Communities and Local Government

Department for Transport

# Good Practice Guidelines: Delivering Travel Plans through the Planning Process

April 2009

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# Contents


**Acknowledgements** 7

**Foreword** 10

1 Introduction 12

2 An overview of process and delivery 17

3 The policy framework – strategic and local 32

4 The process of requiring a travel plan 41

5 Travel plan design and content 59

6 Evaluating incoming travel plans 73

7 Securing the travel plan 84

8 Implementation and management 100

9 Monitoring, default mechanisms and enforcement 107

**Appendices**

A Definitions 122

B Measures for different types of travel plan 126

C Illustrative planning obligations and conditions 135

D Bibliography 143

E Further information – sources and contacts 146

## List of figures


| | | |
|---|---|---|
| Figure 1.1 | How to use these guidelines | 16 |
| Figure 2.1 | Funding and functions – Travel plan/Smarter Choices/ resource centre functions | 27 |
| Figure 3.1 | The policy framework | 36 |
| Figure 4.1 | Travel plans and planning applications | 46 |
| Figure 4.2 | Travel plan pyramid | 53 |
| Figure 9.1 | The process for monitoring and adjusting a travel plan | 111 |


## List of tables


| | | |
|---|---|---|
| Table 2.1 | Key stages in securing a travel plan for new development | 23 |
| Table 2.2 | An example of the allocation of roles for securing and developing a travel plan | 28 |
| Table 3.1 | Checklist for preparing the policy framework | 40 |
| Table 4.1 | National guidance on requiring a travel plan or travel plan statement | 42 |
| Table 4.2 | Other considerations for assessments, statements and travel plans | 46 |
| Table 5.1 | Suggested targets for different travel plans | 65 |
| Table 6.1 | CAT evaluation methodology | 78 |
| Table 6.2 | Key elements to be included in the travel plan document | 80 |
| Table 7.1 | Checklist for planning obligations content | 89 |
| Table 7.2 | Achieving effective Section 106 planning obligations | 99 |
| Table 8.1 | Implementing the travel plan | 103 |
| Table 9.1 | Principles for establishing a scale of charges | 113 |


## Case study examples


| | |
|---|---|
| National policy for the strategic trunk road network | 29 |
| Regional policy context | 29 |
| Structure Plan and Local Transport Plan Strategy | 29 |
| Supplementary Planning Documents | 30 |
| Draft Supplementary Planning Document | 31 |
| Travel Plan Guidance | 31 |
| Issues and Options process | 31 |
| Linked transport policy and targets | 37 |
| Policies within Local Plan | 37 |

| | |
|---|---|
| Travel Plan Good Practice Guide | 38 |
| Supplementary Planning Document on travel plans | 38 |
| Tariff approach | 39 |
| Thresholds | 47 |
| Guidance | 48 |
| Staff briefing paper on procedures | 49 |
| School travel plans | 49 |
| Partnership working across authorities | 50 |
| Partnership with an operator | 50 |
| Joint working with transport operators | 51 |
| Integration of physical measures | 54 |
| Requirements for interim and full travel plans | 55 |
| Requirements for framework and interim travel plans | 55 |
| Pre-application process | 57 |
| Outcomes approach | 61 |
| Outcome targets | 64 |
| Local indicators | 64 |
| Area based framework travel plan | 71 |
| Area travel plans | 71 |
| Travel plan forums and networks | 72 |
| Evaluation criteria | 77 |
| Use of DfT evaluation tool | 79 |
| Evaluation to ensure impact on travel choices | 83 |
| Conditions prior to occupation | 87 |
| Use of conditions by the Highways Agency | 90 |
| Example of payments | 92 |
| Example of payments related to achievement of targets | 93 |
| Example of payments | 93 |
| Example of payments | 94 |
| Parking management | 95 |
| Arbitration | 96 |
| Five year rolling programme | 97 |
| Monitoring fees | 97 |
| Including alternatives as a contingency | 98 |

Example of bonds as a contingency 99
Example of trust 99
Identification of ‘owner’ 104
Transport Management Association 105
Steering groups 106
Monitoring outcomes against targets 109
Monitoring 112
Fees for monitoring 113
Comparison of approaches 115
Monitoring requirements 115
Project management and database 116
Effective review 117
Default mechanisms – charges for excess traffic and introduction of access controls 119
Negotiation and pro-active engagement with developers 121

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# Foreword

In 2002 the Department for Transport and Office of the Deputy Prime Minister published *Using the Planning Process to Secure Travel Plans*, stressing the importance of integrating transport and planning objectives. Since the publication of that guidance, the need to integrate sustainable travel and transport when planning new development has only increased.

We often need to meet the demands of population and economic growth whilst simultaneously reducing our impact on the environment. The 2007 Housing Green Paper *Homes for the Future: More Affordable, More Sustainable* (CLG, 2007) set out the Government's commitment to deliver three million new homes by 2020. *Towards a Sustainable Transport System* (DfT, 2007) and *Delivering a Sustainable Transport System* (DfT, 2008) identified a number of goals for transport. These mirrored the Climate Change Act 2008, setting targets to cut domestic $CO_2$ emissions by 80% by 2050. Increases in sustainable travel delivered through good travel plans are one of the ways that we can meet the goals that we have set.

There have been significant developments in both planning and transport in recent years in relation to sustainability. Integrating sustainable travel into the planning process and when planning new developments can deliver travel plans and sustainable travel measures that are effective, convenient and have longevity.

The benefits of increases in sustainable travel, in particular cycling and walking, can extend beyond reduction in $CO_2$ emissions and climate impacts, and include tackling congestion, tackling obesity and health issues, reducing social exclusion and improving quality of life.

We have been pleased to see over recent years that transport issues have increasingly been considered as part of planning. Transport assessments are an important part of any planning application. We anticipate that these good practice guidelines will help to ensure that, where travel plans are put in place for new developments, they are effective and deliver the expected changes in travel behaviour.

These guidelines will be valuable to those working either in the transport or planning fields, who will find the detailed information, good practice and case studies helpful. The guidelines improve understanding of how to make use of the planning process in ensuring the effective implementation of sustainable travel measures.

**Margaret Beckett MP**
Minister for Housing and Planning

**Paul Clark MP**
Parliamentary Under Secretary of State for Transport

# 1. Introduction

**Travel plans are an important tool for delivering sustainable access to new development, whatever the use. As part of the planning framework, paragraph 89 of Planning Policy Guidance Note 13: *Transport* (PPG 13) sets out requirements for when travel plans should be submitted. Additional local authority requirements are then set out in local policies. PPG 13 and local planning documents should be read prior to preparing a travel plan, as should the advice in Circulars 11/95 and 05/2005, which deal with planning conditions and planning obligations respectively. These travel plan guidelines are intended to set out best practice actions that can be taken to produce high-quality, robust travel plans. The suggested steps are recommendations only, and are not additions to Government policy or law on travel plans.**

**1.1** Travel plans are an essential tool for delivering sustainable access to new development, whatever the use. They should be seen as an integral part of the wider implementation of an area's sustainable transport strategy. The Department for Transport's *Guidance on Transport Assessment*[1] highlights travel plans as a key output of assessment. These guidelines supersede earlier guidance published in 2002.[2] They are intended for use by local authority planning, transport and travel plan officers, as well as developers and their consultants within England, and cover both policy making and development management functions. Within London, Transport for London (TfL) has published its own guidance for development control, given the different legal relationships, but they are complementary.[3]

**1.2** As part of the planning framework, paragraph 89 of *Planning Policy Guidance Note 13: Transport* (PPG 13) sets out requirements for when travel plans should be submitted. Additional local authority requirements are then set out in their local policies. PPG 13 and local planning documents should be read prior to preparing a travel plan as should the advice in Circulars 11/95 and 05/2005 which deal with planning conditions and planning obligations respectively. These travel plan guidelines are intended to set out good practice actions that can be taken to produce high quality, robust travel plans.

1 *Guidance on Transport Assessment,* DfT/CLG 2007.

2 *Using the planning process to secure travel plans*: *Best practice guidance for local authorities, developers and occupiers*, ODPM/DfT, 2002.

3 *Guidance for workplace travel planning for development and Guidance for residential travel planning in London* TfL 2008.

**1.3** Since the publication of the initial guidance in 2002, several changes have underlined the importance of travel planning for new development. Further forthcoming changes to the planning system are likely to reinforce this situation. In addition, the evidence base has grown, and, like other 'smarter choices' techniques (See Appendix A for definitions), travel planning has been shown to be effective in managing travel demand, with the potential to contribute to significant reductions in national traffic.

**1.4** Other drivers are the need to provide new residential development and support economic growth and regeneration. In response to the first Barker Review, and the subsequent Housing Green Paper,[4] the Government is committed to a substantial increase in the rate of house building. In areas of housing growth, many local authorities are now faced with the challenge of creating accessible and connected communities whilst minimising the generation of traffic and its detrimental effects on their areas. Good practice guidance published in 2005 shows how some authorities and developers have used residential travel plans to assist in meeting this challenge.[5] Where there are opportunities to provide employment and economic activity, it is important that these take place incorporating sustainable travel.

**1.5** Public consciousness and understanding about climate change are also increasing at a remarkable pace: this has led to a growing awareness of the importance of sustainable travel. Transport accounts for around a quarter of carbon emissions from UK domestic energy use, with road vehicles responsible for 93% of this.[6] Reductions are vital to ensure that we meet our targets on $CO_2$ emissions and make progress towards a lower carbon society. Travel plans have a key role to play in this wider agenda.

**1.6** There is also growing awareness of obesity and the need to promote more healthy lifestyles, particularly through encouragement of more physical activity and active travel. Engagement with individuals and communities through the travel planning process can support higher levels of walking and cycling, and this in turn can encourage greater social inclusion and community cohesion as well as healthier communities.

**1.7** For all these reasons, travel plans have become an integral element in the planning process. They are not a soft option or a 'green wash' to deal with the transport implications of development. They are critical to ensure that the use of sustainable modes is maximised, the finite capacity of the transport network is used effectively and the need for some costly highway infrastructure is avoided as far as is practical.

## Background to these guidelines

**1.8** These guidelines were commissioned by the Department for Transport, in consultation with Communities and Local Government, to give further impetus to the use of travel plans as a means of promoting sustainable transport. They bring together some of the best of current practice from examples around the country, drawing on the results of recent research.

4 *Homes for the future: more affordable, more sustainable* Cm 7191, CLG, 2007.
5 *Making Travel Plans Work*: *Good Practice Guidelines for New Development,* DfT 2005.
6 *Meeting the energy challenge: a white paper on energy,* DTI 2007.

They particularly focus on the way in which planning and travel plans currently interrelate and how this could be made more effective.

**1.9** We are very grateful to all those who have participated in the development of these guidelines (see Acknowledgements). Some authorities participated in the initial study in 2001; others have become active in more recent years. The research has been used to develop a better understanding of current practice and successes and challenges in delivering sustainable travel plans through planning. These new guidelines integrate the best of the practices found and should be of assistance to all practitioners involved in the process of drafting, securing and implementing effective travel plans to ensure the maximum outcomes are achieved. They are supported by research and a separate executive summary.

**1.10** These guidelines are intended to assist all stakeholders, in both the public and private sectors, to secure an effective policy framework, determine when a travel plan is required, how it should be prepared and what it should contain within the context of an integrated planning and transport process. They also set out how travel plans should be evaluated, secured, implemented and then also monitored and managed in the longer term as part of this process.

## Status and application

**1.11** *Delivering Travel Plans through the Planning Process* supersedes the 2002 best practice guidance *Using the Planning Process to Secure Travel Plans.*[7] It comprises technical guidelines and does not set out any new policy or legal requirements.

**1.12** These guidelines bring together the key principles and mechanisms that have been found to help secure effective travel plans in England. It is the responsibility of users of this document to ensure that its application to travel planning within the planning process is appropriate and in compliance with the current legal framework and national planning guidance.

**1.13** References to regional spatial strategies should be taken to mean development plans prepared under Part 1 of the Planning and Planning and Compulsory Purchase Act 2004 until such time as they are replaced by regional strategies prepared under the provisions of Part 5 of the Local Democracy, Economic Development and Construction Bill, when implemented.

## How to use the guidelines

**1.14** These guidelines are primarily a reference document for practitioners which can be dipped into – that is, each chapter is relatively free-standing. They start with the development of effective policies to require travel plans and deal with events chronologically through the whole planning process.

7 *Using the Planning Process to Secure Travel Plans*: *Best Practice Guidance for Local Authorities, Developers and Occupiers*, ODPM/DfT, 2002.

**1.15** Subsequent chapters deal with what various travel plans should include and how they can be evaluated as part of the consideration of individual applications. The later chapters deal with how an agreed travel plan can be secured through appropriate legal mechanisms, before considering how it will then be implemented and managed. The issues of compliance, monitoring and review can be found towards the end of the document, together with advice on dealing with default and remedial action in the event that the travel plan fails to deliver the required outcomes.

**1.16** These guidelines are structured as follows:

**Chapter 2 – An overview of process and delivery** – outlines the role of travel plans and sets out key requirements for local authorities working to secure travel plans for new developments and the roles of the key stakeholders.

**Chapter 3 – The policy framework – strategic and local** – sets out the policy framework for securing travel plans with reference to policies developed at national, regional and local level and what should be developed.

**Chapter 4 – The process of requiring a travel plan –** provides information about when travel plans are required, sets out the different types of plan and the processes by which developers and local authorities can engage effectively in the development of a travel plan prior to the submission of a planning application.

**Chapter 5 – Travel plan design and content –** sets out broad principles for the design of travel plans and provides guidelines on targets and indicators, as well as summarising the different approaches to travel planning used for different types of development.

