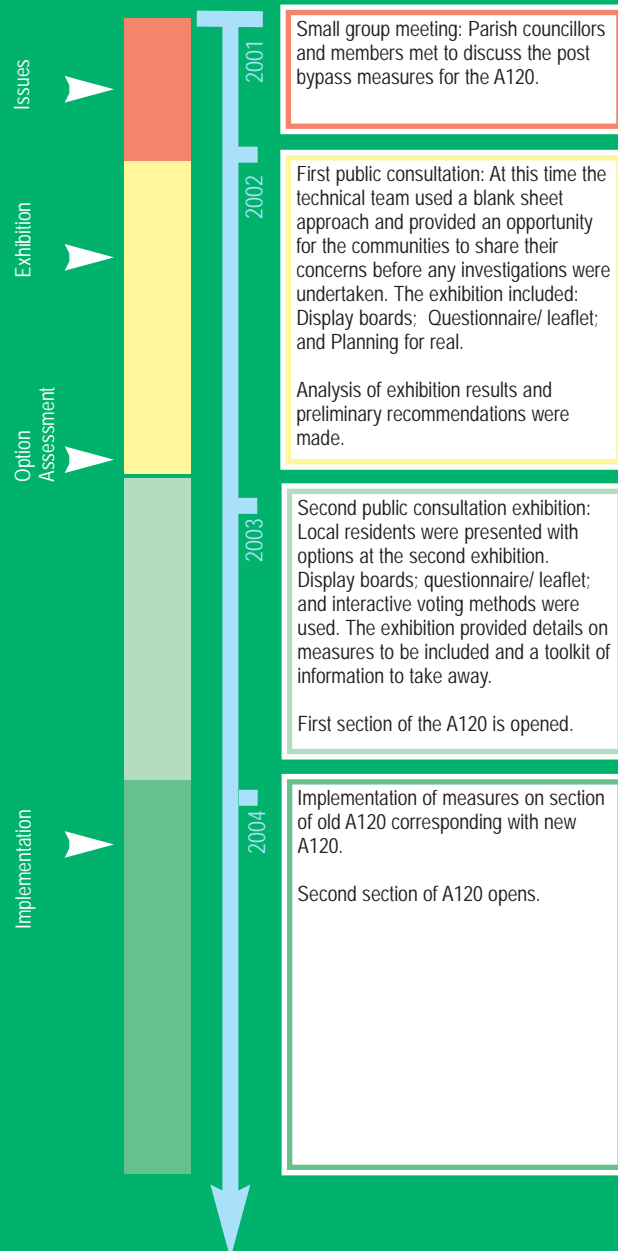
The purpose of the fourth exhibition was to inform local stakeholders of the proposed stage two measures for the old A130. The main modification to the questionnaire technique was to enable respondents to indicate their strength of support or opposition to each proposal (i.e. strongly support, support, do not mind, object, strongly object). What the technical team had learnt from the previous consultation process was that they needed to have residents not only provide an indication of their strength of view, but also to provide comments explaining why they 'object' or 'strongly object' to particular proposals. By introducing these additional options into the questionnaire, the technical team were then able to make a clearer judgement on how strongly the local community felt about certain measures.



Timeline A130



Timeline A120



Introduction A120

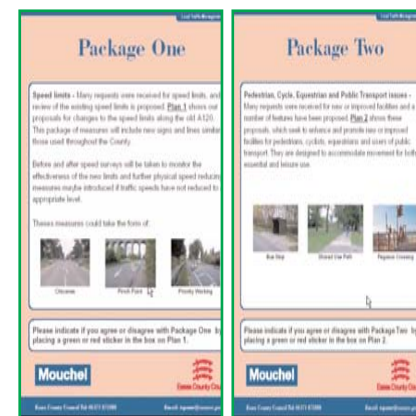
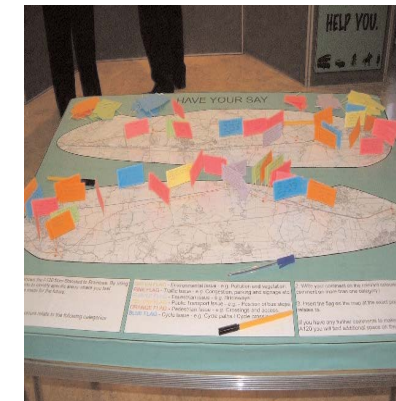
The consultation approach taken to the A130 was different and lessons learnt from the scheme differed. These included having clearer objectives from the start of the multi-disciplinary steering group taking the project forward. The project did not start with a list of schemes, but rather went to the public and stakeholders asking them to identify problems and issues in their local area.

Questionnaire

A leaflet/questionnaire was used in support of the exhibition. The questionnaire contained an introduction explaining why views from local stakeholders were being sought. The purpose of the questionnaire was to seek views on the types of measures local stakeholders 'liked' or 'disliked', and to find out the key areas of concern. The respondents were also asked to rank, in priority order, their top three concerns.

Interactive exhibition 2

Participants were asked to express their opinions rather than complete a questionnaire. The potential measures were displayed using two separate packages of measures, where attendees had a right to vote on which package they preferred. If individuals did not like certain aspects of a package, they were asked to fill out a comments page. A handout of the boards was given to each attendee, to think about the packages at home.



Exhibition boards

The exhibition boards provided information and allowed stakeholders to provide feedback about their concerns and preferred engineering measures. No proposals were displayed as the intention was to engage the participants in helping identify issues and concerns. Information regarding current conditions and engineering solutions were displayed on separate boards.

Planning for real

Planning for real encourages involvement and interaction which helps participants locate their concerns and issues directly on a large scale map. Stakeholders illustrated particular problems at locally specific points.

Stakeholders found it difficult to visualise the effect of a reduction in traffic flow, so a parametric model was used to show current conditions and predicted results.

Top: Exhibition board; Middle: Planning for real; Bottom: The two packages of possible measures.

Monitoring and evaluation

Questionnaire about schemes

In order to gain people's views on the A130 a questionnaire was provided which listed 10 questions. The first 8 asked about people's specific views on each element of the scheme. There was one question on the acceptability of the overall package and a final question asking whether people would prefer one very expensive measure – the provision of footway instead of the package of smaller scale measures proposed.

Members of the public were also given the opportunity to make specific comments and opportunity to contact officers by phone for more information

Questionnaire about consultation methods

The similar nature of the two schemes provided a unique opportunity to compare how people reacted to different methods of consultation, which they preferred and the way they were used. This assessment was carried out through an exit questionnaire asking specifically about the effectiveness of the consultation and methods used. One location for exhibition on the A130 was studied in detail and three on the A120.

Conclusions and lessons learnt

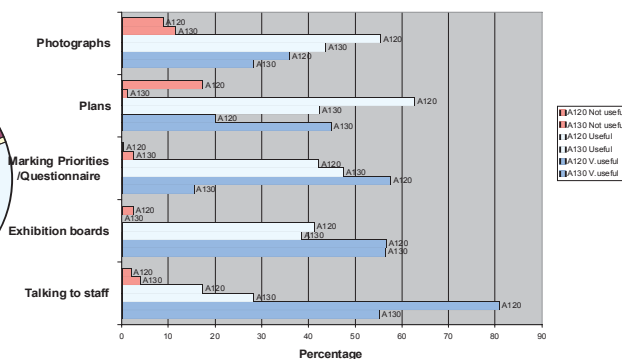
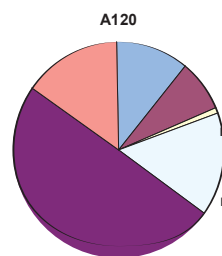
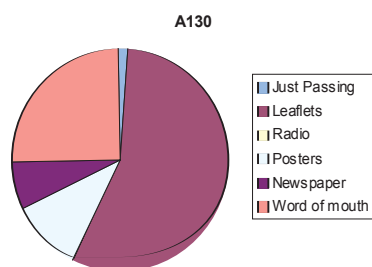
Certain key things have been learnt from this project. The main one was that the more interactive the consultation the more engaged the public feel and the more likely they are to have felt that they have played a part in decision making.

When implementing a package of measures there can be barriers to overcome in terms of the public wanting to pick and choose certain measures thus destroying the overall strategy. Using a general voting system such as the sticker system on the A120 is a good way to get overall buy in while still giving people the freedom to comments on specific aspects of the package though a comments sheet.

Advertising should be suited to the location and type of schemes. On small scale local schemes such as these, local advertising through leaflets, local papers and posters is more appropriate than radio advertising which is too wide-spread to reach your local audience. Word of mouth is very important too.

The location of an exhibition can be the biggest barrier to people in terms of non-attendance and there is likely to be a larger number and greater diversity of attendees at venues that are centrally located and where more than one activity is going on.

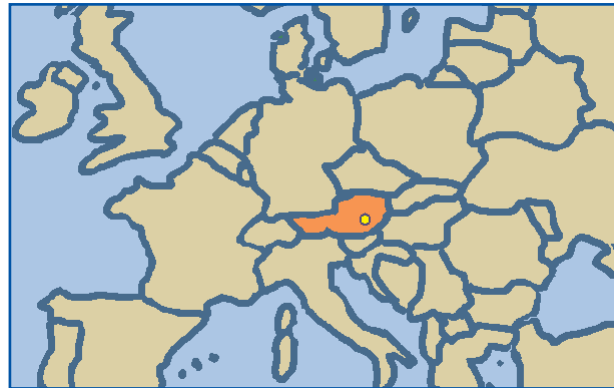
Talking to staff at an exhibition is very popular, and although it may be tempting to save time and money not staffing exhibitions it is likely that the quality of the responses will not be as great. This is especially true where computer simulations, are used as these were found to be unsuccessful unless there was someone next to them explaining them.



Graz

With 230,000 inhabitants, Graz is Austria's second largest city, covering an area of 130km². It is the capital of the province of Styria, and a focal point for south-east Europe. It is an important economic, administrative and educational centre for the south east of Austria. Each day, 70,000 people commute into Graz, many to work in the car industry or administration. The city is also home to three universities and a technical college.

As in other cities around Europe, traffic policy after World War II was oriented towards cars, and traffic increased dramatically. However, the problems are very noticeable, since Graz is surrounded on three sides by mountains which trap air pollution. The historic city centre, on the UNESCO World Heritage List, is also unsuitable for cars. Consequently, the environmental movement in the 1970s attracted comparatively strong attention in Graz, and first attempts were made towards adopting a policy of 'soft mobility'.



Stadt GRAZ Stadtvermessung



Slowing traffic in a historic city

In September 1992, a city-wide speed limit was introduced of 50kph on main roads and 30kph on all side streets.

The proposals caused a great deal of controversy and were given extensive media coverage. The project leaders ran a campaign before, during and after the introduction to explain the desirability of the scheme. Individual 30kph zones were already well accepted in Graz, but they highlighted the advantages of having a city-wide regulation compared to single zones: greater fairness and comprehensibility, as well as cost savings and less adverse effects on the street scene due to there being no need for accompanying structural measures.