**Chapter 6 – Evaluating incoming travel plans –** looks at evidence on key factors in travel plan effectiveness, in the light of research, and gives advice on how travel plans may be evaluated in order to ensure that they are fit for purpose and likely to deliver the required outcomes.

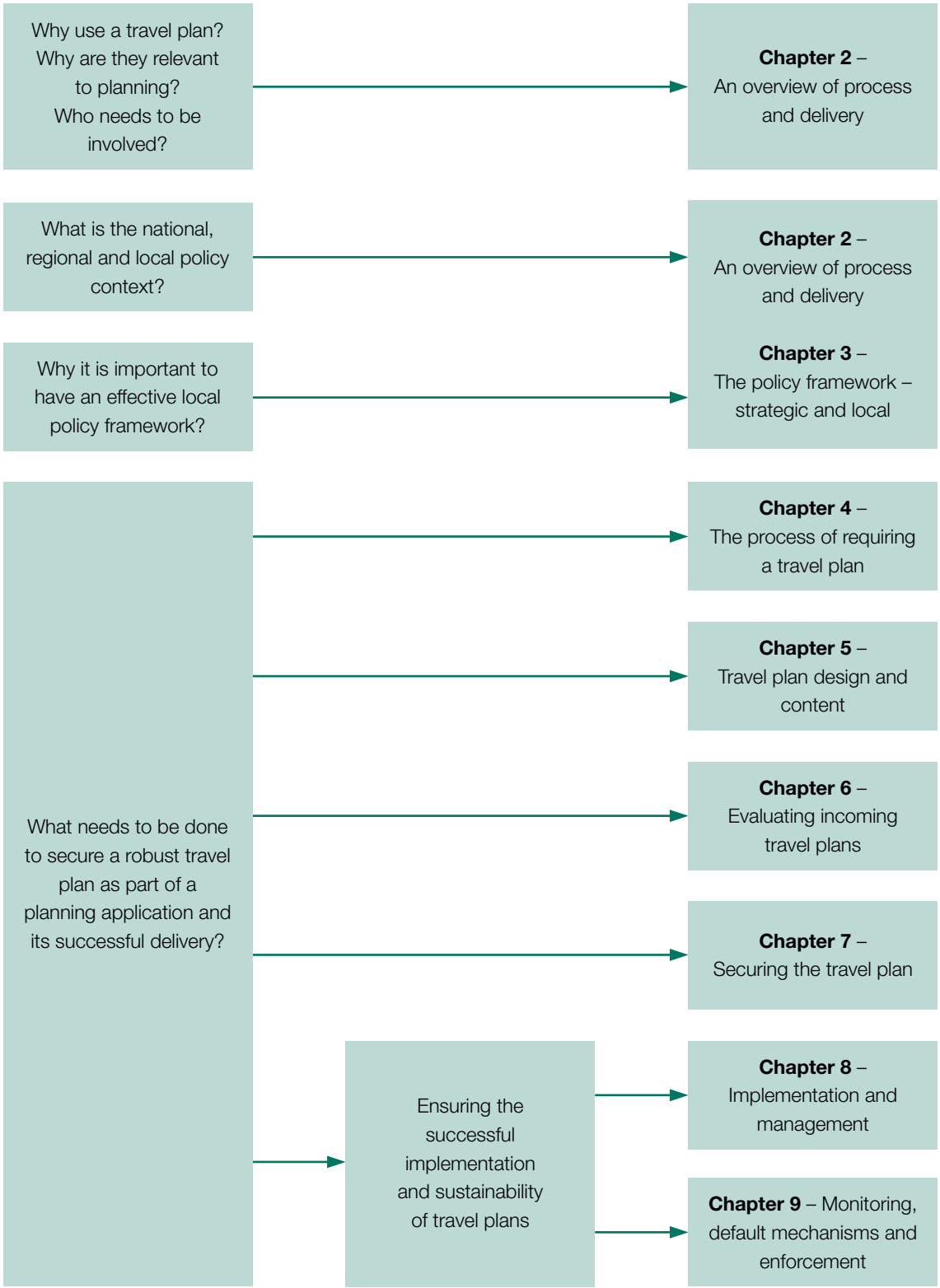
**Chapter 7 – Securing the travel plan –** provides information about the legal mechanisms for securing travel plans through planning applications.

**Chapter 8 – Implementation and management –** sets out ways of ensuring the responsibilities for implementing and managing the travel plan are handled effectively after the grant of planning permission, to ensure sustainability.

**Chapter 9 – Monitoring, default mechanisms and enforcement –** describes the important role of monitoring travel plans and the process to ensure that corrective action can be taken when required and that there are effective ways of enforcing the agreed outcomes if needed.

**1.17** Figure 1.1 illustrates how best to access particular aspects of the guidelines for ease of use.

## Figure 1.1: How to use these guidelines



# 2. An overview of process and delivery

**This chapter provides an overview of what a travel plan is, the different types of travel plan and how in principle they should be sought through the planning process.**

## Key messages

- The role of travel plans should be explicit in the Regional Spatial Strategy as part of delivering sustainable communities.
- The Regional Transport Strategy should ensure the role of travel planning is an explicit part of its demand management strategy.
- Local authorities should develop a clear integrated policy framework for sustainable transport through their Local Transport Strategies and Local Development Frameworks (arrangements in London differ) explicitly considering travel plans.
- Clear documentation and communication of policy should be available to potential applicants, including requirements and costs/fees.
- Local authorities should ensure the integration of travel planning activity and negotiation corporately, as well as across authorities and providers.
- There should be clear internal and external procedures established to streamline the process and maximise co-ordination.
- An up-to-date evidence and monitoring database should be established to ensure delivery and achievement of outcomes.
- Support should be available to applicants, including contacts, data and other key information, with standardised requirements.
- The establishment of a sub-regional resource centre may be beneficial.
- Applicants should ensure they undertake effective pre-application discussions and submit quality travel plans in association with the transport assessment at application stage.
- Where authorities establish fees for travel plans. it will be important to provide a high-quality service.

# What is a travel plan?

**2.1** A travel plan is *a long-term management strategy for an occupier or site that seeks to deliver sustainable transport objectives through positive action and is articulated in a document that is regularly reviewed*.[8] It involves the development of agreed explicit outcomes linked to an appropriate package of measures aimed at encouraging more sustainable travel, with an emphasis on reducing single occupancy car use. Each travel plan should be unique to a site. Travel planning should be developed as one of the means of delivering an area's sustainable transport strategy. They should feature in the policy framework and implementation programmes of Regional Spatial Strategies and Local Development Frameworks.

**2.2** Travel plans are dynamic, living documents that should be updated regularly. The aim is to ensure they represent the current situation in respect of travel and access, and that actions to achieve the outcomes are sought. Implementing a travel plan involves a continuous process for improving, monitoring, reviewing and adjusting the measures in the plan to reflect changing circumstances. The plan continues for the life of the development and requires commitment from occupiers and partners. It is not simply a means of securing planning permission. Regular monitoring will track that progress is being made towards achieving the outcome targets. Appropriate adjustments can be made to ensure that agreed outcomes are met and maintained.

**2.3** A travel plan will normally need to be prepared alongside the transport assessment. A transport assessment provides the evidence to support the outcomes sought and the measures needed in the travel plan. A transport assessment looks at the existing trip generation and all movements in and around a site, by all modes. It estimates the demand for all travel to the new development and predicts the impact of these additional movements. It goes on to set out how the impacts, particularly the number of car journeys, can be minimised.[9] The travel plan seeks to establish clear outcomes to be achieved in relation to access and sets out all the measures to be implemented in detail, with an action plan, timescales, targets and responsibilities for implementation, monitoring and review. Where a development has relatively small transport implications, it may be necessary to prepare a transport statement. Travel plan statements may be prepared in parallel.

**2.4** Travel plans focus on achieving the lowest practical level of single occupancy vehicle trips to or from a site and widening the use of other travel modes. They assist in the wider aims of encouraging sustainable travel, improving health, and reducing congestion, energy consumption and pollution. Travel plans need to address all the journeys that may be made to and from a site, by anyone who may have a need to visit or stay there.

8 Evolved from *Using the Planning Process to Secure Travel Plans: Best Practice Guidance,* ODPM/DfT 2002 and *Guidance for Workplace Travel Planning for Development*, Transport for London/GLA 2008).

9 *Guidance on Transport Assessment,* DfT/CLG, 2007.

**2.5** Travel Plans fall into two broad categories. First, there are 'destination' travel plans designed to increase sustainable travel to a specific destination – such as a workplace, school, hospital, university or leisure attraction. The majority of trips therefore have a common journey purpose. Second, there are 'origin' travel plans – residential travel plans – which focus on the single origin (home), where journeys are made to many and varied places for a variety of different purposes. The inter-relationship of the two types in an area should be established in the policy framework.

**2.6** Many principles of good practice apply to all types of travel plan, though some differences in approach are discussed in Chapter 5. All travel plans require effective continuous management arrangements to ensure delivery of the agreed outcomes on an on-going basis; they are normally an integrated combination of 'hard' and 'soft' measures related to achieving agreed outcomes. Travel plans vary in complexity – residential and multi-use developments tend to be the most complex.

**2.7** The preparation of a transport assessment and travel plan will be part of the documentation required by local authorities when considering planning applications, particularly large and complex ones. This guidance is intended to assist authorities and developers/occupiers in the preparation of effective travel plans.

**2.8** The decision to grant planning permission will be based on a number of considerations, including access and transport. Local authority requirements will be set out in the planning and transport policies at regional and local level.

**2.9** Unacceptable development should never be permitted because of the existence of a travel plan. Where a development is likely to be refused because of the local transport problems, it may be possible for a travel plan to address these and reduce them to acceptable levels. However, the submission of a travel plan does not guarantee the grant of planning permission.[10]

## The different types of travel plan

**2.10** There are basically five types of travel plan, as outlined below and detailed further in Chapter 4 (see also Appendix A for definitions):

- full travel plan for a site;
- interim travel plan for a site;
- framework travel plan for a site;
- travel plan statement[11] for a site;
- area-wide travel plan for a defined geographic area.

10 See PPG 13 paragraph 89.

11 See *Guidance on Transport Assessment*, DfT 2007. TfL has a different approach called 'Enterprise' – see TfL *Guidance for Workplace Travel Planning for Development 2008.*

### Full travel plans

**2.11** Wherever a travel plan is required. a **full travel plan should normally be prepared and submitted with the planning application**. Robust plans will include clear outcomes, all relevant targets and measures to ensure that these can be achieved, as well as monitoring and management arrangements (see Chapter 5). Full travel plans are appropriate for full planning applications where the proposed use and accessibility needs are known. They may also be appropriate with outline applications where the scale of uses is known. Wherever possible, a full travel plan should be developed rather than an interim plan. As with all travel plans, it is important that the continued implementation is passed on to respective occupiers. For some uses, e.g. schools, only a full travel plan would be suitable.

### Interim travel plans

**2.12** Under a few circumstances it may not be possible to complete a full travel plan, although this should be the aim. In such circumstances the developer can prepare and submit an interim travel plan, covering all substantive elements, to be completed at an agreed time. These plans should include outcome targets for maximum allowable levels of car trips and the key elements, as set out in Table 5.1. Some aspects of the travel plan and some measures may be provisional. Nevertheless, the interim plan should set out a timeframe for completion of the full travel plan once the position is apparent.

### Framework travel plans

**2.13** In the case of large mixed-use developments with multiple occupants, it will be appropriate to prepare a framework travel plan. The framework travel plan should set overall outcomes, targets and indicators for the entire site. It is best administered centrally. It should set the parameters for the requirement for individual sites (or uses/elements) within the overall development to prepare and implement their own subsidiary travel plans. These should comply with and be consistent with the wider targets and requirements of the framework travel plan. Potential occupiers need to be advised of the travel plan requirements. The framework travel plan should also clarify as far as possible the timeframe for completion of individual travel plans and the implementation of specific measures within them as the development proceeds, including management and review.

### Travel plan statements

**2.14** Small applications may not justify a full travel plan. Instead, a travel plan statement can deal with any issues raised in the transport statement. These statements and plans are likely to be narrower than the travel plan information needed for a major application. A travel plan statement is likely to focus on site measures encouraging sustainable travel, or contribution towards a more strategic scheme. For example, the developer/occupier might be required to join a local travel forum or similar travel plan network to promote use of sustainable modes (see Chapter 5). They will not apply to schools.

### Area-wide travel plans

**2.15** In some situations it is essential to consider an area wider than an individual site if the outcomes sought are to be delivered. Experience of this type of approach is more limited than for the other types of travel plan. The approach can be followed where there are a number of developments in a particular area, e.g. a redeveloping commercial area. It is also suits areas where no single site travel plan can effectively respond to the outcomes required, e.g. in a rural area or a major complex development. More information and examples are given in Chapter 5.

### The outcomes approach

**2.16** Since the previous guidance was published, good practice has evolved, with the result that the main preferred approach to travel plans is the 'outcomes' approach as distinct to 'measures'.[12] Specific outcomes or targets are established by agreement on what should be achieved through the travel plan over time. There may be some situations where this is not appropriate, particularly for smaller developments (see Chapter 4). In these circumstances a range of measures would be required. The setting of outcome targets is covered in Chapter 5, and how these should be monitored and reviewed is covered in Chapter 9.

**2.17** In the outcomes approach, the focus is on securing the performance of the travel plan through ensuring that modal split targets are met or identifying other specified outcomes related to travel mode share and vehicle trip levels. To work, the approach needs the applicant/developer to commit to achieving specified targets/outcomes and agree to a review and monitoring process, and ultimately to sanctions being applied if the targets are not met.

**2.18** The advantage of this approach is that it is objective led. The outcomes sought should relate to the local situation and local policy requirements. This approach provides scope for adjusting the means of achieving the outcomes over time in relation to experience at the site. The outcomes approach should be a 'win–win' situation, as agreed outcomes should be of benefit to all relevant parties, including the applicant, occupier and local authority, and therefore they are more likely to be delivered.

12 See Appendix A and previous 2002 guidance on travel plans.

**2.19** There will be situations where seeking a range of defined measures, in addition to defined outcomes, will also be appropriate. In such circumstances, the delivery of the outcomes will only be achieved through a specific package of measures. A combination of outcomes and specific measures is likely for many applications. An outcomes approach allows investigation of other measures or solutions to achieve the agreed outcomes, e.g. lower level of vehicle use or a modal split target, if securing particular measures proves difficult (e.g. the public transport operator is unwilling to commit). It ensures that measures which prove ineffective in restraining car use are addressed. This secures the on-going commitment of the relevant parties to the plan.

**2.20** This approach means it is less critical to know in advance whether or not a specific package of measures will achieve a specified target or other outcomes. However, the emphasis on the outcome target means that it must be based on good data and assumptions. Similarly, the default mechanisms and any subsequent sanctions need to be justified and proportionate. Where there is confidence in the targets and sanctions, this approach holds the greatest potential for achieving an effective and sustainable travel plan.

### The key stages in development of a travel plan

**2.21** Table 2.1 outlines the main stages in the development of a travel plan as part of the planning application process. This is amplified in Chapters 4 through to 9. Chapter 3 includes additional stages that authorities should pursue to be effectively prepared for travel plans being received as part of a planning application.

13 Developed from TfL work and *Guidance on Transport Assessment.*

**Table 2.1: Key stages in securing a travel plan for new development[14]**

| | Stage | Activity | Fee* |
|---|---|---|---|
| Planning application | Scoping | Applicant establishes the **need** for a transport assessment (TA) and travel plan (TP) through reference to the thresholds, criteria set down in any policy or other local guidance, taking account of local circumstances. | |
| | | Applicant and authority agree the **type** of travel plan required – framework, interim, full, area. If site is small agree the requirement for a travel plan statement if appropriate. (See Chapter 4 for more detail.) | ✓ |
| | | Applicant agrees the **requirements** for the TA/TP with the local planning and transport authorities. Exchange contact details. | |
| | | Applicant and authority agree how the TA/TP are to be **integrated**; establish and agree any base line data, key outcomes sought and assumptions to be used if appropriate. | ✓ |
| | Pre-application discussions | Applicant submits **draft** TA/TP for initial **evaluation** by the local authority. | |
| | | Authority gives **feedback** to applicant to enable review of the assessment and travel plan. | ✓ |
| | | Applicant undertakes informal **consultation** on proposed application and the associated travel plan. | |
| | | Applicant and local planning authority undertake **negotiations**, including the local highway/transport authority and others who will be party to any legal agreements, such as the Highways Agency and transport operators. | ✓ |
| | | **Local authority and applicant agree draft terms** of legal agreement, and extent of any conditions if appropriate. (See Chapter 7 for more detail.) | ✓ |
| | Submission | Developer **submits** final transport assessment, travel plan with planning application. | |
| | | Authority carries out **further/final evaluation** of plan to determine its 'fitness for purpose'. (See Chapter 6 in relation to evaluation and the CAT assessment.) | |
| | | Local planning authority undertakes statutory consultation. | |
| | | Authority and applicant **agree any amendments** to the travel plan and legal agreement and finalise supporting documentation. If an interim travel plan, an approved legal agreement should include timing of full travel plan. | |

## Table 2.1: Key stages in securing a travel plan for new development[14]

| | Stage | Activity | Fee* |
|---|---|---|---|
| **Determine planning application and grant planning permission** | | | |
| **Planning application** | **Post-determination of planning application and pre-occupation** | Lead authority to enter details of travel plan into **database,** including contact details. This should link to any development control and Section 106 monitoring, e.g. e-systems.<br>Authority to ensure collection of any baseline data required for monitoring from applicant on pre-determined **standardised format.**<br>Developer/occupier commences implementation of measures, including completing full travel plan where relevant. | ✓ |
| | **Occupation** | Occupier/developer ensures full implementation of travel plan, including completion of full travel plan where relevant.<br>Authority agrees that travel plan requirements (especially implementation of agreed measures) have been met to enable occupation to take place, based on information provided by occupier/developer.<br>Authority checks that all necessary data prior to occupation have been collected.<br>Authority and developer/occupier agree any necessary handover of responsibilities from developer to occupier. | ✓<br>✓ |
| **Monitoring** | **Post-occupation** | Occupier (or agent) monitors travel plan outcomes as set out in a planning condition or agreement (in conjunction with the local authority if appropriate and agreed) and in line with authority's requirements.<br>Occupier or other approved party (in partnership with local authority where appropriate and agreed) collects data at appropriate times in agreed form.<br>Authority ensures any on-going measures continue to be delivered.<br>Occupier and authority undertake review process to agreed timescales:<br>• if outcomes agreed and in line with targets, continue to monitor;<br>• if outcomes not in line with targets, considers amendments to plan. | ✓<br>✓ |
| | **Default** | Local planning authority in consultation with authority leading on travel plan measures considers use of default mechanisms if outcomes not delivered and amendments cannot be agreed with developer/occupier. (See Chapter 9 for more detail.) | ✓ |

*Note: Section 93 of the Local Government Act 2003 provides the power to charge for discretionary services. These are services that an authority has the power, but not a duty, to provide. Charges, which should be published, must be on a not-for-profit basis (year by year) and local authorities would need to be able to demonstrate that any payment does not exceed the cost of providing the service. (See Chapter 9 for more detail).

## Developing new ways of working

**2.22** Successful travel plans require all stakeholders to work in different ways and in partnership. The highway/transport and planning authorities will need to work together and involve other external stakeholders, such as the local transport operators, as well as the developers. In the case of schools and probably residential travel plans, the local education authority needs to be engaged. The different methods by which outcomes are achieved require a change of culture on the part of developers, tenants, local authorities and transport providers.

**2.23** In the past, developers have contributed to the cost of infrastructure and community facilities to mitigate the impact of development on the surrounding area. This has generally been achieved through one-off payments and, once the measures have been delivered, payments made or facilities built, their commitment has been completed. Travel plans demand a different approach. The delivery of different travel patterns that reduce reliance on the private car involves changes that cannot be achieved overnight. It can change the relationship between the developer and their tenants. A travel plan requires on-going management and maintenance and real engagement with the people who occupy the development and those who deliver the transport services, e.g. the transport operators. How this is to be delivered needs to be explicit in the travel plan (see Chapter 8).

**2.24** The total package of measures, both hard and soft, required to deliver this change may in some circumstances be less costly for the developer than the substantial highway infrastructure that was provided in the past. Some highway infrastructure may still be required, but it should be smaller in scale and is likely to be more focused on pedestrians, cyclists and public transport users.

**2.25** To successfully deliver travel plans through the planning process in this way, local authorities need to ensure that they have the correct processes in place. These new ways of working need well set out planning and transport policies at regional and local level, including clear explanations of requirements and the expectations of developers. They also mean developing a multi-disciplinary approach, working across departments and authorities. Procedures, protocols and service standards need to be clearly set out, including pre-application arrangements. Local authorities may charge for their services, as some already do. All this will be especially important when it comes to receiving, evaluating and securing travel plans.

**2.26** Once applications have been determined, arrangements are needed for working in partnership during implementation stages and beyond. Only this will ensure that essential outcomes will be delivered and sustained over the subsequent period.

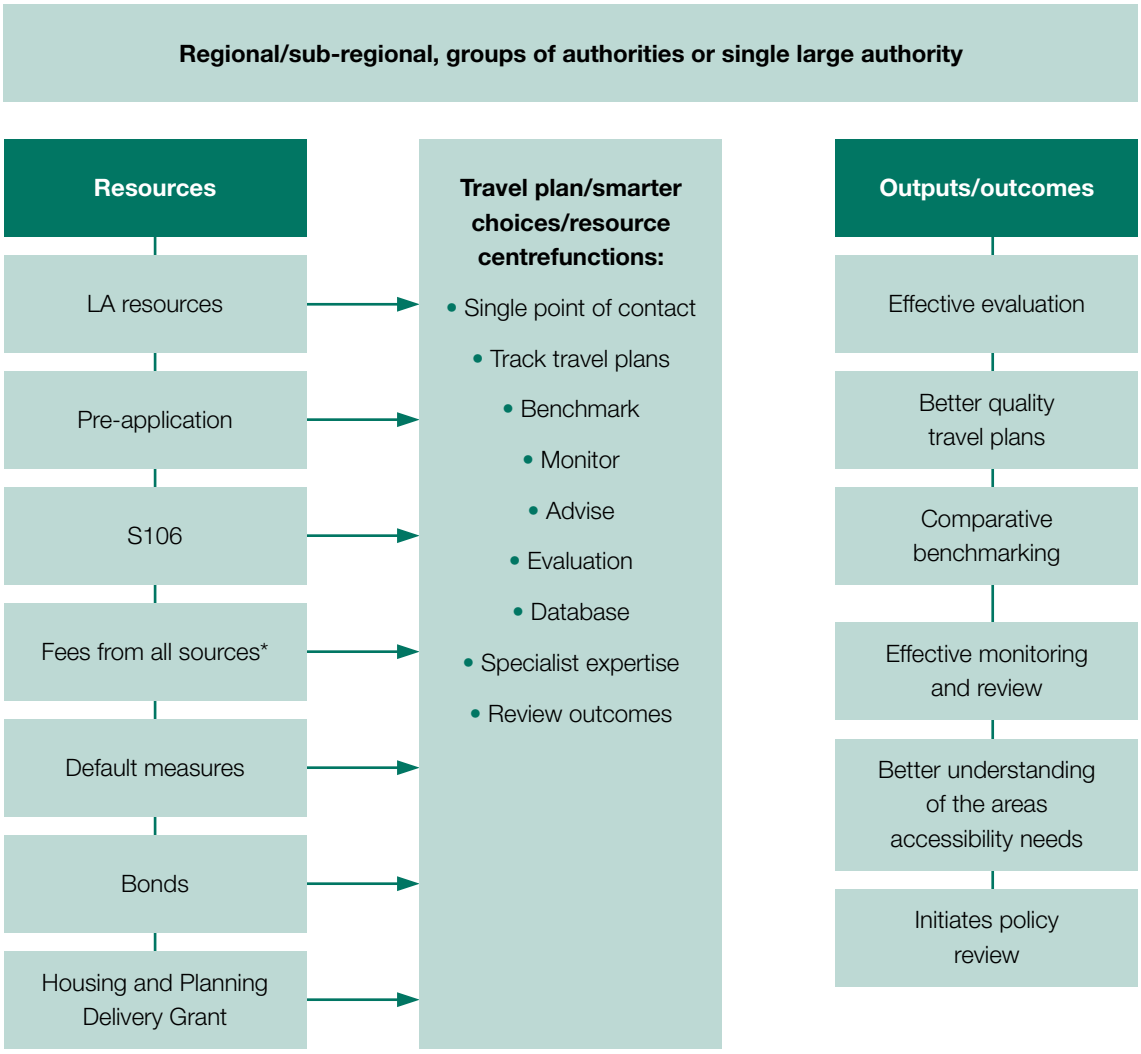
**2.27** Securing effective travel plans requires a multi-disciplinary approach combining the skills of planners, transport planners, travel planners and legal specialists, as well as others depending on the travel plan. It is essential that adequate resources are in place, supported by training. Working arrangements should be agreed to improve co-ordination and integration, with one point of contact for applicants.

**2.28** One way that both developers and local authorities may find beneficial when accessing information and skills is for groups of authorities to combine their knowledge and expertise and establish a 'travel plan/smarter choices resource centre'. For example, a team within a county council could provide cost-effective advice and support to a number of local planning authorities. Alternatively, authorities may choose to work in partnership to ensure appropriate expertise can be made available to deal with travel plans. In London this resource centre is already provided by TfL with sub-regional co-ordinators. The centre could develop and maintain a database and undertake the following activities:

- locate and track travel plans in the area;
- provide information for benchmarking and monitoring, including establishing standardised monitoring systems and it capability;
- provide advice and technical expertise to applicants and local authorities to ensure development of effective travel plans;
- undertake evaluation of draft travel plans and provide feedback;
- provide a consistent monitoring service;
- ensure that travel plans are implemented and achieve the outcomes sought;
- use local information and collective expertise to inform policy development.

**2.29** Funding for such a centre could be derived from a number of sources. In part, if authorities establish a fee or secure an agreed sum for travel plan evaluation and monitoring through Section 106, some or all of that receipt could be used for the purpose agreed but pooled over a relevant number of planning authorities. Given the current shortage of expertise, this could be a cost-effective way of all parties securing the service that they need. This role is most likely to be appropriate at the county or unitary authority level, though there will be cases where particular authorities wish to develop this for a sub-region. It is recommended that, where there are two tiers of local government, the county council takes the lead. Figure 2.1 illustrates the potential functions, funding sources and outputs in relation to a resource centre. Table 2.2 sets out an example of how responsibilities can be shared when developing a travel plan.

## Figure 2.1: Funding and functions – travel plan/smarter choices/ resource centre functions




*Includes planning application fees and those identified earlier, e.g. pre-application discussions, monitoring or travel plans etc.