The scheme was strongly supported by a project champion, in the form of the deputy mayor of Graz. Particularly after its introduction the scheme won strong and steady public support. The trial scheme was made permanent in August 1994, with the votes of many of the former opponents. It was the first city-wide speed limit in Europe, and has since been copied in several smaller towns.



The scheme logo.

GUIDEMAPS interests

Exceptional traffic problems, strong political support, firm leadership and skillful marketing helped this scheme overcome fierce opposition.

In Graz, GUIDEMAPS explored:

- The commitment of the deputy mayor, who acted as a project champion in favour of the concept of soft mobility;
- How initial political opposition was overcome; and
- How the project leaders gained strong and steady public acceptance of the scheme by a skillful management, including the systematic management of information.

Decision-making process

From 1986-1988, a few 30kph zones were introduced in residential areas, as a result of public demand. The city councillor for Planning (subsequent deputy mayor) realised a city-wide scheme would be more practical and beneficial. At first he faced strong opposition, including from those within his own party.

But in the elections in 1988 he won an additional mandate, despite running a very unconventional campaign with a strong focus on "soft mobility". This unexpected success strengthened his position and he became deputy mayor. He then also became head of both the Town Planning and the Road Construction unit at the city council, allowing him to smooth the bureaucratic process. He was also able to convince the mayor of, the benefits of his proposal. This was necessary to win votes in the city council.

The deputy mayor set up a discussion circle of key decision-makers, and held regular meetings. They tackled all relevant issues, step by step, such as the legality of the scheme, designing signs to warn drivers, and marketing activities. Independent experts carried out accompanying analyses before and after the schemes introduction. The results provided the factual basis for the marketing campaign and contributed to the growth in public and political support.



Informing drivers of the speed limits.

Engagement

There was no formal consultation process in Graz, as this was not as usual in Austria in 1990 as it would be today. Instead, the emphasis was on providing information both for the politicians and officials involved, and for the public. At the institutional level, the scheme was hotly debated. The project leaders made intensive efforts to win over opponents by explaining why the scheme was suitable and necessary. The extensive media coverage of this debate opened the issue up and brought it to the attention of the public. The city council also commissioned a professional marketing campaign, carried out by a graphic artist, with two major elements:

- Raising awareness of the problem at an early stage; and
- Informing drivers of the new regulations, at the time of their introduction.

Public opinion fluctuated. It particularly decreased in the month prior to the schemes introduction, due to a massive negative campaign, but increased again as quickly once the scheme was introduced and demonstrated its success. In the long run, public opinion settled down into broad acceptance. Today, the 30/50 kph scheme is a positive element of identification for the citizens of Graz.

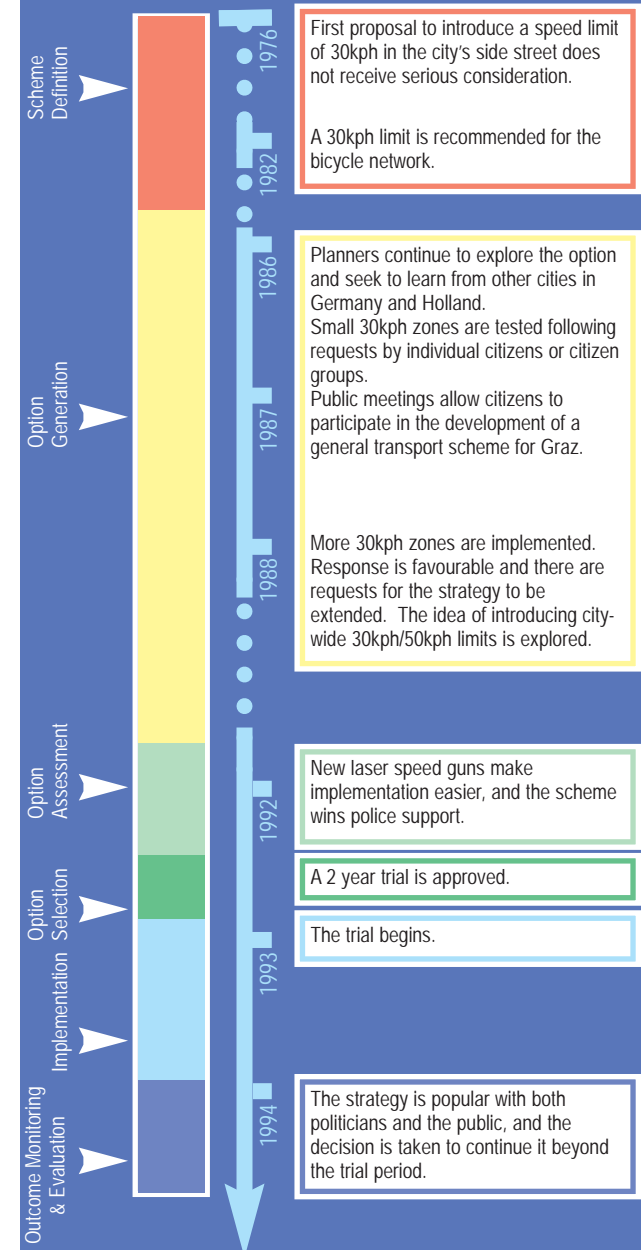
Tools and techniques

The two key tools were:

- Strong project management, driven by a project champion. The main success factor was the discussion circle, which foresaw problems and decided how to tackle them.
- A professional marketing campaign, run throughout the decision-making process, including a period after the schemes introduction.

Retrospectively we can see that the media coverage was particularly effective in shaping public opinion, but it was also strongly influenced by the project champion. Both tools were indispensable. The Graz scheme broke new ground, in terms of legal, technical and social issues, so strong leadership was essential. The support of the majority of the city council was indispensable for its introduction, and public opinion was an important issue for both supporters and opponents.

Timeline



Overcoming barriers

Communication

- ✗ Increasing opposition was encountered before implementation.
- ✓ The experienced marketing expert in the period anticipated increasing uncertainty in the run up to scheme implementation and diffused the issue in the press. The staying power of the initiators was rewarded, as acceptance increased immediately after implementation.

Institutional

- ✗ There was considerable opposition within all parties of the city council and also from other interest groups.
- ✓ The cross-party cooperation between the mayor and the deputy mayor helped to win majority support within their parties. Subsequently, the other interest groups could also be convinced with clear arguments.

Legal

- ✗ The Austrian Road Traffic Act was unclear regarding the general speed limit.
- ✓ The project was started as a 2-year trial. Within this time the Austrian Road Traffic Act was amended, in order to allow the regulation.

Management

- ✗ Due to the new nature of the measure, the management was confronted with several problems and uncertainties, which also served as counter-arguments for opponents.
- ✓ A strong and effective management team was established, including the key decision-makers and experts in all necessary subjects. They dealt with all these problems and solved them in due course.
- ✓ The combining of key competences, in the person of the project champion, ensured a smooth implementation of decisions taken by the management.

Project champion →

The project champion - the deputy mayor of Graz - was the initiator of the project, the driving force behind it, and its public face. There were two main strands to his work: the communication element, and the technical side.

The communication strategy for the project involved winning political and public support. The deputy mayor formed a partnership with the mayor, even though they were from different parties. Together, they were able to push the project forward. The deputy mayor was however, more active. He also played a key role in the marketing campaign directed at the public and in coordinating the technical elements, such as categorising the streets and carrying out analyses. He became the head of both the Planning and the Road Construction units, ensuring that they worked smoothly together.

Experience showed:

- It is important to have a 'public face' for a campaign - preferably a politician.
- Having a 'project champion' also helped overcome bureaucratic barriers.

Marketing strategy →

It was beyond question that a project of this dimension needs professional marketing. So the project leaders consulted a marketing expert specialising in transport policy, and employed a graphic artist. The campaign consisted of two phases:

- A motivation phase, to raise awareness of the existing traffic problems and to increase acceptance of the proposed speed limit,
- An information phase, to explain the new rules to car drivers.

The communication process was, however, not limited to the formal campaign. More than that, the skillful handling of the media helped to win over the public. The project champion deliberately initiated a controversial debate, since breaking new ground in transport policy requires a lot of discussion to enable a learning process to take place. There was also an opposition campaign in the period just before the scheme was being introduced, which won a lot of support at first. However, the project leaders had expected this, and it died down once the benefits of the measures became clear.

Institutional marketing →

For the scheme to go ahead, it needed the support of a majority on the city council. Therefore, the project leaders worked to convince politicians in the city council and other interest groups of the benefits of the proposals. The project champion was the key figure, with support from the mayor. At first, they faced considerable opposition from all parties represented on the city council, and from other groups such as the police, the Chamber of Commerce and the unions.

According to their respective audiences, the deputy mayor and the mayor used different arguments. The former focused on the technical issues, such as accidents, noise levels, exhaust fumes etc. The mayor concentrated on social values, highlighting the benefits for vulnerable users.

They broke new ground in cross-party cooperation. Despite being a member of the People's Party, the deputy mayor accompanied the mayor to a trade union congress. Similarly, the mayor spoke at the Chamber of Commerce - an unusual act for a Socialist Party member. They were not able to change people's minds immediately. But they were respected and succeeded in terms of reducing the level of emotional rejection and initiating an objective reflection of the issue. The remaining opponents were pushed into a defensive rather than attacking role.

See Also:

Institutional/legal/financial barriers → 

Elected officials → 

Special interest groups → 



Enforcing the new regulations.

Preparing for project management → 📄

The project management aims were to coordinate the entire decision-making process; and, to anticipate and overcome barriers such as legal, technical and financial problems at the appropriate time.

The deputy mayor was in a position to be a strong leader. He was head of the People's Party, and had the support of the leader of the Socialist Party. He was also the head of both key departments in the city council - Planning and Road Construction. This meant he could not only get political decisions made, he could also ensure they were put into practice quickly.

The project managers organised themselves by means of a discussion circle. It included the key decision makers and experts of all the necessary subjects such as law, city planning, road construction, transport, and marketing. All of them were carefully chosen and motivated supporters of the scheme. The main issues they considered were:

- The legal questions surrounding the proposals;
- The categorisation of the street network into priority and side streets as a precondition for the city-wide regulation;
- Accompanying technical analyses and social surveys before, during and after introduction; and
- The co-ordination of marketing activities.



They held regular meetings, when they dealt with all relevant questions and foreseeable problems, step-by-step. Graz was breaking new ground with its proposed speed limit, raising legal, technical and social doubts. So project managers had to anticipate them and find solutions, or at least be ready to react. They could not learn much from looking at other cities, so had to conduct a lot of specific surveys.