**Table 2.2: An example of the allocation of roles for securing and developing a travel plan**

| Local planning authority | Local transport authority | Developer/occupier |
|---|---|---|
| Preparation of LDF with location of development proposals taking account of the accessibility of various sites.<br><br>Preparation of appropriate supplementary guidance on travel plans (or adoption of practice prepared by the resource centre).<br><br>Preparation of standardised survey and monitoring systems (or resource centre).<br><br>Preparation and maintenance of list of potential measures (local projects or initiatives to enhance sustainable transport network accessibility) to which developers could contribute.<br><br>Preparation of a model Section 106 agreement and any standard charges and formulae.<br><br>Establishment of pre-application processes and where appropriate development team or Planning Performance Agreements. | Development of a resource centre, including developing and maintaining a database relevant to travel plan implementation and monitoring.<br><br>Technical advice to inform the preparation of the assessment and travel plan.<br><br>Provision of local transport and traffic data.<br><br>Advice on data requirements and action to ensure standard approaches to data collection and evaluation.<br><br>Development of effective liaison with transport operators.<br><br>Development of required sustainable transport network and gaps in provision.<br><br>Support with collection of monitoring information where appropriate and agreed including providing independent monitoring functions. | Preparation of transport assessments and travel plans for individual sites.<br><br>Implementation of the site or area travel plan including provision of appropriate resources.<br><br>Appointment of travel plan coordinator if appropriate.<br><br>Liaison with public transport operators.<br><br>Marketing of the travel plan to all relevant occupiers.<br><br>Collection of monitoring information and presentation of this data to local authorities.<br><br>Recommendation of amendments to the plan to ensure satisfactory outcomes if necessary and implementation of changes once agreed with the local authorities.<br><br>Maintenance of long-term effective management arrangements. |

## Building travel plans into the policy framework

**2.30** In order to effectively integrate travel plans and the planning process, the need for, and requirements of, travel plans should be built into the policy framework at all levels. Regional spatial strategies (RSSs)[14] can set out the broad development locations that would reduce the need to travel and where access to them can be achieved by a range of modes of transport. They should also include policies to manage demand for travel by the private car, encourage behaviour change and promote the use of sustainable transport, where appropriate identifying specific requirements to be achieved through travel plans. Travel plans should be explicitly included as one of the tools that can be used to achieve these wider objectives.

14 This refers to those prepared under Part 1 of the Planning and Compulsory Purchase Act 2004 until such time as they are replaced by regional strategies prepared under the provisions of Part 5 of the Local Democracy, Economic Development and Construction Bill, when implemented.

## Case study:
## National policy for the strategic trunk road network

**The Highways Agency** (HA) has a clear policy to promote travel plans as an integral part of managing the capacity of the trunk road network (Circular 2/07). As an alternative to building additional highway infrastructure to accommodate traffic growth, the HA is instead seeking to reduce demand from developments (and their surrounding areas) with a combination of measures to promote sustainable access to sites. They will only allow developments which do not adversely affect trunk road traffic flows and look at these effects 10 years after the grant of planning permission for the purposes of assessing the impact.

## Case study:
## Regional policy context

The draft **transport strategy set out in the draft Yorkshire and Humberside Regional Spatial Strategy** had travel plans as a key element within it. The region is keen to reduce travel demand through land use policies and measures that discourage inappropriate car use.

**2.31** To be effective, local transport authorities should ensure that the role of travel plans is set out in their Local Transport Plans (LTPs) as part of their approach to managing demand and enhancing accessibility. Working closely with the local planning authorities helps to ensure that current or potential accessibility is taken fully into account when allocating sites in Development Plan Documents or when formulating criteria-based policies for the identification of sites. The results of any site-specific assessments should be used as a key issue in the determination of preferred sites for development as part of the options appraisal.

## Case study:
## Structure Plan and Local Transport Plan Strategy

**Devon County Council** produced these documents, which included an explicit policy, **Managing Travel Demand,** which '*requires new businesses and other establishments to implement travel plans which identify specific measures to minimise private car use and promote sustainable modes of travel, and encouraging existing businesses to introduce similar plans.'*

**2.32** In their LDF core strategies, local authorities should set out any ambitions or outcomes they have, consistent with the RSS and LTP, to achieve modal shift or other transport outcomes. How, when and by whom they are to be achieved will be an integral part of any subsequent more detailed Development Plan Documents and implementation programmes. These could include explicit policies supporting the implementation of travel plans as a mechanism for securing the lowest practical levels of journeys to new development by car. It may also mean indicating when public transport or walking and cycling infrastructure will be provided, and by whom, as part of their responsibilities for infrastructure delivery planning. The location of new development and intensification of existing development should assist the transport objectives – such as modal shift or reduced emissions – being well located to reduce the need for travel and capable of being accessed by sustainable transport. Supplementary Planning Documents or non-statutory guidance (SPDs) can be produced for specific key sites, elaborating the particular requirements.

**2.33** Local planning authorities should consider making clear to developers any detailed requirements of travel plans, including the circumstances when they should be presented alongside a planning application. This can be done through producing SPDs for providing advice to applicants and the community. These documents can also set out the processes for evaluating the travel plan, the means of securing the plan and the mechanisms for dealing with any defaults following its approval and implementation as part of a development proposal. Further details of the requirements of the policy framework are set out in Chapter 3. Authorities may consider the advantages of producing such documents jointly and using expertise available in the county council in two-tier areas.

## Case study:
## Supplementary Planning Documents

**Surrey County Council** is promoting travel plans with a good practice guide that sets out their requirements of developers. Fees for monitoring are also required and will be secured as one-off payments.

**Hampshire County Council's** document sets out the requirements and processes to prepare and secure a robust travel plan. They intend to lead the process and will ensure that effective monitoring is done across the county by securing appropriate fees from the development process.

## Case study:
## Draft Supplementary Planning Document

**Leeds City Council** produced a Draft Supplementary Planning Document on Travel Plans which was sent out for consultation in May 2007. It elaborates the policy requirement set out in the UDP 2006 and includes details of when they are required, how they will be secured and what they should include.

## Case study:
## Travel Plan Guidance

Both the strategic authorities for **Hampshire County Council**, and constituent authorities, and **Greater Manchester,** and constituent authorities, have developed guidance on travel plans, which they have discussed and agreed with their constituent authorities and which are published as a basis for requiring and assessing planning applications and travel plans. In Hampshire this includes a fee schedule.

## Case study:
## Issues and Options process

**Dorset County Council** has worked with West Dorset and North Dorset District Councils to ensure that the concept of travel plans is included in the consultation on their Issues and Options process as part of the Local Development Framework.

# 3. The policy framework – strategic and local

**This chapter briefly outlines the policy framework that exists at national level in England and the policy requirements that should be set out in regional, sub-regional and local strategies and plans, as well as the importance of integration.**

## Key messages

- National policy supports management travel demand, and travel plans are a key measure for assisting to deliver this policy.
- Policies on travel plans should be included in Regional Spatial Strategies (see below) and Local Development Frameworks as they evolve.
- The delivery of travel plans can be further supported by developing Supplementary Planning Documents and other guidance.
- In areas of two-tier local government this guidance may be best developed by county councils. In London it has been developed by TfL.

## The importance of the policy framework

**3.1** A clear and robust integrated policy framework is essential to secure effective travel plans and related wider sustainability objectives when dealing with individual development proposals. The policy framework required should link coherently from national through regional to the local level, e.g. in Regional Spatial Strategies[15] and Development Plan Documents. The policy framework underpins a number of key areas:

- the spatial vision for the area;
- the proposed location of development and related services;
- the projected forms of transport across the area;
- when travel plans are required;

15 This refers to those prepared under Part 1 of the Planning and Compulsory Purchase Act 2004 until such time as they are replaced by regional strategies prepared under the provisions of Part 5 of the Local Democracy, Economic Development and Construction Bill, when implemented.

- outcome targets and related objectives in relation to sustainable travel and sustainable development;
- travel plan content in principle;
- basis for requiring any planning obligations including contributions;
- basis for the acceptability of the planning application and travel plan or for any appeal process;
- basis for any action in relation to default mechanisms of enforcement;
- any predetermined travel plan measures required and relevant systems of tariffs.

**3.2** The local policy framework needs to be comprehensive, integrated and explicit. It should demonstrate effective links between the sustainable community strategy, land use and transport planning and the wider objectives of supporting sustainable development. It needs to be consistent with requirements at national and regional level and set out the requirements for transport assessments and associated travel plans as a mechanism for the delivery of sustainable transport and managing demand.

## National policy

**3.3** National policy is explicitly supportive of travel planning, providing a clear policy framework through a wide range of policy documents of relevance to travel planning.

The policy framework for planning obligations underpins the scope for securing financial contributions within travel plans. Guidance for negotiating planning obligations is currently set out in Circular 5/05 *Planning Obligations*.[16] (see Chapter 7 for more detail).

**3.4** *Guidance for Transport Assessment*[17] provides an important framework for securing travel plans, identifying them as the **principal output of the assessment process**. It establishes a hierarchy for assessment and action, putting sustainable modes at the top with road improvements as mitigation measures last. Circular 2/07: *Planning and the Strategic Road Network*[18] sets out the role of the Highways Agency in relation to plan making, planning applications and planning obligations within a policy context that highlights the importance of travel plans in achieving demand management.

**3.5** LTPs are now expected to demonstrate their contribution to delivering a set of 'shared priorities' for local transport which include: improvement of access to jobs and services, particularly for those most in need; improved public transport; and reduced problems of congestion, pollution and safety.

**3.6** Outside planning and transport policy other national requirements support travel planning, e.g. the Education and Inspections Act 2006 places a duty on local authorities to have a sustainable travel strategy. There is a

16 Circular 5/05: *Planning Obligations*, ODPM 2005.
17 *Guidance for Transport Assessment*, DfT 2007.
18 Circular 2/07: *Planning and the Strategic Road Network*, DfT 2007.

requirement that, where new schools are built, they have a duty to consider and promote sustainable travel to and from school.

### Planning Policy Statement 1: Sustainable development

**3.7** At the core of the new system is the objective of achieving sustainable development, as set out in Planning Policy Statement 1: *Delivering Sustainable Development* (PPS 1).[19] It outlines how the planning system can promote and facilitate sustainable and inclusive patterns of urban and rural development through managing the pattern of development to reduce the need to travel and promoting accessibility to employment centres, shopping, leisure facilities and services by public transport, walking and cycling. Many of the principles directly support the use of travel plans from both an environmental and social viewpoint.

**3.8** Over the last five years the national policy framework has focused on sustainability objectives, and within that travel plans are identified as an important delivery mechanism. Travel plans were first secured within the planning system within the context of *Planning Policy Guidance Note 13: Transport* (revised in 2001)[20]. The changes in national policy have also been reflected in the policy of the Highway Agency, which is now actively promoting the use of travel plans as a way of managing growth of traffic on to their network.

### Supplement to Planning Policy Statement 1: Planning and Climate Change

**3.9** The Climate Change Act 2008 provides the broader context for the Planning Policy Statements, including the recent supplement to PPS1 on climate change which was anticipated in the Planning White Paper.[21] These recognise the role of the planning system in reducing greenhouse gases, such as through the location of development to reduce the need to travel, making walking and cycling accessible, attractive, and essential components of new development, and supporting integrated transport.

**3.10** The Supplement to Planning Policy Statement 1: *Planning and Climate Change*[22] sets out how planning, in providing for new homes, jobs and infrastructure needed by communities, should help shape places with lower carbon emissions and resilience to the impacts of climate change. The PPS makes clear the Government's commitment to put tackling climate change at the centre of what is expected from good planning and its expectation that new development should be located and designed to optimise its carbon performance.

### *Planning Policy Statement 3: Housing*

**3.11** PPS3 *Housing*[23] includes aspects of housing design, some of which are relevant to residential travel planning. The advice encourages the development of sustainable, environmentally friendly high-quality housing,

19 Planning Policy Statement 1: *Delivering Sustainable Development*, ODPM 2005.
20 Planning Policy Statement 13: *Transport*, DETR 2001.
21 *Planning for a Sustainable Future*, CLG/DEFRA/DTI/DfT, 2007.
22 Planning Policy Statement (Supplement to PPS1): *Planning and Climate Change*, CLG 2007.
23 Planning Policy Statement 3: *Housing*, CLG 2006.

located to provide good access to jobs, services and infrastructure, making efficient use of resources. It stresses the importance of effective use of land and existing infrastructure and focusing new development in locations with good public transport accessibility and the potential to make use of renewable and low-carbon forms of energy supply.

## Regional and local policy

**3.12** At the regional level, policy integration between transport and spatial planning is achieved via Regional Spatial Strategies (RSS) in accordance with PPS11 *Regional Spatial Strategies,*[24] although as indicated earlier this may change. The current RSS sets out a spatial vision and related development strategy for each region over a 15–20 year period, within which the *Regional Transport Strategy* (RTS) provides key transport measures in support of the RSS. Given the spatial nature of transport and accessibility issues, it is important that these address travel planning and its role in responding to issues of congestion, poor accessibility, regeneration, as well as housing and economic growth.

**3.13** Local planning policy is now established through the Local Development Framework (LDF), with the Core Strategy setting out the long-term spatial vision, strategic objectives and a delivery strategy relating to housing, employment, leisure, retail, community, essential public services and transport development. As the spatial expression of the council's overall strategy for its area, the Core Strategy should relate upwards to both national and regional policies in accordance with PPS12 *Local Spatial Plans,*[25] as well as laterally to community strategies and adjacent authorities. Both the RSS and LDF should seek to identify locations for development that reduce the need to travel and that are accessible by a range of means of transport.

**3.14** Local Transport Plans (LTP) are not part of the development plan. However, they are important statutory documents that all transport authorities are required to produce unless they are in London[26] or 'excellent'.[27] An LTP sets out the authority's local transport strategies and policies, together with an implementation programme. They need to include measures to address congestion and accessibility and are encouraged to consider ways of managing travel demand. They can therefore include policies to promote and programmes to implement travel plans to support wider objectives, tailored to meet the needs of the locality.