The project management was successful in all areas. The deputy mayor and the discussion circle were crucial to this. The project showed that:

- A skilled project champion and strong management can achieve a great deal;
- Sometimes transport projects have to be prepared to act as legal test cases; and
- Thorough research is needed to overcome opposition. For the research to be credible, it must be carried out by external experts.

See Also:

Overcoming barriers → 📄



Above and left: Publicising the speed restrictions.

Key lessons

Decision process

- Make sure the problem to be addressed is clearly defined and visible.
- Even unpleasant (e.g. restrictive) measures may be accepted, if you can stimulate a factual reflection and give people time to think.
- Establish a strong project management, in order to provide objectivity and certainty to politicians and other groups involved in the process.
- Include the key decision makers actively in the management team, so that decisions taken by the management can be quickly and effectively realised.
- Ensure that there is strong and constant political support for the measures.
- Commission independent experts to carry out analyses. These should provide important facts to back up your arguments.

Participation and communication

- Get professionals to market any large-scale project.
- Be aware of the differences between marketing campaigns for commercial purposes, and those for transport schemes.
- Make sure the messages are convincingly argued, and confirmed by sound analyses.
- Consider the role of the media in your marketing plan. They are usually more effective in shaping opinions than a formal campaign can be.

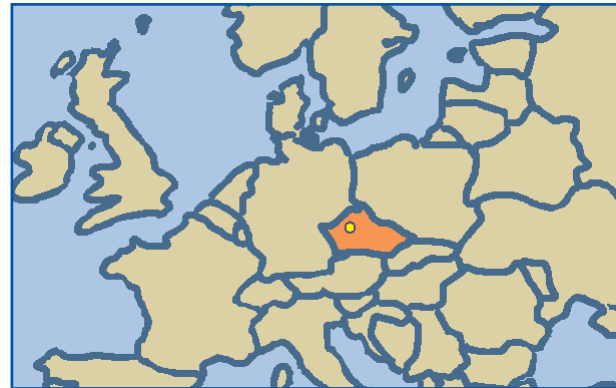
Tools and fact sheets used in this Practice Example

| | | |
|-------------|--|-----|
| Tools | Project champion | → ✖ |
| | Marketing strategy | → ✖ |
| | Preparing for project management | → ✖ |
| | Overcoming barriers | → ✖ |
| Fact sheets | Institutional marketing | → 📄 |
| | Institutional/legal/financial barriers | → 📄 |
| | Elected Officials | → 📄 |
| | Special interest groups | → 📄 |

Prague

Prague is the largest city in the Czech Republic, with a population of 1.2m and an area of 500km². As well as being the country's political capital, it is an economic and industrial centre. Prague is also one of the major European cultural centres, with a number of theatres, museums, galleries and exhibition halls. Its historical core is on the UNESCO World Heritage List, and attracts some 3m tourists each year.

About 770,000 jobs are located in the city. Prague also has strong links with the surrounding region of central Bohemia, which has a population of 500,000. It is a significant European transport hub, for road and rail, and has an international airport.



Developing park and ride schemes

GUIDEMAPS looked at the development of a Park and Ride scheme in Prague as part of the city's integrated public transport system. This involved building new car parks next to public transport stops.

The aim was to reduce the number of parked cars in the city centre, cut the amount of traffic heading in and out of the centre, and increase the use of public transport.

The first car park was built in 1997 and 11 others followed. Together, they have 1,400 parking spaces. All have the following attributes: they are less than five minutes away from a public transport stop; they have good connections to the road network; they are adapted for disabled drivers; they are fenced and guarded; they have public transport ticket machines; they cost 0.3 Euros per day; they are open from 4am to 1am.

More are planned.



Above and right: The Park and Ride car parks in operation.

GUIDEMAPS interests

The Prague practice example illustrated a project involving a range of institutions, state and local authorities and other participants. In Prague, GUIDEMAPS explored:

- How the different participants communicated;
- How suitable locations for the car parks were found;
- How the new system was implemented; and
- Whether the public was involved in the process.



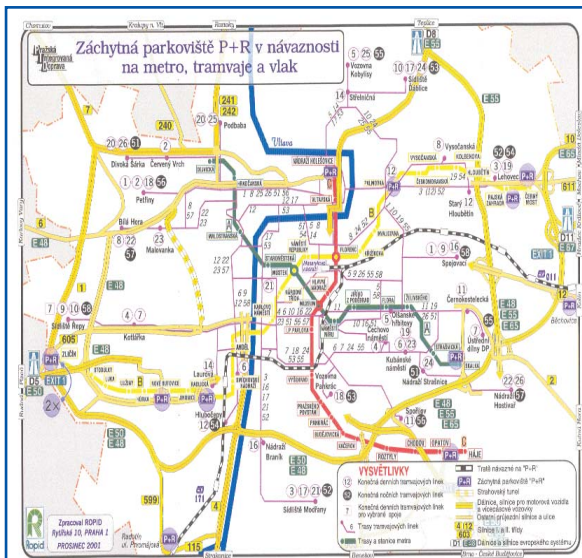
Decision-making process

The idea for a Park and Ride System was first put forward in 1974 by the Institute of Transport Engineering (UDI). However, lack of finances and other problems meant little happened until 1989.

The UDI then worked with the Institute of City Development (URM) on a study of potential locations for the car parks. The creation of an integrated public transport system in 1991 gave impetus to the project.

The turning point came in 1996, when the URM and the UDI worked together on formulating the Principles of Prague Transport Policy. This included a plan for a Park and Ride scheme. It was ratified by the Board of Representatives in the same year. The UDI consulted various municipality bodies on the best locations for the car parks, and commissioned several experts studies from a consultancy.

All the major players were part of the municipality of Prague. Their position in the decision-making process is defined by law. Most were involved in consultations about the locations for the proposed car parks.



Map showing the locations of the Park and Ride car parks.

Engagement

Key players from the municipality of Prague included:

- Board of Representatives, which ratified the transport policy;
- UDI, the Institute of Transportation Engineering, the project leader;
- URM, the Institute of City Development, which worked closely with UDI;
- The Transport Department of the Prague Municipality;
- TSK, the Technical Road Service, which was responsible for implementing and operating the Park and Ride scheme;
- ROPID, the regional organiser of Prague's integrated transport system (founded in 1993), which commented on the location of the proposed car parks; and
- DP, the public transport operator which provided ticket machines.

Others included:

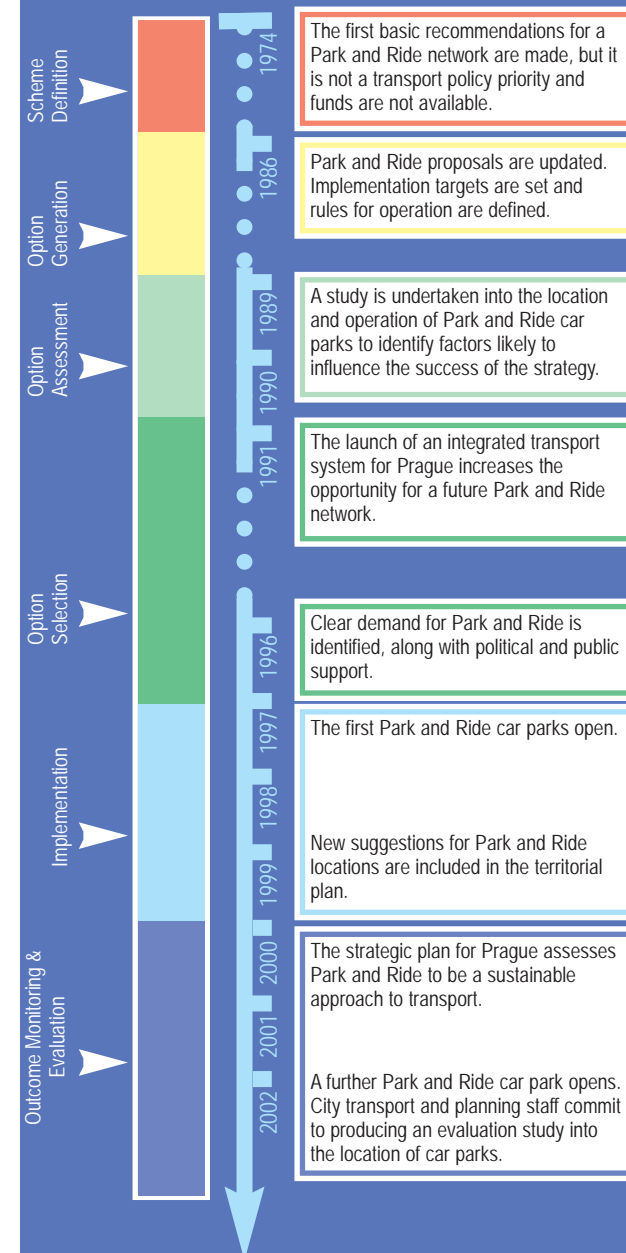
- PRO CONSULT, a private company which carried out studies to decide the locations of the car parks;
- Other local authorities; and
- Oziveni, a non-governmental organisation for cycling, which successfully asked for cycle racks to be installed at the car parks.

Tools and techniques

The project leaders held a public meeting at which individuals had the right to make comments.

Despite the lack of wider participation, the project was regarded as successful.

Timeline



Overcoming barriers

Communication

- ☒ The municipal authorities were unwilling to allow public participation.
- ☒ Personal contacts were valuable.

Institutional

- ☒ There was a lack of coordination between the institutions involved.
- ☒ This improved as political enthusiasm grew for the park and ride schemes to be successful.

Legal

- ☒ Property law presented an obstacle to the scheme.
- ☒ The severity of the traffic problem increased political willingness to seek solutions to such barriers.

Special interest groups →

All the authorities involved in the Prague Park and Ride scheme agreed they did not need much involvement of the public. They felt they had the expertise necessary to develop the scheme without such input. They limited the level of participation to the minimum required by law. This meant announcing where the new car parks would be and what changes would be required to the urban plan.

The Institute of City Development prepared the amendments to the urban plan, and the Institute of Transport Engineering carried out the transport and social studies. Only one outside organisation wanted to contribute: Oziveni, a cycling group. They wanted bicycle stands at the car parks, which was agreed.

Members of the public had the right to comment on the scheme for 30 days after it was announced, but nobody did. Therefore, the scheme could be put into practice quickly.

Such an approach only works in countries and on projects where there is little public interest or opposition. There is a risk that project leaders can misjudge interest levels, and face unexpected opposition.

Outcome monitoring and evaluation →

The roles of each department are determined by existing municipality regulations and by the relevant laws. The Institute of Transport Engineering and the Institute of City Development suggest locations for the car parks. The Department for Town Planning incorporates the locations into the urban plan. The Technical Road Service Organisation monitors and operates the sites.

The approach has worked in general. However, some of the car parks are not well located, and are poorly used. These have been opened up, at standard prices, for residents' parking.