**3.15** The policy framework is most effective when it includes explicit reference to travel plans and related issues in both planning and transport plans. It needs also to be integrated through the hierarchy of planning and transport plans, and the community strategy, as well as with other plans and strategies that cover the same area, e.g. economic development plan, education plans and housing strategies. Figure 3.1 illustrates the linkages. Links to the Local Area Agreements are also relevant.

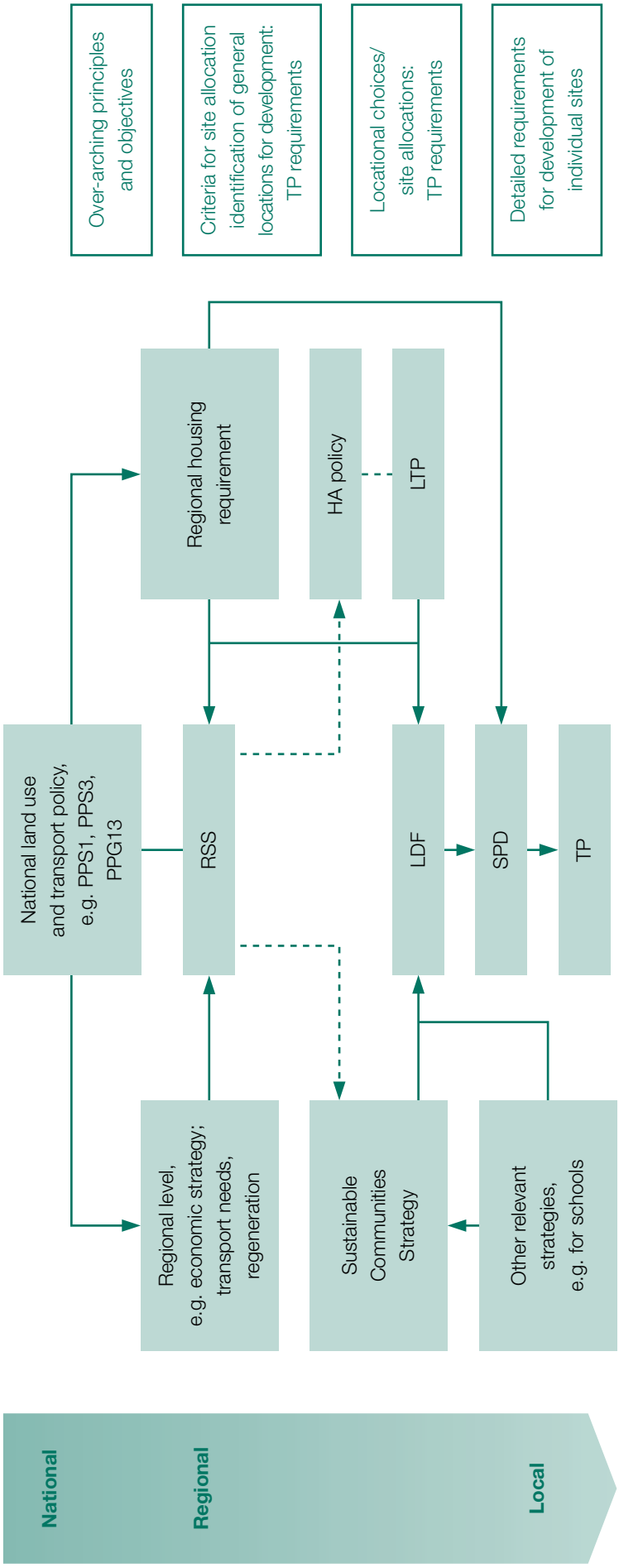
24 Planning Policy Statement 11: *Regional Spatial Strategies* 2004.

25 Planning Policy Statement 12*: Local Spatial Planning.* CLG 2008.

26 London is subject to different requirements – refer to TfL or GLA documentation.

27 Through the Comprehensive Performance Assessment.

**Figure 3.1: The policy framework**



**3.16** Integration of policy at the local level should ensure that travel plans are not undermined by policies relating to other topics, such as car parking standards. A multi-disciplinary approach will therefore be needed, both within the local authorities and working with key partners, such as the health authority, education sector and transport operators. The policy framework will be strengthened further by working across geographical boundaries and with neighbouring authorities. In areas of two-tier local government it will be particularly important for county and district councils to work together closely.

### Case study:
### Linked transport policy and targets

**Surrey County Council** has linked its transport policy, including transport targets, through to its requirement for travel plans in conjunction with the district councils. Targets for travel plans must be linked to the targets in the Surrey Local Transport Plan 2006/7–2010/11. In practice this means that developers have to demonstrate how they will contribute to ensuring that peak flows to hubs (Woking, Guildford and Reigate/Redhill) will not increase above the levels in the base year of 2005/6 and traffic growth can be limited to the range 1% per annum and 5.5% between 2004 and 2010.

### Case study:
### Policies within Local Plan

**Test Valley District Council** has robust policies in its Local Plan, including targets that are consistent with those of the county council. The planning authority works closely with the county council, which handles the lead on the larger applications on its behalf. Travel plan guidance, common to both, is used.

## Supplementary Planning Documents (SPD)

**3.17** The planning system gives planning authorities the opportunity to amplify development plan policies in SPDs[28] and confirms that such SPDs will, under the revised planning system, form part of the planning framework for the area. They can be a material consideration of significant weight in the determination of planning applications.

**3.18** It is good practice for all policy information and related guidance on travel plans to be incorporated into published local guidance following consultation, e.g. a Supplementary Planning Document that is formally adopted (or an equivalent). This has the benefit of having all the relevant information in one place, with a formal status and which clarifies key objectives and requirements. This document could usefully also include all key requirements in relation to transport assessments and car parking to ensure a coherent and consistent approach.

28 These are similar to Supplementary Planning Guidance (SPG) under the previous planning system.

## Case study:
## Travel Plans Good Practice Guide

**Surrey County Council** has produced a *Travel Plans Good Practice Guide* for development control including the policy, thresholds, targets and fees. See "Development related travel plans" section of the Surrey County Council website (www.surreycc.gov.uk).

## Case study:
## Supplementary Planning Document on travel plans

**Leeds City Council** has prepared a SPD on travel plans covering a wide range of aspects, including context, thresholds, requirements, evaluation and monitoring, which has been the subject of public consultation.

The **Borough of Poole** published a SPG in 2004 linked to its UDP which established its requirements and has been the basis of the planning approach ever since.

**3.19** Many local authorities have already adopted and published Supplementary Planning Guidance for travel plans under the previous planning legislation, and several have usefully covered both travel plans and transport assessments in the same guidance. The best examples cover a wide range of related matters, including these main headings:

- purpose and scope of a travel plan;
- national, regional and local policy framework;
- when a travel plan is required, clarifying thresholds/ criteria and where area travel plans may be required;
- process for determining travel plan requirements;
- transport assessment requirements and the relationship to travel plans;
- establishing modal split or trip outcome targets, or other targets
- car parking requirements and management;
- design, objectives, content and implementation of a travel plan;
- components (the contents sought including 'measure/actions') of a travel plan;
- evaluation of the travel plan;

- ways of securing the travel plan including planning obligations and standard section 106 clauses;
- sustainability/sustainability checklist;
- procedures in relation to speculative developments;
- monitoring and review procedures and requirements;
- default mechanisms and contingency arrangements.

**3.20** Policies and requirements should be based on an up to date evidence base. Some local authorities now have SPG/SPD specifically relating to developer's contributions and list schemes and projects for which contributions may be sought linked to proposed transport networks. These can be related to a single development, or contributions may be secured and pooled to enable completion of schemes with wider benefits. Many of the measures that are appropriate for travel plans can be included in these documents and should form part of the evidence base for the preparation of the plan. It is also important that local authorities keep these up to date.

## Case study:
## Tariff approach

**Milton Keynes** has developed a 'tariff' approach based on a sound evidence base which sets out overall projected infrastructure requirements and how they relate to Section 106 provisions in the form of a 'roof tax' based on total estimated cost. The tariff Framework S106 Agreement requires the developer to pay for the provision of travel packs to each household in residential areas. Through liaison with the local authority, these will be supported by staff responsible for promoting their use. In employment areas, the developer will be required to fund a travel co-ordinator whose role is to assist companies/ employees in that particular area to participate in travel planning. This has yet to be clarified in relation to travel plans but provides a good context for them. See www.miltonkeynespartnership.info

**3.21** Once all the policies have been agreed, it is important to ensure that these are collected together and can be presented as a coherent package to developers and other key stakeholders, including the community and delivery bodies, through the publication of the written documents.

**3.22** Table 3.1 illustrates the issues to be considered as a summary.

**Table 3.1: Checklist for preparing the policy framework**

| | ✓/✗ |
|---|---|
| • Relate local policies on demand management, including travel planning, to national guidance on sustainability, planning and transport, and other relevant local strategies. | |
| • Ensure that there are explicit complementary policies in both local development frameworks and local transport plans that cover travel plans of all types and requirements. | |
| • Make explicit linkages between relevant policies, e.g. car parking, transport assessments and travel plan requirements. | |
| • Ensure horizontal and vertical integration and consistency in policy at regional, sub-regional and local level. | |
| • Develop and incorporate outcome targets in policy – these could include trip generation, modal split targets, trip length, etc. as well as any specific requirements that travel plans should meet. | |
| • Aim for a comprehensive Local Transport Plan that includes information that supports travel planning, such as proposals which could be funded through pooled contributions as well as an explicit proposed sustainable transport network illustrating what is sought (for London this is the Local Implementation Plan). | |
| • Regularly review and update policies and guidance. | |
| • Establish and maintain good baseline information on all aspects of travel plans and impacts. | |
| • Prepare and publish Supplementary Planning Documents to clarify key policies on travel planning. | |

# 4. The process of requiring a travel plan

**This chapter sets out in detail the recommended process that should be followed in requiring a travel plan as part of the planning application process. It proposes when travel plans should normally be required in relation to the type and scale of development.**

## Key messages

- The local planning authority should agree when they are going to require travel plans and what type.
- Travel plans should be submitted with a planning application where they are required to ensure they can be approved as an integrated whole.
- All key processes should be agreed with relevant parties and published.
- All key members and staff should be made aware and own the processes including where relevant those in two-tier authorities.
- Travel plans are an integral part of development management and need to be resourced.
- Training for all key participants is essential both with local authorities and externally where relevant.
- The process should be front-loaded – early scoping of requirements between parties at pre-application stage is highly beneficial or as part of a Planning Performance Agreement.
- Travel plans submitted should relate explicitly to the transport assessment.
- Developers are responsible for preparing transport assessments and travel plans to the standards required.

## When should a travel plan be required?

**4.1** Travel plans are now regularly required by planning authorities in relation to a wide range of development proposals, including commercial, office, institutional (education establishments, hospitals), leisure and residential developments. A summary of the key stages in the process is set out in Table 2.1 in Chapter 2.

**4.2** The *Guidance on Transport Assessment*[29] indicates that travel plans should be pursued as a mechanism for the delivery of sustainable transport within the planning approval process. The policy framework and any SPDs published by local authorities should be sufficiently detailed and robust to clarify the need for and type of travel plan that any development requires. This should reduce the need for applicants to engage with local authorities on the principles, enabling any discussions to focus on site-specific issues.

**4.3** Local authorities should therefore set out clearly the size and scale of development proposals in their areas where travel plans are required and explain the type of travel plan that may be acceptable in different circumstances. Table 4.1 sets out the thresholds above which travel plans and travel plan statements would normally be expected. This is consistent with the national guidance on the preparation of transport assessments but is likely to need adjustment to reflect local circumstances. In those cases where the national guidelines are not being used, the requirements should be publicly available and evidence-based. Thresholds identified locally should clearly relate to the broader outcomes required, e.g. the Regional Transport Strategy, Local Transport Plan or DPDs/SPDs or other area-based plans. In London TfL has published its own specific requirements that cover different types of developments in London.[30]

**Table 4.1: National guidance on requiring a travel plan or travel plan statement (as set out in the national GTA guidance)**

| Land use | Description of development | Size | Travel plan statement | Travel plan |
|---|---|---|---|---|
| A1 Food retail | Retail sale of food goods to the public – food superstores, supermarkets, convenience food stores | GFA | >250<800 sq. m | >800 sq. m |
| A1 Non-food Retail | Retail sale of non-food goods to the public; but includes sandwich bars – sandwiches or other cold food purchased and consumed off the premises, internet cafés | GFA | >800<1500 sq. m | >1500 sq. m |
| A2 Financial and professional services | Financial services – banks, building societies and bureaux de change, professional services (other than health or medical services) – estate agents and employment agencies, other services – betting shops, principally where services are provided to visiting members of the public | GFA | >1000<2500 sq. m | >2500 sq. m |

29 *Guidance on Transport Assessment*, DfT 2007.

30 *Guidance for Workplace Travel Planning for Development and Guidance for Residential Travel Planning in London.* TfL 2008.

**Table 4.1: National guidance on requiring a travel plan or travel plan statement (as set out in the national GTA guidance)**

| Land use | Description of development | Size | Travel plan statement | Travel plan |
|---|---|---|---|---|
| A3 Restaurants and cafés | Restaurants and cafés – use for the sale of food for consumption on the premises, excludes internet cafés (now A1) | GFA | >300<2500 sq. m | >2500 sq. m |
| A4 Drinking establishments | Use as a public house, wine-bar or other drinking establishment. | GFA | >300<600 sq. m | >600 sq. m |
| A5 Hot-food takeaway | Use for the sale of hot food for consumption on or off the premises | GFA | >250<500 sq. m | >500 sq. m |
| B1 Business | (a) Offices other than in use within Class A2 (financial and professional services)<br>(b) research and development – laboratories, studios<br>(c) light industry | GFA | >1500<2500 sq. m | >2500 sq. m |
| B2 General industrial | General industry (other than classified as in B1) | GFA | >2500<4000 sq. m | >4000 sq. m |
| B8 Storage or distribution | Storage or distribution centres – wholesale warehouses, distribution centres and repositories. | GFA | >3000<5000 sq. m | >5000 sq. m |
| C1 Hotels | Hotels, boarding houses and guest houses, development falls within this class if 'no significant element of care is provided'. | Bedrooms | >75<100 bedrooms | >100 bedrooms |
| C2 Residential institutions – hospitals, nursing homes | Used for the provision of residential accommodation and care to people in need of care. | Beds | >30<50 beds | >50 beds |
| C2 Residential institutions – residential education | Boarding schools and training centres. | Students | >50 <150 students | >150 students |
| C2 Residential institutions – institutional hostels | Homeless shelters, accommodation for people with learning difficulties and people on probation. | Residents | >250 <400 residents | >400 residents |
| C3 Dwelling houses | Dwellings for individuals, families or not more than six people living together as a single household. Not more than six people living together includes – students or young people sharing a dwelling and small group homes for disabled or handicapped people living together in the community. | Dwelling unit | >50 <80 units | >80 units |

**Table 4.1: National guidance on requiring a travel plan or travel plan statement (as set out in the national GTA guidance)**

| Land use | Description of development | Size | Travel plan statement | Travel plan |
|---|---|---|---|---|
| D1 Non-residential institutions | Medical and health services – clinics and health centres, crèches, day nurseries, day centres and consulting rooms (not attached to the consultant's or doctor's house), museums, public libraries, art galleries, exhibition halls, non-residential education and training centres, places of worship, religious instruction and church halls. | GFA | >500 <1000 sq. m | >1000 sq. m |
| D2 Assembly and leisure | Cinemas, dance and concert halls, sports halls, swimming baths, skating rinks, gymnasiums, bingo halls and casinos, other indoor and outdoor sports and leisure uses not involving motorised vehicles or firearms. | GFA | >500<1500 sq. m | >1500 sq. m |
| Others | For example: stadium, retail warehouse clubs, amusement arcades, launderettes, petrol filling stations, taxi businesses, car/ vehicle hire businesses and the selling and displaying of motor vehicles, nightclubs, theatres, hostels, builders' yards, garden centres, POs, travel and ticket agencies, hairdressers, funeral directors, hire shops, dry cleaners. | TBD | Discuss with appropriate highway authority | Discuss with appropriate highway authority |

GFA= Gross floor area TBD = To be developed

**4.4** In addition to Table 4.1, the Government's transport assessment guidance sets out other factors that may be taken into account rather than thresholds in determining the need for a travel plan. These are listed in Table 4.2, as set out in the guidance.

**Table 4.2: Other considerations for assessments, statements and travel plans (source: GTA)**

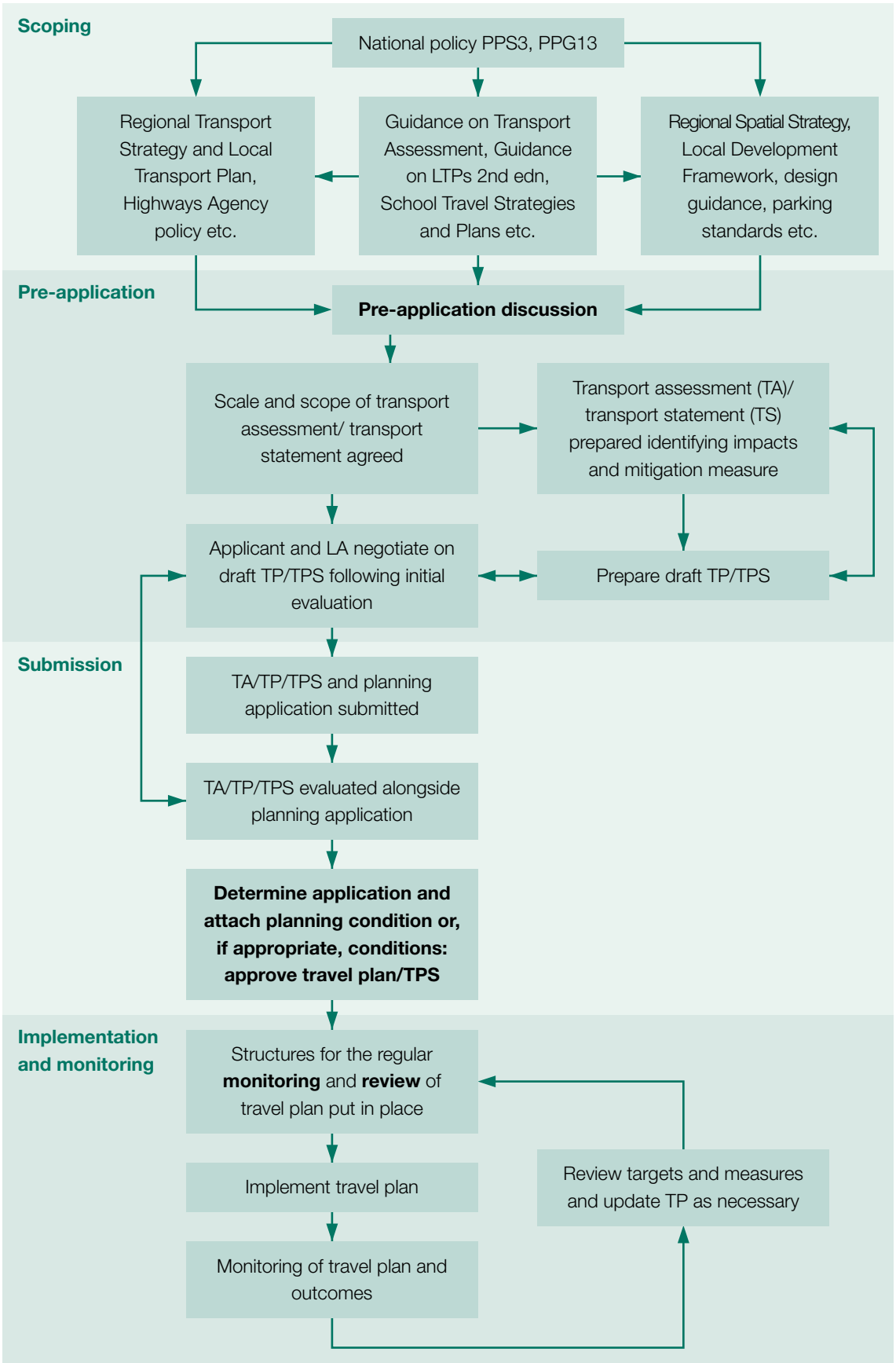
| | Other considerations | TS | TA | TA/TP |
|---|---|---|---|---|
| 1 | Any development that is not in conformity with the adopted development plan. | | | ✓ |
| 2 | Any development generating 30 or more two-way vehicle movements in any hour. | | ✓ | |
| 3 | Any development generating 100 or more two-way vehicle movements per day. | | ✓ | |
| 4 | Any development proposing 100 or more parking spaces. | | ✓ | |
| 5 | Any development that is likely to increase accidents or conflicts among motorised users and non-motorised users, particularly vulnerable road users such as children, disabled and elderly people. | | | ✓ |
| 6 | Any development generating significant freight or HGV movements per day, or significant abnormal loads per year. | | ✓ | |
| 7 | Any development proposed in a location where the local transport infrastructure is inadequate – for example, substandard roads, poor pedestrian/cyclist facilities and inadequate public transport provisions. | | ✓ | |
| 8 | Any development proposed in a location within or adjacent to an Air Quality Management Area (AQMA). | | ✓ | |

TS = Transport Statement; TA = Transport Assessment; TP = Travel Plan

**4.5** Some local authorities already specify other criteria apart from size where some development will require a travel plan, area travel plan or travel plan statement related to local circumstances. Attention also needs to be given to the impact of proposed extensions and whether extensions that take developments over/into the threshold criteria or considerations should be subject to a travel plan. In principle, if sites are already generating substantial numbers of trips, an extension that will increase this is likely to need a travel plan. Examples of criteria used by authorities are:

- any traffic generating development in, or within 100 metres of, an air quality management area;
- any development that lies within an area (or along a corridor) which has been identified within the LTP for the delivery of specific initiatives or targets for the reduction of traffic, or the promotion of walking cycling or public transport;
- any area, specified within an LDF, where the cumulative impact of development proposals is a cause for concern;
- the provision of a new or extended school and other educational facilities (required by DCFS);
- an extension to an existing development that causes the total travel impact of the site to exceed the threshold for a transport assessment;
- where projects and/or their access routes are adjacent to Sites of Special Scientific Interest, etc.

## Figure 4.1: Travel plans and planning applications



## Case study: Thresholds

**Test Valley**, Hampshire, includes threshold for the need for a travel plan in the Local Plan. These are included alongside thresholds for the TA and vary from the TA thresholds, so that smaller developments are included.

**TfL** has issued guidance on travel plans setting out the thresholds that require travel plans or, in the case of smaller developments, travel plan statements. These thresholds have been designed to reflect the needs of London.

**4.6** Research[31] indicates that inclusion and application of the seven stages highlighted in Table 2.1 is likely to help achieve effective travel plans and associated planning obligations, namely: scoping, pre-application discussions, submission, post-determination and pre-occupation, occupation, post-occupation and monitoring/review, and default. Figure 4.1 illustrates the application process that could be used. Such a diagram could usefully be included in the information to be published by the local authority.

**4.7** To maximise the effectiveness of these different stages for all stakeholders, local authorities should publish relevant information to support the process which could include:

- policies and guidance relating to travel plans, car parking and transport assessments (see Chapter 3 relating to e.g. SPDs);
- promotional information as to the aims and benefits of travel planning;
- processes and procedures, including timetables and consultation arrangements to be followed by the authority;
- travel plan requirements and how these are likely to be secured;
- benchmarking information;
- particular planning obligation requirements;
- monitoring information, review, and amendment provisions and requirements.

31 *Valuing Planning Obligations in England*, CLG May 2004, *Securing Community Benefits through the Planning Process*, Audit Commission, August 2006, and the research undertaken as part of this update of Travel Plan guidelines.

## Case study: Guidance

**Devon** – *Preparing and Issuing Local Development Framework Briefing Papers* to local planning authorities on Devon Travel Strategy, Transport Assessments and travel plans, to assist districts and boroughs in the preparation of their Local Development Documents and to lock in the requirements for travel plans in the statutory planning framework. These are on the web.

**Surrey –** Published the *Travel Plans Good Practice Guide 2007*, which sets out clearly all the Council's policies, procedures and requirements in one place.

**Warwickshire –** *Practice Note on Travel Plans for Developers in Warwickshire*, May 2003. Travel plans are required for all developments with a transport assessment. Guidance is given on the form, content and targets that should be included and the sanctions that will be applied if targets are not achieved.

## Clarity of internal and external procedures

**4.8** It is recommended that formal arrangements are set out for engagement between officers and applicants/developers within the documentation and that these arrangements should have been clearly established and agreed by all key parties. It is beneficial to include the role of different officers, e.g. officers from the transport authority as well as from the planning authority, within the process both in terms of responsibility and timing. The arrangements should indicate clearly the roles of the planners, including both the policy and development management officers, transport planners, travel planners within the authority (or external support, e.g. ACT TravelWise advisers or similar), legal specialists and any other person relevant in the particular circumstances. Clarity of the lead officer is essential. In some circumstances the arrangements will be part of a Planning Performance Agreement.[32] Should the resource centre be established, it would be essential to clarify its role in the arrangements. The role of council members should also be stated clearly. Appropriate training should be provided for all those involved, including both officers and members. The research indicates that this is a critical area.

**4.9** Written internal procedures can be set out in a development control manual and the external elements of these made publicly available. They can also be incorporated into electronic systems for development control. It is important that the procedures take full account of the benefits of frontloading the process and importance of fast decision-making, e.g. to seek a planning decision within 13 weeks on major applications. In addition, it is important to ensure that all parties are clear as to the type of travel plan required in all circumstances, in advance of the potential applicant finalising either the purchase or the planning application submission.

32 *Implementing Planning Performance Agreements*, ATLAS, 2007, http://www.pas.gov.uk/pas/core/page.do?pageId=42787.

## Case study:
## Staff briefing paper on procedures

**Islington Borough Council** has prepared a briefing paper for staff that sets out how the process should work, what procedures to follow and tariffs required. The Council is embedding its policy framework by supporting this with comprehensive internal procedures. Transport planners and development control officers follow a systematic approach set down in an agreed internal protocol that gives realistic framework for comments. It is an iterative process that continues until the application is determined.

**4.10** Protocols and service-level agreements, if in place, ensure co-ordination and best use of resources on all stages of the process to support integrated policy development and consistent approaches to planning obligations and other financial aspects (see Chapter 7). These need to link to any development team or Planning Performance Agreement procedures and be implemented and monitored. Co-ordination across governmental tiers will be assisted by publication of agreed guidance notes, appointment of travel plan officers, and joint staff induction and training programmes. Such guidance will also assist in ensuring timely and effective coordination with other key service e.g. health or education.

## Case study:
## School travel plans

**Nottingham City Council** has produced an internal document on school travel plans, 'Guidance note on developing travel plans for education sites including new development and joint service locations'. This covers all applications submitted for educational development that may lead to an increase in traffic such as new build or refurbishments that increase capacity. As a result of initiatives, including Building Schools for the Future, the Academies programme, children's centres and joint service centres, there is a growth in the number of educational establishments. The guidance states that the travel plans will cover not only pupils but staff and visitors, as the extended schools programme will broaden the use of sites and the activities on offer. The guidance also provides a comprehensive list of tasks to be undertaken, when they should be undertaken and by whom. Through the use of pre-application discussions the guidance aims to have incorporated into the design solutions that will ensure the travel plan will work.