See also:

Communication barriers →

Overcoming barriers →

The development of the Prague Park and Ride scheme took a long time to realise. The idea first came up in 1974, but was not realistic until the public transport system was integrated in 1991. The first Park and Ride car park did not open until 1997.

Most delays were caused by property issues. Most of the suitable locations for the car parks were in commercial areas, and therefore not available. One solution currently being investigated is to get private companies to run the sites. The Czech Government is also considering a new law to make it easier to nationalise certain plots of land, which would help projects like this.

Another problem is posed by the financial situation. As the cost to car drivers of using the car parks will be very low, they are not commercial ventures. They get a €1m subsidy from the City of Prague every year, but this is not enough to expand the scheme. One solution involves renting out part of the car parks for residents' parking.



Above and on facing page: Publicity materials produced for the Prague Park and Ride scheme.

Engagement strategy →

The decision-making process for the Prague Park and Ride scheme was 'top down'. The main aim was to provide about 11,000 parking spaces by the year 2010, and convince politicians and the public of the need for the scheme.

At the 'top' was the Board of Representatives of the City of Prague. It ratified the Principles of the Prague Transport Policy in 1996. This document was drawn up by the Institute of Transport Engineering, and showed a clear demand for a Park and Ride scheme. It also recommended where the car parks should be.

The document also outlined which City of Prague departments would carry out what tasks. It allocated roles to several: the Institute of City Development, the Institute of Transport Engineering, the Technical Road Service Organisation, the Regional Organiser of Prague's Integrated Transport System, and the Public Transport Provider. Various local authorities were also involved. The role each partner played was also governed by national laws.

At the beginning of 2003, the capacity of the Park and Ride car parks was about 1,400. Overall the project is seen as successful, and has broad support from the public and politicians.

Vážení občané, motoristé,

dovoluje si Vás upozornit na nové otevřené záchytné parkoviště **P+R u železniční stanice Praha-Běchovice**. Jedná se v pořadí již o dvanácté parkoviště tohoto typu a druhé parkoviště, kde je návazná doprava ve směru do centra Prahy zabezpečována příměstskou železniční dopravou Českých drah. **Řidiči se do centra Prahy na Masarykovo nádraží dostanou za 17 minut**. Parkoviště má kapacitu 100 míst a je umístěno při komunikaci Českokobrodská naproti železniční stanici Praha-Běchovice. Parkoviště má obvyklé standardy záchytných parkovišť na území hl. m. Prahy. Parkoviště **je hlídáno 24 hodin** a otevřené od 4.00 hodin do 1.00 hodiny následujícího dne.

Odjezdy vlaků v pracovní dny:

- ze žst. Praha-Běchovice ve směru Praha Masarykovo nádraží

04:40 05:10 05:40 06:10 06:20 06:40 07:10 07:40 08:20 08:40 09:15
10:10 11:40 12:40 13:40 14:40 15:10 15:40 16:10 16:40 17:20 17:40
18:40 19:10 19:40 20:40 21:40 22:40 23:33*

(*spoj nejede přes žst. Praha Masarykovo nádraží a končí v žst. Praha hlavní nádraží)

- ze žst. Praha Masarykovo nádraží ve směru Praha-Běchovice

04:00 04:30 05:00 05:30 06:00 06:30 07:00 07:30 08:30 09:30 10:30
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(*spoj jede z žst. Praha hlavní nádraží a nejede přes žst. Praha Masarykovo nádraží)

Ceny parkovného a ceny jízdného v souvislosti s parkováním na parkovištích P+R:

a) **cena za parkování** poskytované na parkovištích P+R zapojených do systému Pražské integrované dopravy platná v den poskytnutí služby do ukončení denního provozu parkoviště **10,- Kč**

b) **přestupní zpáteční placenná jízdenka** v souvislosti s parkováním na parkovištích systému P+R **20,- Kč**

Použití jízdenky je omezeno na den zakoupení (parkování) do ukončení denního provozu parkoviště. Platnost jízdenky pro cestu z Běchovic je 60 minut od označení. **Jízdenku je třeba označit v označovací umístěném v nádražní hale železniční stanice Praha-Běchovice**. Pro cestu zpět do Běchovic je platnost jízdenky shodná, od 20.00 hod. se prodlužuje na 90 minut (v sobotu a neděli je platnost 90 minut celodenně). Jízdenku je třeba označit na opačném konci.

c) **Jednodenní jízdenka platná** v souvislosti s parkováním na parkovištích systému P+R v den zakoupení do ukončení denního provozu **50,- Kč**

Platnost jízdenky je omezena na den zakoupení (parkování) do ukončení denního provozu parkoviště. Jízdenka se neoznačuje. **Jízdenky z parkoviště P+R platí pouze na území hl.m. Prahy** (v pásmech 'P' + 'O'). Držiteli předplatní časové jízdenky MHD Praha platí pouze parkovné. Spoluzjezdci mohou při cestě do centra Prahy použít přestupní jízdenky pro jednotlivou jízdu v ceně **12,- Kč** s platností 60 min. od označení (v pracovní dny od 20.00 hodin do 5.00 a v sobotu a neděli celodenně je platnost 90 minut). Je možné také využít krátkodobou časovou jízdenku s platností 24 hodin v ceně **70,- Kč**. Tyto jízdenky je rovněž nutno před nástupem do vlaku označit.

Ve vlacích ČD neplatí nepřestupní jízdenky pro jednotlivou jízdu v ceně 8,- Kč.

Upozorňujeme, že jízdenky v souvislosti s parkováním na parkovištích P+R a krátkodobé časové jízdenky (např. 24hodinová) platí ve vlacích ČD jen na území hl.m. Prahy a pouze na tratích Praha hl.n. - Praha-Radotín, Praha hl.n. - Praha-Kolovraty a Praha Masarykovo nádraží - Praha-Klánovice.

Nové záchytné parkoviště P+R Praha Běchovice v provozu od 1. 2. 2002



Provoz na záchytném parkovišti P+R se řídí jeho provozním řádem.



Regionální organizátor Pražské integrované dopravy
Rytiřská 10, Praha 1
02/2422 9414, 2423 2478
www.ropid.cz

Leden 2002

Key lessons

Decision process

- Make sure you involve all the necessary departments.
- Be sure to have political support for your project.
- Commission research to give your scheme credibility and ensure it meets customer needs.
- Make sure your project fits policy objectives.

Participation and communication

- Give feedback to all those who contribute. Some of the organisations which commented on the Prague scheme got no reaction.
- Take the views of non-governmental organisations into account.

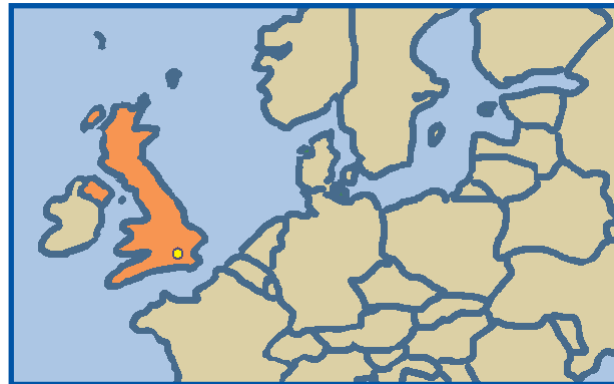
Tools and fact sheets used in this Practice Example

| | | |
|-------------|-----------------------------------|---|
| Tools | Outcome monitoring and evaluation | → |
| | Overcoming barriers | → |
| | Engagement strategy | → |
| Fact sheets | Special interest groups | → |
| | Communication barriers | → |

Guildford

The county of Surrey, which borders southwest London, has a population of 1.1m and covers 1,670km². It is the most densely populated county in the UK and has relatively severe traffic problems caused by high car dependency. This situation has, until recently, been intensified by strong economic growth.

The historic city of Guildford is in the west of the county and has a population of 60,000. It is an important county centre for business, shopping and tourism.

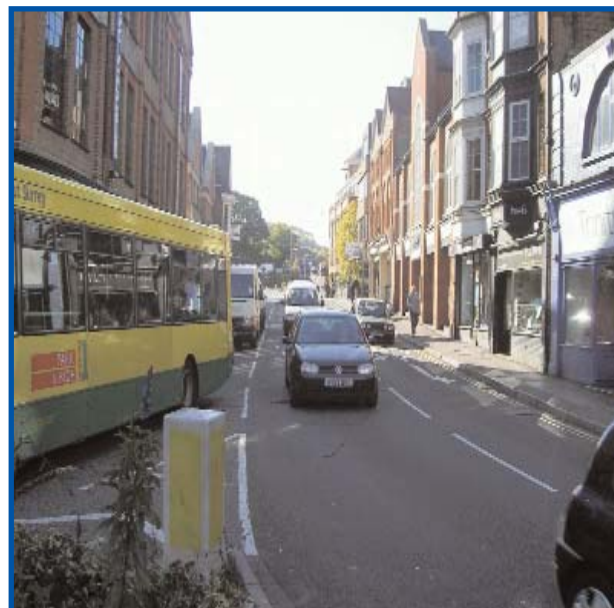


Overcoming opposition

GUIDEMAPS looked at transport planning in Guildford following the setbacks to the implementation of the Guildford Movement Package in 1998/9. This had been caused by local and political opposition to plans to close one side of Bridge Street to private vehicles and create a one-way system on the other side.

The failure of this important element of the scheme led to the county and borough councils to find ways of solving transport problems with public support. A project was launched with consultants, Eco-Logica, to involve relevant people in interactive forms of participation and build support for mobility management measures. It was followed by the Transport Consultative Forum, which met between September 1999 and March 2001. Participants discussed transport issues, and gave the council feedback on its draft Local Transport Plan.

Alongside the consultation processes, planners redesigned some Movement Package measures. They decided to introduce bus priority measures gradually. The councils also began working on travel plans with private companies.



Bridge Street, Guildford.

GUIDEMAPS interests

The Guildford practice example shows how local authorities can learn valuable lessons from setbacks.

In Guildford, GUIDEMAPS explored:

- What had prevented the Bridge Street scheme from being carried out;
- How to use consultation to overcome obstacles;
- The impact of the Eco-Logica engagement project and the Transport Consultative Forum; and
- What prevents policy makers acting on the preferences expressed by those consulted.