**4.11** Arrangements for involvement of other agencies, such as the Highways Agency, and public transport operators should also be clear from the beginning. For major developments that impact on the trunk road network, representatives of the Highways Agency should be included in the team and consulted throughout the process from the earliest stage. The current Highways Agency policy is to manage further traffic growth on its highway network by exploiting fully the opportunities provided by travel plans.

## Case study:
## Partnership working across authorities

**The Highways Agency** has worked in partnership with a number of local highway and planning authorities to secure travel plans for major developments that are expected to have major impacts on the trunk road network. These include sites at Wellingborough, Shellhaven, Blyth Valley and Warrington. A partnership approach has been essential to secure improved access by sustainable modes and mechanisms to protect the operation of the trunk road network in the event that the alternatives fail to deliver the anticipated outcomes. The Agency has worked with Stoke City and Staffordshire County Councils to produce a robust travel plan for a regeneration scheme at Chadderley Valley.

**4.12** Liaison arrangements with public transport operators and passenger transport executives should also be clarified as they will be involved in:

- planning of services for proposed developments;
- identifying opportunities to expand/extend public transport networks;
- supporting the delivery of measures within the travel plan;
- co-ordinating and providing incentives to encourage public transport use (e.g. discount cards and preferential ticketing offers).

## Case study:
## Partnership with an operator

**Islington Borough Council** has a single operator contract with a car club provider, Street Car; dedicated parking spaces are provided through a planning obligation, and there are now 68 dedicated bays and over 1000 members in the borough.

## Case study:
## Joint working with transport operators

**Birmingham City Council** works closely with its transport operators, particularly Centro, which has its own TravelWise team and offers those who join Company TravelWise a comprehensive range of services, including:

- bespoke public transport information for the site – e.g. timetables, maps, special offers and visitor guides;
- advice and support on improving public transport to the site;
- staff travel awareness sessions to promote public transport;
- discounted annual season tickets and one day passes;
- an individualised journey planning service via Centro's website;
- internal communications support, for example assistance with articles for staff newsletters;
- public transport updates for the organisation's Company TravelWise notice board;
- assistance with office relocations.

Similarly **Leeds City Council** works with its transport operators through their local TravelWise network to ensure that occupiers are aware of the public transport services available to serve sites. Benefits for employers include securing help and support in assessing their site, formulating their travel plan and agreeing an action plan. Staff home postcodes can be mapped, and tailor-made bus accessibility maps can be undertaken. Employees of member companies can access discounts on Metro cards.

**Devon County Council** has a good relationship with transport operators, particularly Stagecoach Devon, whom it considers to have a good understanding of the benefits of travel plans. Travel plan measures that have been achieved have included discount fare schemes in Exeter City Centre, support for bus service improvements and improved transport information. Other partners who can assist in delivering travel plan measures include car club companies such as Car Plus, operating in Exeter and Topsham, and More Car in Ashburton. A car share scheme has also been developed with adjoining unitary authorities in Torbay and Plymouth – see www.CarShareDevon.com.

## Scoping what is required

**4.13** This is the first and a key stage of the planning application process. It is likely that it will take place as an initial part of the pre-application discussions and possibly as part of discussions on a Planning Performance Agreement, but may be in advance of that stage. It may be necessary for there to be one or more meetings at this initial stage to agree:

- the key issues;
- the policy framework – regionally, sub-regionally and locally;
- the outcomes sought;
- the process to be followed and the timetable;
- the key information required and available;
- the form and extent of the transport assessment;
- the type of travel plan that would be suitable, its scope and the content required;
- other relevant information and references.

**4.14** Formal discussions between the applicant and the local authority may not be required at this stage in some circumstances, particularly if development proposals are not large or complex. Where it is appropriate, developers should be provided with as much information as possible beforehand in terms of standard documentation and general requirements. In addition, the developer should ensure that they are in a position to have a clear discussion on the nature of the development at a strategic level. These discussions should focus on site-specific issues, including provision of information about the surrounding area and other relevant technical advice.

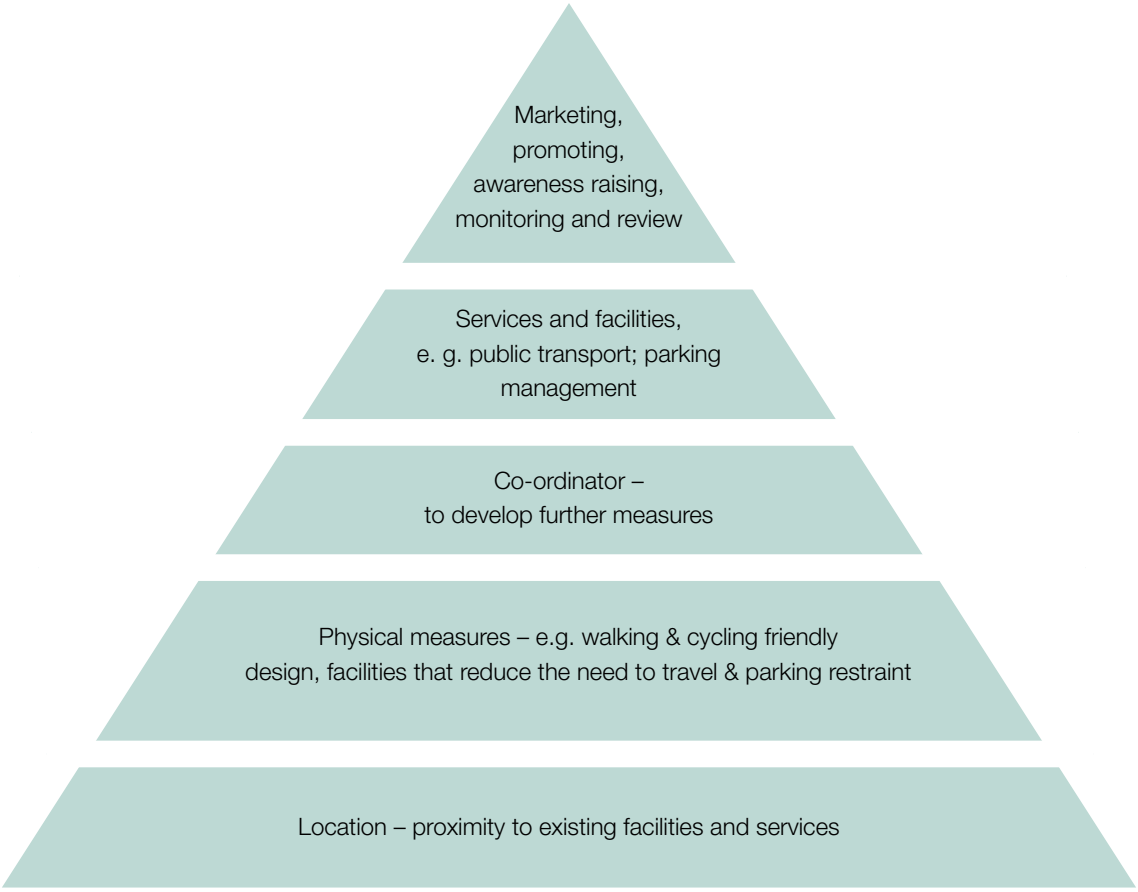
**4.15** It is important at this stage to determine what type of travel plan is required in the circumstances, given the form and scale of the development, i.e.:

- full travel plan;
- interim travel plan;
- framework travel plan;
- area travel plan;
- travel plan statement.

The decision of the form of travel plan and the level of detail could be usefully agreed on the basis of considering the travel plan pyramid: see Figure 4.2. The definition of these terms was set out in Chapter 2 (see also Appendix A).

## The travel plan pyramid

**Figure 4.2: Travel plan pyramid**




**4.16** It can be helpful to view a travel plan for a new development as a pyramid of measures and actions, which is constructed from the ground up, with each new layer building on the last all set within the context of the outcomes sought. The scoping process should take account of these building blocks. The outcomes should be established at the scoping stage and the site should have already been assessed as part of the LDF process as to its suitability for sustainable development.

**4.17** At Level 1, the base of the pyramid, the **choice of location** for the development, provides the foundation for good accessibility, by ensuring proximity to existing facilities and services, including shops, health facilities, schools and public transport.

**4.18** At Level 2 are all the **physical aspects** of the development that can be expected to influence travel. This includes, where appropriate, parking allocation that is consistent with the aspirations of the travel plan for low car use. It also includes designing and laying out of the site to be pedestrian, cycle and public transport friendly, and the provision of cycle storage and (in workplaces) walkers' and cyclists' changing facilities. Consideration should be given to the way the new development connects with the rest of the local walking, cycling and public transport networks, and its accessibility to mobility-impaired users. Where appropriate, the site design may need to

incorporate on-site facilities that reduce the need to travel – for example, a staff restaurant at an employment site or a community centre or shops in a residential development. Also at Level 2 of the pyramid are off-site measures that facilitate sustainable travel, such as safer crossings, external cycle routes and improved walking links to bus and rail.

## Case study: Integration of physical measures

**Grand Union Canal site – Ealing/Hillingdon –** The concept of a travel plan and sustainable access was built into the initial scheme design for this residential site, as was the need to market the site with the travel plan as a key feature. The site has a travel plan co-ordinator.

**Poole** – Poole Quarter, a residential development, was also designed with a variety of travel plan measures integrated into it.

**4.19** At Level 3 is the input of a **site travel co-ordinator** to co-ordinate the ongoing development and management of the plan, including further measures, awareness raising, monitoring and review.

**4.20** At Level 4 are the **services and facilities** to be delivered as part of the travel plan to help meet transport needs as appropriate. This could include, for example, new or improved bus services, a staff mini-bus, a discounted taxi service or guaranteed ride home, access to pool cars, pool bikes or a car club, personalised travel planning, a bicycle repair service and a car share matching scheme. At this level too is the introduction of parking management schemes – such as a daily charge and/or a needs-based allocation of limited spaces.

**4.21** At Level 5, the top of the pyramid, is **awareness raising, marketing and information.** These are measures designed to ensure that people know about the services and facilities provided through the travel plan and to encourage more sustainable travel. This could include personal travel advice for individuals,[33] promotional campaigns and travel information, e.g. walking incentive schemes run by schools and travel to work induction materials provided by employers. It could also include incentives designed to assist in promoting sustainable travel.

**4.22** Consideration of the above should inform the process. Wherever possible, full travel plans should be sought to ensure that the local planning authority can be satisfied prior to giving planning permission that suitable means of access are achievable without adverse impact to the local area. Critical to this will be the establishment of the outcomes sought as a result of the travel plan and the proposed targets to be associated with them. These need to relate to the local issues, e.g. congestion, pollution, poor access etc., as well as to the use and scale of development and transport context. (See Chapter 5 for more detail on outcomes, indicators and targets.)

33 See *Making Personal Travel Planning Work: Research Report,* DfT 2007; *Making Personal Travel Planning Work: Case Studies,* DfT 2007; *Making Personal Travel Planning Work: Practitioners' Guide,* DfT 2008.

**4.23** There are many effective travel plan requirements and measures that can be justified without reference to the detailed travel patterns of the occupiers and that should be sought at the earliest stage, including:

- controls on amount car parking and its management;
- provision of improvements to public transport infrastructure;
- provision of facilities for pedestrians and cyclists;
- provision of improved public transport services;
- nomination of travel plan co-ordinator;
- provision of information on the travel plan and its implications to potential occupiers such as personal travel planning.

**4.24** Many of these requirements, and other measures are best implemented, where possible, prior to occupation and therefore can be included in a travel plan submitted with the planning application. It is important that as many measures as possible are in place prior to occupation and travel patterns becoming established that use non-sustainable modes. Once the occupier is known, then the initial measures can be supplemented to arrive at a full travel plan or if necessary modified. The key issue is what can be agreed prior to granting planning permission, then what process will be used to ensure that this is satisfactorily moved forward as the development takes place and is occupied.

## Case study:
## Requirements for interim and full travel plans

**Surrey County Council** in its good practice guide has given examples of the type of agreement it will seek at different stages of developing a travel plan. For example, at the 'interim' stage it may be appropriate to include a commitment to the provision of a bus service. The precise form that the service will take will then be agreed at a later stage, for example when the final occupier is known.

## Case study:
## Requirements for framework and interim travel plans

**Devon County Council** has established its requirements for the use of both framework and interim travel plans in its published documentation.

Devon County Council Planning Applications – a *Guide for Development Related Work Place Travel Plans* – draft November 2006

## Pre-application discussions

**4.25** Undertaking pre-application discussions is good practice for most development proposals and is usually essential for more complex ones. Pre-application discussions are encouraged as part of the 'front loading' of the planning process and new guidance has recently been produced to improve their effectiveness.[34] This stage provides the initial opportunity to consider the travel plan in draft and to provide feedback on the initial evaluation alongside the transport assessment. There should then be opportunities to negotiate the totality of the plan (set out in more detail in Chapter 5 and the evaluation in Chapter 6) and agree the method of securing its delivery (set out in Chapter 7).

**4.26** Every effort should be made to ensure that as much as possible is agreed prior to the submission of the application, unless agreed otherwise as part of the Planning Performance Agreement (PPA). The aim is to ensure that both the application and the travel plan are approved concurrently. Developers need to submit high-quality plans that local authorities will deal with consistently. At this stage, applicants should also be given as much clarity and certainty as possible about the likely requirements so they are aware of the potential financial implications. Early discussions will ensure that expectations are realistic and relevant. They will also clarify how the specific application may be dealt with in the light of the scale and nature of development, site, location and existing transport characteristics.