Decision-making process

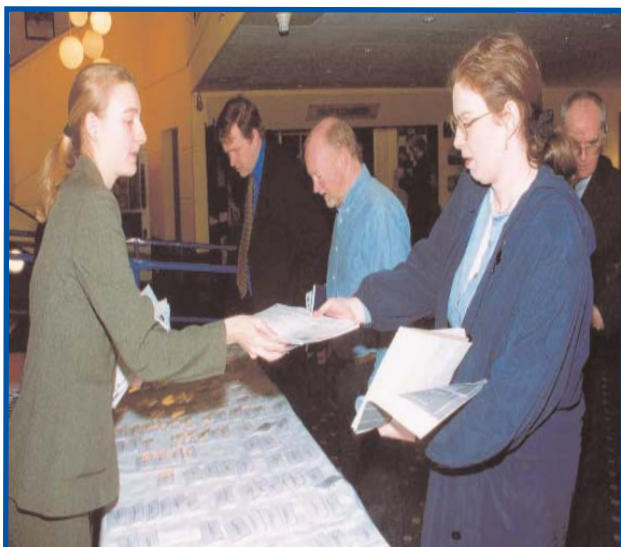
Following the failure of the Bridge Street scheme, Surrey County Council and Guildford Borough Council decided to rethink their strategy. Surrey County Council commissioned Eco-Logica to consult members of the public about a new transport policy.

This six-month study was followed by a longer term Transport Consultative Forum, set up by Surrey County Council. Among its tasks was to give feedback on the draft Local Transport Plan (LTP).

Decisions about the LTP were made by a Joint Task Force of officers and councillors from both councils, and ratified by the Guildford Partnership Area Transportation Sub-Committee, made up of councillors. The plan incorporated some suggestions from the Forum.

They decided to introduce bus lanes, starting on the edge of Guildford where there was less opposition, and begin work on a revised scheme for Bridge Street.

Officers from both councils then began working with employers at the Guildford Business Park on Travel Plans (TP). However, the plans could not be implemented, as a business downturn caused some of the companies to reduce staff numbers or leave the park.



Consultation in Surrey.

Engagement

Key players included:

- A Joint Task Group, including officers and councillors from both Surrey County Council and Guildford Borough Council;
- The Guildford Partnership Area Transportation Sub-Committee, made up of county and district councillors;
- The consultants, Eco-Logica; and
- Businesses involved in the travel plans.

Neither the councils nor central government were directly involved in the practice example. The people involved in the consultation processes could be described as the 'great and the good of Guildford'. They included representatives from businesses, the public transport operators, environmental groups and schools. The Transport Consultative Forum was chaired by a local clergyman. Officers from both councils attended, and offered advice.

Tools and techniques

The Eco-Logica engagement project was in two phases:

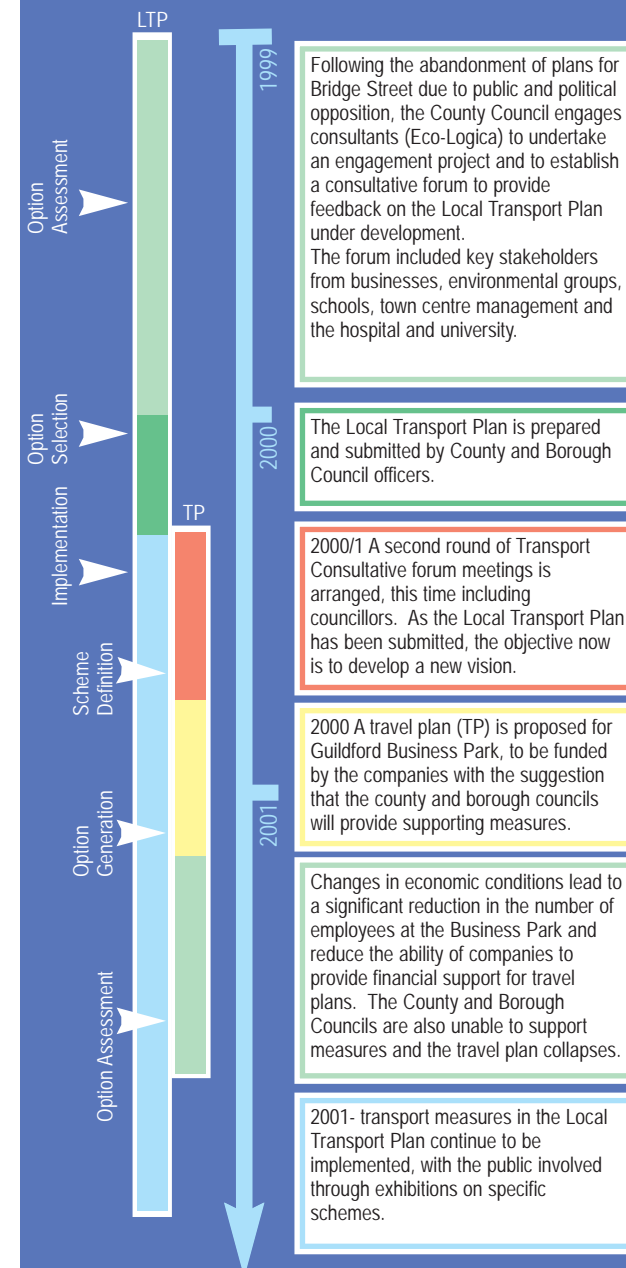
- Phase One: meetings with councillors, businesses etc. Two public meetings. Interim report.
- Phase Two: Revisiting the above groups, further discussions.

The Transport Consultative Forum involved:

- Open meetings.
- First round of meetings: five between September 1999 and March 2000. Visioning exercises and feedback on LTP. No councillors allowed.
- Second round of meetings: five between September 2000 and March 2001. Visioning exercises. Councillors allowed after some complained. Interest waned gradually, and the chairman resigned.

Both projects are thought to have helped widen acceptance of bus priority measures and to have developed new ideas. The Eco-Logica project in particular was well-regarded by participants, and seen as cost-effective by officers. Participants in both processes criticised the council for failing to act on their suggestions.

Timeline



Overcoming barriers

Communication

- ✗ Press obtained a confidential report and presented it out of context.
- ✗ The community forum was perceived to be unrepresentative and to lack focus. It was particularly criticised by local politicians who were excluded from the process.
- ✓ There was sufficient positive feedback to allow the forum to continue despite the criticism.
- ✗ It was difficult to reach a consensus on the scheme.
- ✓ The involvement of Eco-Logica facilitated agreement on mobility management measures.

Financial \$ €

- ✗ Difficulties for some companies to commit funds and lack of support by decision makers.
- ✓ The role of Eco-Logica raised the profile of the scheme as an environmental issue, making it easier for companies to justify the commitment of funds.

Institutional

- ✗ Suggestions from the forum were not fully incorporated in the Local Transport Plan, which was largely based on the existing proposal.
- ✓ The plan did make reference to the forum, demonstrating a move in the right direction.

Tools and fact sheets used in this Practice Example

| | | |
|-------------|--------------------------------------|---|
| Tools | Managing stakeholder involvement | →  |
| | Engaging large groups | →  |
| | Printed public information materials | →  |
| | Overcoming barriers | →  |
| Fact sheets | External consultant | →  |
| | Public meetings | →  |
| | Managing the engagement process | →  |
| | Managing resources: costs | →  |
| | Elected officials | →  |

Managing stakeholder involvement →

Initially, project managers wanted to put the Bridge Street scheme into place in 1998/99, followed by other measures from the Guildford Movement Package. The scheme involved closing one lane of a gyratory system to traffic other than buses and bicycles, and making the other three lanes one way. The Guildford Movement Package included bus priority measures.

A copy of the plans were leaked to the media and the local newspaper published an article on the Bridge Street scheme, this took it out of context and failed to explain it was only at the draft stage. The resulting opposition derailed the plans, and councillors decided to redesign them.

Experience showed the importance of:

- Consulting at all stages of planning to limit opposition;
- Assigning responsibility among officers and councillors to control potentially controversial plans;
- Integrating projects with wider policies; and
- Evaluating projects and past experiences.

Engaging large groups →

The forum was established by Surrey County Council for consultation on the forthcoming Local Transport Plan. Project leaders hoped to reach consensus on transport options for Guildford wherever possible.

Members of environmental and business groups, transport operators and local individuals were invited to join. A local clergyman, seen as independent, chaired the forum. Surrey County Council and Guildford Borough Council officers sat in and offered advice. Councillors were excluded during the first year, but were allowed to attend as observers in the second year after some complained.

The forum helped improve acceptance of bus lanes in Guildford. However, some members were unhappy with the failure of Surrey County Council to build on the goodwill and ideas generated.

See also:

External consultant
Public meeting



Managing the engagement process →

The aim of the intensive consultation project was to build on the work of the Guildford Movement Package, and try to identify consensus around key transport issues and measures. Project managers wanted to involve as broad a range of people as possible in genuinely interactive consultations.

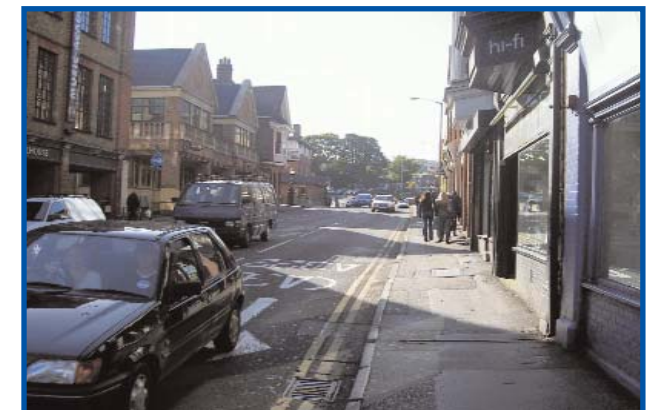
With the help of Eco-Logica, they held a six-month intensive consultation period consisting of two phases. Phase 1 involved a round of meetings with councillors, environmental groups, businesses and public transport operators, plus two **public meetings** and written correspondence. Phase 2 involved revisiting many of the interest groups to explain the findings of Phase 1.

Overall, the approach was well received. It helped create momentum for change and develop new ideas. It was also seen as cost-effective. However, there was some criticism that Surrey County Council did not take the suggestions fully into account.

The technique could be used in a variety of situations. It enables local authorities to enter into a dialogue with people, and not just ask them to choose between options. The authority must be ready to build on the goodwill created.

See also:

Managing resources: costs
Printed public information materials



Bridge Street, Guildford.

Overcoming barriers →✘

To prevent a repeat of the failure of the Bridge Street scheme, Surrey County Council officers wanted to reach a broad consensus about the way forward in Guildford. They started a consultation process on the Local Transport Plan and the Movement Package measures.

Council officers, with the support of councillors, commissioned a six-month project to consult key stakeholders. The aim was to identify key issues, and find ways of reaching agreements. Officers also set up a Transport Consultative Forum to consider the Local Transport Plan.

Some of those involved complained that they did not get as much out of the process as they had put in. However, new ideas did arise from the consultation process, as did a new mood of optimism about transport planning in Guildford. In particular, the approach is believed to have helped gain public acceptance of bus lanes.

The approach is readily transferable to other transport projects, as well as other sectors.

Managers need to:

- Take a more proactive approach;
- Adapt decision-making procedures to take into account higher-risk measures (such as mobility management);
- Look further into the future when making decisions; and
- Try to ensure the same people from the organisation remain involved with projects throughout.

See also:

Engagement strategy

Elected officials

Opponents



Consultation in Surrey.

Key lessons

Decision process

- Introduce measures gradually, starting with the least controversial.
- Time the consultation process so that measures can be carried out soon afterwards.
- Be flexible with financing - the gains outweigh the risks.
- Be prepared to take the lead role if the project seems to be losing momentum. The travel plan project collapsed when businesses were affected by an economic downturn, but might have been saved by action from officers.
- Don't underestimate the cultural change required within your organisation if you are going to actively engage with the public.

Participation and consultation

- Give participants in the consultation processes plenty of information, and give them time to respond.
- An independent chairperson can help to ensure that all views are considered.
- Try to involve as many representatives of the wider community as possible.
- Set out clear aims, and define the scope of the consultation process.
- Decide in advance whether or not councillors should attend.
- Decide in advance whether results should be made public or kept confidential.
- Give the people involved progress reports after the end of the consultation process, even if just to report delays.
- Make sure you build on any goodwill and ideas resulting from consultation.

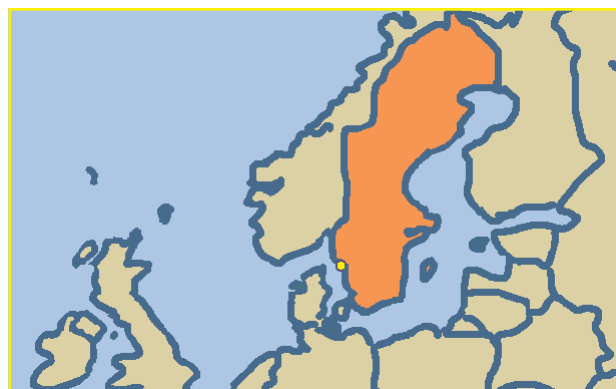
Tools and fact sheets used in this Practice Example

See Page Before for the Tools and Fact Sheets Associated with this Practice Example

Göteborg

Göteborg, on Sweden's west coast, has 471,000 inhabitants, making it the second largest city in the country. It is also Sweden's foremost port city, a centre for commerce and industry, and a seat of local government. Its archipelago of 100 islands makes it a prime tourist destination.

The organisation of the City of Göteborg is undergoing a series of changes. The City's elected representatives are working to maintain standards of quality which the inhabitants of Göteborg expect and to which they are entitled. The main purpose of the reform is to improve the efficiency of the organisation and to strengthen the inhabitants' influence on the City's undertakings.



Above and below: Locations for the Lundby car sharing scheme.



Encouraging car sharing

GUIDEMAPS explored the "Vision Lundby" project, which tested sustainable transport systems in an area of Göteborg undergoing regeneration.

Lundby is the old shipbuilding area of the city, which became run-down after the decline of the industry. Once redeveloped, it will be home to 50,000 people compared with 32,000 previously. The redevelopment allows for a balance between new homes, new schools and colleges, and new work places, including the IT Centre of Western Sweden. In short, it will be a new city in the centre of Göteborg.

Consequently, traffic on the bridges over the River Göta between Lundby and the city centre is already growing. "Vision Lundby" was made up of several smaller projects looking into issues such as "green travel cards" and a bicycle pool. Its highest-profile scheme was a car sharing project, which was the focus of GUIDEMAPS research.

"Vision Lundby" aimed to get new projects and ideas started. It is up to the partners involved to decide which to continue in the longer term.



Above: Lundby Mobility Centre. Below: The car sharing scheme.



GUIDEMAPS interests

In Göteborg, GUIDEMAPS explored:

- Best practice for creating cooperation between local authorities;
- How to support car sharing schemes;
- How to inform the public and get them involved; and
- How to apply lessons learnt to other parts of Göteborg and other cities

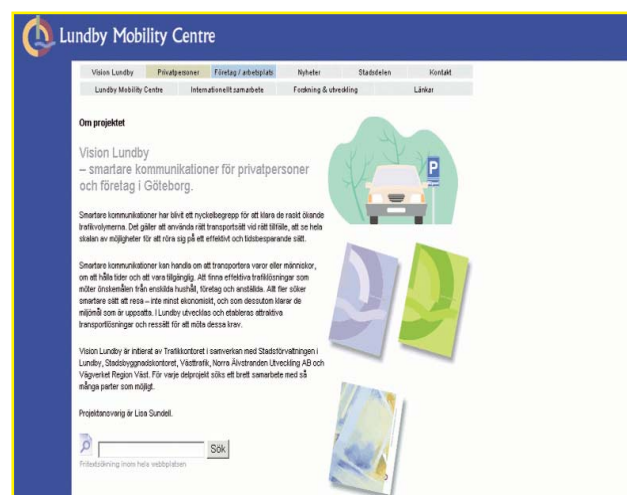
Decision-making process

Impressed by new thoughts regarding mobility management, achieved from Göteborg's TARGET I project participation, the manager of the local environmental administration made the proposal for the "Vision Lundby" project to the Traffic and Public Transport Authority. Five partners formed a project group, and set up several smaller schemes.

A survey showed that 840 households in Lundby were interested in car sharing, so the National Road Administration sponsored a project manager for a car share scheme. She developed a project plan, and gathered information from other schemes.

As "Vision Lundby" was set up to test ideas, the project leaders adopted an informal decision process. The car share project manager's role was to talk to the public and develop their comments into project ideas. She discussed these with the "Vision Lundby" project manager, who decided whether they should go ahead.

The car share scheme project manager had a great deal of freedom to make her own decisions, so long as she kept within budget and made short reports to the National Road Administration and "Vision Lundby".



The Lundby Mobility Centre. website:
www.visionlundby.goteborg.se

Engagement

Public participation was crucial to the car share scheme, and the project manager's role was to involve as many people as possible. Other participants in the car share scheme included:

- The Lundby Vision steering group: Göteborg Traffic and Public Transport Authority; Lundby District Administration; City Planning Authority; the regional public transport operator; the development company in charge of the Lundby regeneration project;
- The National Road Administration, which sponsored the car share scheme project manager and was a member of the steering group;
- Car share operators, which provided information and other forms of help;
- Housing associations, which helped distribute information among residents; and
- Community associations, which provided venues for meetings.

Communication was deliberately kept informal between project partners. Ideas were discussed in brief phone calls, and the project manager prepared short reports for the National Road Administration and the "Vision Lundby" project manager.

Tools and techniques

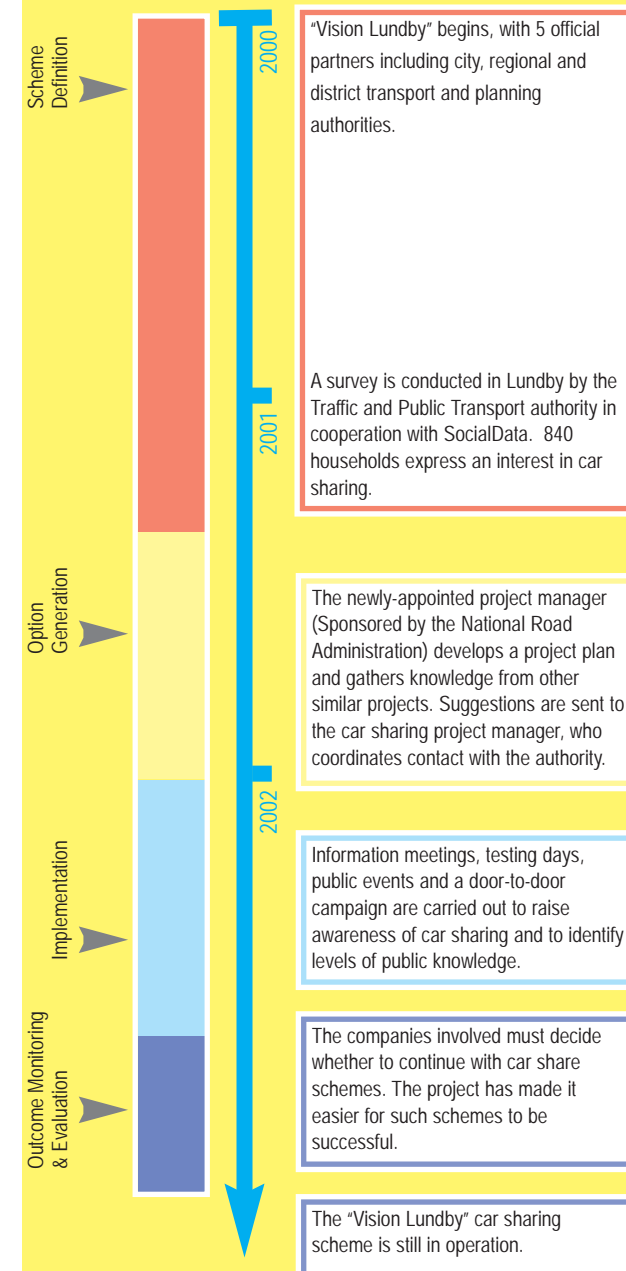
One of the aims of "Vision Lundby" was to test new methods of getting people involved. A variety of techniques were used.

Perhaps the most successful was a series of evening meetings with the car share operators. The project manager invited all those households which had stated in the original survey that they were interested in car sharing schemes. After a hesitant start, the numbers attending rose dramatically.

Other methods included test days, where people could find out how simple the car share system was to use.

The project manager also set up information booths at shopping centres and the football stadium, and simply knocked on doors to talk to households.

Timeline



Overcoming barriers

Communication

- ✗ It was difficult to persuade people to become involved and to maintain interest, given the delay between the survey and the first information meetings.
- ✓ A continuous information strategy could have countered this. Car sharing is most successful in areas where the idea is already familiar.

Management

- ✗ Project organisation was unstructured and there was limited power to enforce change.
- ✓ Introducing a project manager with good communication skills helped to motivate the project team and gain political support.

Institutional

- ✗ Collaboration between departments is not common practice, and it was necessary to adapt traditional methods to facilitate this.
- ✓ The project manager encouraged an un-bureaucratic approach which allowed decisions to be taken quickly.

Legal

- ✗ Existing parking legislation did not allow for special provision for carpools.
- ✓ Securing political support was important. A preliminary solution has been reached, but new parking standards must still be developed.

Project monitoring → ✗

The National Road Administration was one of the sponsors who contributed to the project manager's salary and wanted to monitor the project to see if it was successful in recruiting more members.

The **project manager** was required to draw up regular, fairly informal reports for the National Road Administration. Whenever she tested out a new method, or held a meeting, she drew up a summary for the National Road Administration and the Göteborg Traffic and Public Transport Authority.

The informal approach was seen as sufficient for a 'soft' project, but should not be applied to larger initiatives. There was also some criticism that, as the project had no specific goals, it was difficult to assess its effectiveness.

See also:

Management barriers
Individualised marketing



Engagement strategy → ✗

The project aimed to find innovative ways of making people aware of alternatives to car ownership, and to test out new methods of distributing information.

The methods most widely used were: evening **public meetings**, where car share operators answered questions from the public; knocking on doors to talk to householders about the schemes; test days, to demonstrate to people how convenient car share is; and information stands in public places, such as the local shopping centre and the football stadium. The project manager's excellent communication skills were key to the success of the project.

Meetings were a very effective method. They allowed organisers to distribute information, and made the scheme visible.

Closer cooperation is needed with transport operators and authorities in the future. The campaign was not effective in areas with a high proportion of elderly people.

See also:

Key person interviews
Information events



Overcoming barriers → ✗

The term 'car share' is not defined in Swedish law. In practical terms, that means there can be no provision of parking space for car share vehicles. The project managers looked for an interim solution to this problem at the local level, and considered long-term solutions to be applied nationally.

A Lundby housing association has provided a few spaces for car share vehicles, as this increases the appeal of the district. However, if the car share scheme grows and takes on more vehicles, the problem will arise again. A change in the law is needed for a long-term national solution. Lawyers are currently working on the issue, but progress is slow.

Legal issues can pose major barriers to projects. Innovative projects can lead to outdated laws being overturned, but changing the law takes a great deal of time. So it is important to have an alternative solution ready.

Surveying individuals → ✗

In order to recruit more members to the car share scheme, the project manager and an assistant knocked on doors to speak to householders. They tried to contact 199 homes over a period of two weeks.

They offered residents three brochures: an information leaflet, a map showing the location of the two car share vehicles, and the project manager's business card. They made two attempts to reach each household, and in the end were able to speak to people in 178 homes. The remainder received a card explaining the scheme.

Most householders knew about the car share project and welcomed the visit. Some offered interesting comments. Only a few were rude.

It is difficult to say whether the campaign achieved its objectives, but it seemed to be successful. However, it is a very time consuming, and therefore expensive method. Contact by phone would be more cost-effective.

Managing the engagement process →

One of the main aims of the car share engagement scheme was to test out new ideas and find new solutions. Therefore, the partners chose to adopt an informal approach to making decisions.

The task of the car share project manager was to establish close contact with local residents, and hear their ideas and comments. She had to be simply 'out in the field'. She developed people's suggestions into project ideas. She then phoned the manager of "Vision Lundby" for a quick discussion before putting any ideas into practice.

This method enabled quick decisions and was therefore welcomed by the partners, particularly the project manager herself. It is a common method in Sweden in some fields, though not yet in transport planning and public services.

An informal approach only works when all the partners trust each other.

It makes all employees feel involved, as they can come up with new ideas.

Some situations, particularly larger projects involving more money, demand a more formal approach with written agreements.

It can be time-consuming, as it takes effort to keep all partners up-to-date with progress.

Employees welcome the fact that red tape is reduced, and they can spend more time out in the field.

See also:

Communication barriers

Managing resources: time



Hur gör jag för att ta del av erbjudandet?

OBS: Skicka INTE din bil innan du fått ett besked om du är antagen och fått vidare instruktioner från oss. Om ansökningsgarna blir många kommer de hundra först inkomna ansökningsarna, som uppfyller kraven, att få erbjudandet. Vid skrotning får du naturligtvis din sedvanliga skrotningspremie minus skrotningsavgiften.

Alternativ 1: Kollektivtrafik.
Skicka din gamla bil och få ett års-kort på Göteborgs kollektivtrafik gällande i Göteborg.
(Kortet är värt 3 750 kr.)

Om du väljer att vara med kommer att följas upp under 2004. Uppföljningen kommer att ske genom enkäter, möten och fokusgrupper. Frågor som kommer att ställas är bland annat: varför man valde ett väst ersättningsalternativ, hur resanorna förändras, hur man upplever året utan bil, om man kommer att fortsätta med det nya transportsättet.

Alternativ 2: Bilpool.
Skicka din gamla bil och gå med i bilpool. Väljer du detta alternativ är det den fasta årskostnaden som du kommer att få. (Värde ca 4 000 kr). De rörliga kostnaderna, som bränsle, betalar du själv.

Har du frågor?
Välkommen till Informationsmöte
2 oktober klockan 17.00 eller
7 oktober klockan 18.00.
Plats: Infocentret, Götaverksgatan 1, Lundby Strand.

Vill du veta mer om skrotbilsprojektet kontakta vår projektledare Maria Coullanos, 031-23 04 30, 0703-21 06 17, e-post: maria.coullanos@visionlundby.goteborg.se. Lundby Mobility Centre, Götaverksgatan 1, 417 55 Göteborg.

Detta projekt finansieras av Lundby Mobility Centre i samverkan med

västtrafik **VÄSTRA GÖTALANDSREGIONEN** **Vägverket** **target**

Nyfiken på ett fantastiskt erbjudande som gäller under ett år?

Kollektivtrafik **Bilpool**

Lundby Mobility Centre

Götaverksgatan 1, SE-417 55 Göteborg, Sweden. www.visionlundby.goteborg.se

Form:

Person: _____
Adress: _____
Tel: _____ E-post: _____
L. Jag vill ha ett 1 - kollektivtrafik
L. Jag vill ha ett 2 - bilpool
Bilmodell: _____ Årsmodell: _____
Registernummer: _____ Antal förädlade bil: parter, driva
L. Jag vill detta
L. Jag behöver mer information
L. Jag anser inte att jag vill ha ett erbjudande

Above: Leaflet inviting people to register their interest in the Bilpool car share scheme

Key lessons

Decision process

- Use informal working methods on a low-budget project involving "soft" measures. But bear in mind that such an approach is unsuitable for a "hard" project involving bigger sums of money.
- Establish definite goals, so that the project can be evaluated properly.
- Do not insist on formal reports unless absolutely necessary. These slow down the project, and can demoralise staff.
- Make sure that the partners trust each other. Only then will informal communication methods work.

Participation and communication

- Make sure the project manager has good communication skills.
- Don't be afraid to try out new methods to get people involved.
- Listen to people's opinions, and see if you can develop their comments into a workable plan.
- Make sure your project information is visible (stalls etc).

Tools and fact sheets used in this Practice Example

| | | |
|-------------|---------------------------------|---|
| Tools | Project monitoring | → |
| | Engagement strategy | → |
| | Information events | → |
| | Overcoming barriers | → |
| | Surveying individuals | → |
| Fact Sheets | Project manager | → |
| | Management barriers | → |
| | Individualised marketing | → |
| | Public meetings | → |
| | Key person interviews | → |
| | Managing the engagement process | → |
| | Communication barriers | → |
| | Managing resources: time | → |

Panorama

The Municipality of Panorama is part of the Greater Thessaloniki Area in north-eastern Greece. It is located approximately 10 km from Thessaloniki's city centre and covers an area of 33km². Over the past 20 years its population has risen by 260% and is now officially 15,000. However, since many people were not recorded in the most recent census, the real figure is close to 23,000. Panorama is a typical middle to high-class residence area and car ownership is well above average.

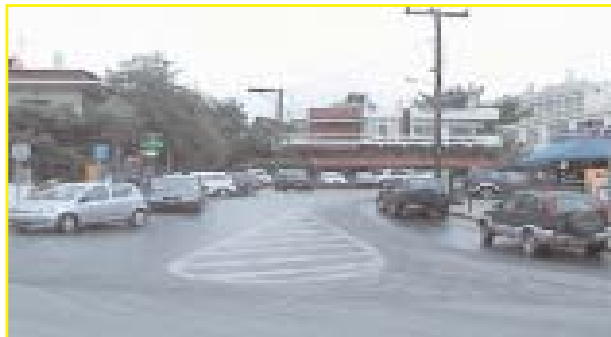
The Municipality of Panorama is currently served by two bus routes: one connecting Panorama to Thessaloniki, and the other providing a local service. The growth increase of the population, along with the increasing dependency from private cars, has led to high traffic volumes and significant lack of parking space in the centre. A major part of these volumes is due to through traffic. In general, the traffic situation affects the main network of the Municipality and the market places the most.



Building an underground car park

GUIDEMAPS looked at the process of planning and building an underground car park in Panorama city centre. The two-storey garage is planned to accommodate up to 120 cars. A public park will be constructed on top of the car park as part of a wider enhancement of the area. The aim is to reduce traffic congestion and environmental impacts, and to strengthen the local economy by making shopping easier and more attractive to consumers.

Changes in the Greek law took place while the project was under way and affected the whole process. The new framework gave more authority to the Municipality with regard to the planning and implementation of the project. Therefore, the municipal authority had to face several extra problems dealing with administrative and managerial issues. To ensure public support and tackle additional barriers, the local authority took steps to keep people informed and get them involved in the process.



Streets of Panorama

GUIDEMAPS interests

The Panorama practice example is useful in demonstrating the effect of decentralisation of administrative powers on a traffic scheme.

In Panorama, GUIDEMAPS explored:

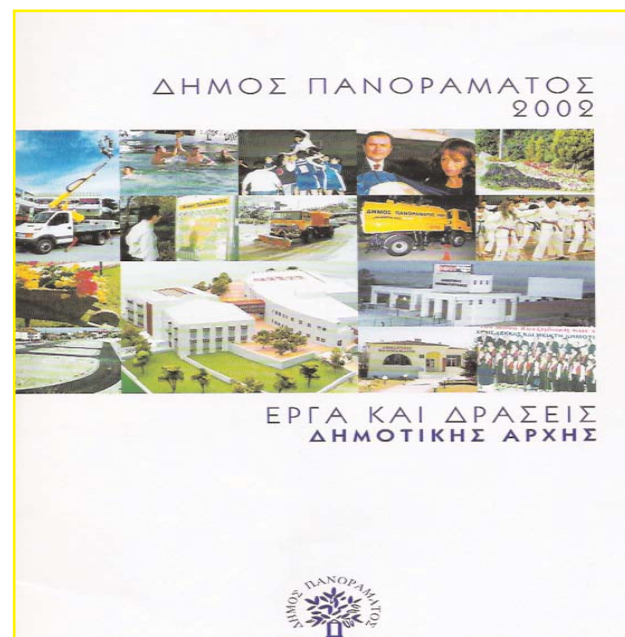
- How agencies from different levels of government worked together, and what the success and failures in their relationships might be;
- How the various people involved communicated, and the strengths and weaknesses of their methods;
- How public participation contributed to acceptance of traffic plans; and
- What methods can be used to finance projects at the local level.

Decision-making process

The Local Town Plan, drawn up between 1986 and 1994, identified the lack of parking space as a future problem. In 1999, the city council decided to go ahead with constructing an underground car park. Four potential sites were identified, and the most suitable was included in the Updated Local Traffic Management Plan, adopted by the City Council in 2000.

Under Greek law at that time, such a project had to involve local, regional and national agencies. The Technical Department of the Municipality of Panorama and the Ministry of Public Works initiated the process to issue the necessary Presidential Decree in late 2000.

However, this procedure was interrupted in October 2001, when a new national law came into force decentralising the process. As a result, the Municipality of Panorama took over the entire project responsibility, enabling the speeding up of the process. The Municipality put the project out to tender in 2002. Work began in 2003.



Handbook describing the car park, along with a range of other projects.

Engagement

A wide range of official bodies and professionals were involved in the project, particularly before the process was simplified. These included:

- Panorama City Council and Mayor, who originally decided to construct the car park and were responsible for involving the public;
- Ministry of Public Works, which had overall responsibility until the law changed;
- Technical Department of the Municipality of Panorama;
- Organisation for the Implementation of the Master Plan, which helped with the inter-agency agreement between the Municipality and the Ministry of Public Works;
- Regional Authority of Central Macedonia, which helped in decentralising the process; and
- External consultants, who submitted proposals and conducted studies.

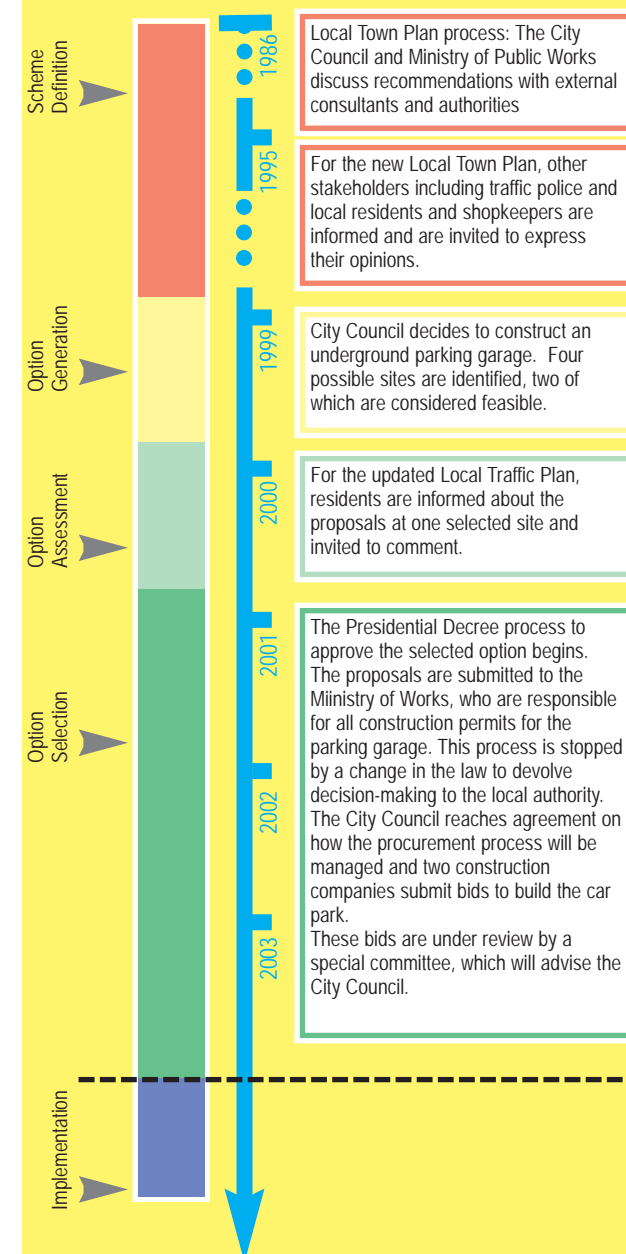
Most of the public was in favour of the project, so the Municipality's task was to keep people informed rather than win their support. But residents, shopkeepers and local associations did participate and show their support.

Tools and techniques

Although the public in Greece is not usually interested in planning - related decisions, the Municipality of Panorama successfully used several techniques to get people involved. These included:

- Special meetings at which shopkeepers could put forward their views;
- A leaflet on the local authority's Four-Year Plan;
- Articles in the local and regional press;
- A questionnaire conducted among residents; and
- Public exhibition and presentation on the draft plan.

Timeline



Overcoming barriers

Institutional

- ☒ Approval procedures were lengthy.
- ☒ Municipal elections and a time-consuming decision process delayed the project.
- ☒ Political support for the project made it a priority.

Financial \$ €

- ☒ Construction costs were high.
- ☒ As the scale of the problem was large, the cost of the solution could be justified.

Legal

- ☒ Centralisation meant certain conditions needed to be met.
- ☒ The problem was reduced as authorisation procedures were decentralised.

| Tools and fact sheets used in this Practice Example | | |
|---|--|-----|
| Tools | Project champion | → ❌ |
| | Preparing for project management | → ❌ |
| | Overcoming barriers | → ❌ |
| | Surveying individuals | → ❌ |
| Fact Sheets | Institutional/legal/financial barriers | → 📄 |
| | Elected officials | → 📄 |
| | Managing resources: costs | → 📄 |
| | Managing the engagement process | → 📄 |
| | Special interest groups | → 📄 |
| | Managing resources: time | → 📄 |

Institutional/legal/financial barriers → 📄

The main aim of the new Law 2947 was to simplify planning procedures. Legislators wanted to decentralise the process and reduce delays for local projects. The new law was introduced to tackle legal and planning issues surrounding the Athens Olympic Games in 2004, but minor clauses were added to cover other issues. Project managers at first followed standard planning procedures for the project. However, in October 2001 they decided to bypass the standard bureaucracy and include the underground parking in Law 2947. The Prefecture of Central Macedonia put the application forward, and it was approved by the Ministry of Public Works.

The standard legal requirement to include several different authorities in the planning process can slow progress a great deal. Although it was time consuming to get the project included in Law 2947, the change in procedure sped up the planning process significantly, as it provided an effective way to overcome the legal barriers to the scheme.

Project champion → ❌

The Mayor, City Council and Technical Department of the City Administration were the initiators of the underground garage project.

The Mayor put forward the proposal and specified the possible sites. The City Council discussed and approved his suggestion, and the Technical Department dealt with the bureaucracy. The Mayor also helped to develop the communication strategy, and got the project fast-tracked through the bureaucratic procedures. His commitment was crucial to the project's success.

Strong and sustained support from the initiator is an important factor in the success of a project. Political developments can have a significant impact on progress, especially if politicians (such as the Mayor) play an important role. Elections can have a major impact and must be taken into account when planning and implementing a project. Public support, expressed directly or indirectly, helps a politician push for a project.

See also:

Elected officials



Managing resources: costs → 📄

The project managers wanted to find the best way of funding the project, and to avoid possible delays caused by financial constraints. In Greece, where municipal funds are insufficient, project funding is generally sought from the Greek Government, European grants or through a type of Public Private Partnership. These alternatives were considered to be infeasible for this project.

Instead, the solution picked by the City Council was to finance the project through a mixture of national subsidy and municipal funds. The selection of this option implies that the Municipal Authority undertakes a great deal of the overall responsibility and has to provide significant funds. The Ministry of National Economy subsidises parking station projects in order to increase the off-street parking supply. The Municipal Budget could not cover the remaining costs and therefore the Municipality took a loan.

This combination was widely seen as the best attainable option, but it did entail risk, as it made the Municipality solely responsible for constructing and operating the garage.

See also:

Institutional/legal/financial barriers → 📄

Managing the engagement process → 📄

The construction procedure adopted by the Ministry of Public Works was highly complex. The Municipality of Panorama wanted to take a simple approach.

The municipality had overall responsibility for the garage, but its location had to be approved by the Ministry of Public Works; the environmental impacts study had to be approved by the prefecture Department for the Environment; and the traffic impacts study by the regional authority for public works. This centralised system, although generally tolerated in Greece, was very complex and time consuming. The municipal authority initially followed this procedure and sought a Presidential Decree to proceed. The process was abandoned with the inclusion of the underground car park in Law 2947, which decentralised the decision process, allowing the Municipality of Panorama to take full responsibility for the scheme. The change in procedure meant that some work needed to be repeated, but overall it reduced the level of bureaucracy.

Preparing for project management → ⚙️

Planning a local project in Greece requires input from both central and local authorities. The planning of an underground car park would usually take from one to two years - before building work begins. The process is often lengthened by unforeseen factors. It was a major aim of the Panorama project to minimise such delays.

The Municipality of Panorama was involved from the very beginning. It suggested including the project in Law 2947, which gives the local authority greater freedom in the planning and implementation of projects. Consequently, the Ministry of Public Works' role was limited to approving the suitability of the location, and formally proposing the inclusion of the project in Law 2947.

The change in procedure delayed the project, but no more than is usual for such initiatives. In addition, the new law meant that the municipality had almost full control. Giving the municipal authority responsibility for the scheme allows more direct accountability. The municipality is not vulnerable to delay caused by central government bureaucracy. Similarly, limited progress due to a lack of political will can no longer be blamed on the complex centralised decision processes.

See also:

Elected officials



Special interest groups

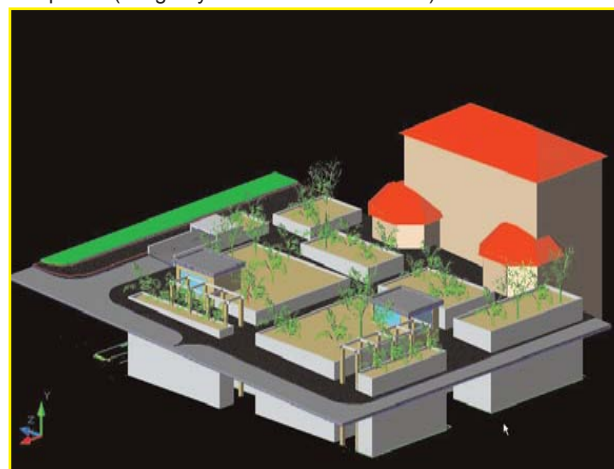


Managing resources: time



BEFORE: The site for the Panorama car park.

AFTER: What the area will look like once the car park is completed (image by Alexandros Skouvaklis).



Key lessons

Decision process

- Avoid involving national authorities in local projects wherever possible. They cause delays.
- Avoid unnecessary bureaucracy. Not only does it cause delays, it also reduces the co-operation of the partners involved.
- Make sure you have the support of politicians, even in popular local projects.
- Make sure responsibilities are clearly defined.
- Try to ensure you have enough staff. Lack of personnel creates delays.

Participation and consultation

- Public participation and consensus is crucial - especially where large amounts of money are at stake.
- Contrary to common belief, people are willing to get involved in making decisions, especially when they are directly affected.
- Make sure people understand why your project is important.
- Public events are not always the best method to involve people. Try more targeted techniques.
- Organise special meetings for different groups, such as shopkeepers.
- Use the press - local and national - to publicise the project.
- Find out people's opinions by conducting surveys.

Tools and fact sheets used in this Practice Example

See Page Before for the Tools and Fact Sheets Associated with this Practice Example.