**4.27** To determine planning applications in the required timescales pre-application discussions present an important opportunity to identify any specific concerns with the development at an early stage. Such discussions allow time for applicants to respond before the details of the planning applications are finalised. In terms of transport considerations, this could allow developers time to amend the design of the development to maximise the opportunities for non-car based travel and manage demand for transport especially in the light of community concerns and those of the transport and highway authority.

**4.28** A key message is that travel plans should not be seen as an optional extra but as a fundamental part of the development management process and that they must be submitted with the planning application wherever possible to ensure that the access arrangements are clear at the time of the approval. This should assist with the speedy validation of applications in both the developer's and authority's interests.[35] The type of plan, its objectives, content, targets and other key components should be agreed at this pre-application stage based on the collective evidence base and the feedback from the local authority as far as practicable. This approach is consistent with the DfT guidance on transport assessments.

34 *Constructive talk: investing in pre-application discussions*. Collaborative production: PAS et al. See Appendix E for details.

35 See *Guidance on the Validation of Planning Applications* CLG 2007 for clarification.

**4.29** Travel plans cannot, however, be expected to make a site that is in principle wholly unsustainable in planning and transport terms into a sustainable one. They should not be used as a justification for approving such schemes. Development that is unacceptable is unlikely to be permitted because of the presence of a travel plan. A travel plan may, however, enable the otherwise harmful transport impacts to be sufficiently reduced to allow planning permission to be granted, but not in all cases.

## Case study: Pre-application process

**Sheffield City Council** encourages a two stage pre-application process. The first is to agree the scope and assumptions and the second is to undertake discussions on the draft transport assessment and draft travel plan. The process is supported by a dedicated member of staff.

**4.30** Whilst it is the responsibility of the local authorities to prepare the policy framework and set out guidance for when a travel plan is required, and what it should contain, it is the responsibility of the developer to ensure that the transport assessment is carried out and the travel plan prepared. Developers may require assistance from relevant professionals to undertake these tasks to the appropriate standards.

### Pre-application consultation

**4.31** As part of the normal process of developing major sites, developers and local authorities will be consulting with the local community (i.e. residents on neighbouring developments). Ideally, an initial round of consultation should take place as part of the pre-application stage. This will provide an opportunity for identifying specific concerns about transport or traffic in relation to the development. It can also provide the chance for discussion of new transport measures, which may form part of the travel plan, such as improved bus services, walking and cycling facilities and car club provision – all of which could potentially have also wider benefits to the existing local community, as well as new residents in the development (within the context of Circular 5/05).

**4.32** Further consultation will be undertaken formally once the planning application has been submitted to the local authority. This will enable continuing dialogue with the local community throughout the development and refinement of the plans.

**4.33** Following the completion of the scoping and pre-application discussions, the applicant and local authority (both planning and transport authority together) should have, if at all possible:

- resolved the form and content of the transport assessment;
- resolved the form and content of the travel plan or statement;
- ensured that the subsequent stages and any costs are clear to all parties as far as practicable;
- clarified the realism of the outcomes sought and any measures suggested including the views of key agencies e.g. Highway Agency and transport operators;
- clarified how the travel plan is to be secured.

**4.34** The following chapters outline the other key stages.

# 5. Travel plan design and content

**This chapter looks at the nature of the travel plan itself in terms of objectives and guiding principles, targets and indicators, key features for different types of travel plans and the role of travel plan forums.**

## Key messages

- The travel plan should take the form of a single integrated document containing all key information.
- Each site is unique, so will be each travel plan: it needs to reflect the activity and its location.
- Different travel plans are needed for different types of development.
- Establish clear agreed objectives and outcomes specific to the site through early discussions on the travel plan.
- Link the measures proposed and the targets to the outcomes required.
- The travel plan should contain 'hard' and 'soft' measures together in a complementary way where explicit measures are included.
- All parties need to ensure that the outcomes are stretching but realistic and the measures are deliverable.
- The travel plan should consider both 'stick and carrot' measures.
- All parties should ensure that the implementation, monitoring and management aspects are fully addressed in the travel plan.

## Objectives and outcomes of a travel plan

**5.1** It is important that all parties are clear from the outset as to the objectives being sought through the travel plan and the outcomes related to them for a particular development proposal. These requirements will drive the form and content of the travel plan, including the targets chosen and indicators in relation to them. Travel plans typically seek to meet the objectives and outcomes set out below, which will affect their design and content. However, there may be others: what is essential is that they relate directly to the development and locality:

- achieve the minimum number of additional single occupancy car traffic movements to and from the development;
- reduce the need for travel to and from the site;
- address the access needs of site users, by supporting walking, cycling and public transport;
- provide adequately for those with mobility difficulties;
- promote healthy lifestyles and sustainable, vibrant communities;
- encourage good urban design principles that open up the permeability of the site to walking and cycling, linked to the design and access statements;
- address specific problems identified in the site's transport assessment – for example, a local road safety problem that affects walking or cycling links to a bus or rail station;
- encourage access solutions that are not dependant on 'hard' measures;
- are explicitly part of the wider local approach to demand management and behavioural change.
- Reducing vehicle traffic from new development has many positive effects, for example:
- reducing pressure on highway capacity, particularly at peak times;
- creating more attractive and liveable neighbourhoods;
- cutting carbon emissions and their contribution to climate change;
- reducing road danger and protecting vulnerable road users;
- reducing the cost of works on the highway or other transport infrastructure;
- encouraging more active travel with gains for health;
- enabling children to travel independently;
- improving local air quality;
- reducing noise pollution;
- reducing parking/fleet management costs;
- improving staff morale.

**5.2** At individual sites, stakeholders may place greater emphasis on particular outcomes. Understanding the importance attached to all these outcomes is essential in selecting the most appropriate local outcomes, measures and targets. For example, where a major concern is the impact of traffic at peak times, then the travel plan may prioritise modal shift for these journeys.

**5.3** In addition to meeting the objectives outlined above, travel plans can bring a number of other benefits. For example, workplace travel plans can save money by reducing the cost of parking and business travel. By improving access for staff they can aid staff recruitment and retention. By developing parking policies on the basis of need rather than seniority they can improve

social inclusion. School travel plans can help to improve attendance and punctuality and can facilitate children's participation in local decision-making.

**5.4** Travel plans for leisure sites can help to promote the site and its attraction to new visitor markets and different sections of the community. Residential travel plans can release land for housing that would otherwise be used for parking and make sites more accessible to those without access to a car as well as improve the quality of the design and layout. It is important that the outcomes sought from the travel plan can be seen as a benefit to all parties, e.g. the developer, occupiers and site users, the community and the local authority. Such benefits can help in gaining widespread commitment.

## The outcomes approach

**5.5** Good practice has evolved from the previous guidance into a single main approach to travel plans. The 'outcomes' approach, specifies outcomes linked to specific targets that can also be strengthened with sanctions if these are not met. This approach is distinct from that which focuses wholly on the establishment of a list of measures, e.g. the provision of a shuttle bus or cycle shelter. Many, if not the majority of, travel plans combine the two approaches, depending upon the type of travel plan and what it is designed to achieve. However, the establishment of outcomes is important.

**5.6** In the outcomes approach, the focus is on securing the performance of the travel plan, e.g. ensuring that modal split targets are achieved as set out in paragraph 2.17. In this case the applicant/developer is required to commit to achieving specified outcomes linked to targets and agrees to a review and monitoring process or ultimately to sanctions being applied if the outcome targets are not met. The form of possible sanctions is considered in Chapter 9. The setting of outcome targets is covered below.

### Case study: Outcomes approach

**The Highways Agency's** approach to travel plans is focused on outcomes. All plans are tested against their ability to deliver no deterioration in traffic conditions on the trunk road network 10 years after the application is approved. This approach is set out in Circular Roads 2/2007.

**5.7** There may be situations where purely seeking a range of measures might appear appropriate initially. In these cases defining outcomes should also be considered, allowing for flexibility in the choice of measures to achieve the outcomes. Similarly, if securing particular measures proves difficult (e.g. the public transport operator is unwilling to commit), an outcomes approach will allow the investigation of other solutions to achieve a lower level of vehicle use or a modal split target. There will, however, also be some occasions when it will be appropriate to specify individual measures. This will depend on the local circumstances and the known effectiveness of the measure, e.g. where there is an existing single occupier, in some car-free developments or in the city centre.

**5.8** This approach means it is less critical to know in advance whether or not a package of measures will achieve specified outcomes or other targets. However, the emphasis on the outcomes and related targets requires that their calculation must be based on sound data and reasonable assumptions. These need to be tested through the evaluation process. Similarly, the sanctions need to be justified and proportionate and follow a review and iterative process where at all possible. Where there is confidence in the targets and sanctions, this approach holds the greatest potential for ensuring an effective travel plan.

**5.9** With the outcomes approach, some specific measures will be agreed and may be secured as well in most cases, but the applicant will have more flexibility regarding the content of the travel plan and its implementation, allowing for a more responsive travel plan and the introduction of different measures to help achieve outcome targets. The approach is especially suitable for multi-occupied sites and those where the occupation is uncertain, as the developer can use a range of tactics to ensure occupiers contribute. Its effectiveness, however, depends on the targets being perceived as achievable and the sanctions onerous enough – whilst also reasonable – to provide an incentive. Some of the issues involved in setting realistic modal split (or similar) targets and realistic sanctions are set out below. The targets should take account of what has been achieved from national research and evidenced locally.[36]

## Development of targets and indicators

**5.10** Several key principles are important in developing outcome targets and the linked indicators for developments:

- For new developments particularly, outcome targets are best expressed in terms of maximum end levels of car use – e.g. maximum allowable modal share of car use when the development is complete. They can be translated into maximum allowable number of vehicle trips to be generated by the development per day, rather than in terms of a reduction in car use from a hypothetical baseline. Where a development is phased, intermediate targets should also be specified.
- The target maximum modal share of car use and maximum allowable number of vehicle trips per day determined in the light of the above should therefore be significantly lower than would be expected from the development without a travel plan. That is, the target should be consistent with efforts to reduce car dependency. It will then represent a reduction in car use as against what would be expected to be achieved by 'business as usual'.[37]

36 See *Smarter Choices – Changing the way we travel* report DfT 2004 and *Making Travel Plans Work*, DfT 2005.

37 This follows from the approach in the *Guidance on Transport Assessment* DfT/CLG 2007.

- Targets should be ambitious and should correspond to the best estimate of the maximum number of trips that can be made by non-car modes (assuming also attention has been paid to reducing the need to travel). As a result, targets should correspond to the minimum number of journeys to and from the site by car that can be achieved in the context of the operation of the specific activity at the site. Benchmarking is important in informing this estimate ,but it has to be recognised that each site is unique. Information that can be used to assist in benchmarking includes:
  - trip generation databases, e.g. TRICS and TRAVL;
  - information about trips generated from similar types of development in the same area;
  - information about levels of car use and ownership in the area of the development e.g. census data on modal share of driving for journeys to work; levels of car ownership;
  - information about the specific nature of the development and the usual level of person trips (i.e. by all modes) likely to be associated with such a development.

- It is important to distinguish between outcome targets and indicators. For example, the level of bus use at a development is a useful indicator for understanding how the site is being accessed and how effectively the bus service is meeting travel needs. It may not be particularly helpful to set a target for bus use, since there is no reason to promote bus use at the expense of other sustainable modes. However, there can be exceptions to this. For example, where there is a need to reach a minimum level of bus use in order to sustain the service, then it may be appropriate to make this a target. There should be a clear relationship between outcomes required, e.g. increased access to the site by public transport, the target set, e.g. X% of journey to work journeys by bus each year, and the indicator – the level of bus use. Some targets will also be non-quantifiable, e.g. setting up a car club by a particular time, but will still relate to the overall outcome target of reducing car trips.
- Levels of parking proposed for the development should be consistent with chosen targets in the context of local parking standards – i.e. developments should limit parking to cater for planned levels of car use if targets are met. Consideration needs to also be given to the impact of any off-site parking. Establishing the levels of parking consistent with the travel plan outcomes both on an off-site is important.[38]

38 Further information can be found in the *Manual for Streets,* CLG/DfT 2007, and *Making Travel Plans Work,* DfT 2005.

## Case study:
## Outcome targets

The nature of the targets set by different local authorities varies. They are usually set on a case-by-case basis and are affected by the nature of the particular local authority. Targets being used at present tend to be reductions on what would be expected without a travel plan of 10–20%. Some seek modal shifts over a three-year period.

**Warwickshire County Council** has set clear outcome targets with penalties if they are not met. For workplace travel plans, Warwickshire set targets for the car/employee ratio, expressed as a percentage. Their starting point for agreeing a target is 58%, although there is some flexibility through the negotiation process, which will be affected by the local circumstances. Nevertheless, the maximum acceptable is 65%.

**Islington Borough Council** typically sets targets of car trips to 15%, with cycling as 20% and walking as 20% of the total. This is considered achievable in an area where congestion on public transport is also an issue.

## Case study:
## Local indicators

**Nottingham City Council** has set local indicators within the Local Transport Plan for both the use of single occupancy car journeys for companies and for increasing the number of employees covered by the Commuter Planner's forum.

**5.11** If travel plans are to be used effectively as part of an authority's demand management strategy, it will be important to identify targets for sites that have previously been developed that follow the above principles, as distinct from basing an approach on the previous trip generation. This will be particularly important, given the intensification of uses that frequently occurs.

**5.12** Table 5.1 illustrates some examples of targets and indicators that may be appropriate for different types of travel plan. They should be linked to the transport assessment and the outcomes sought. The method of monitoring will vary depending on the indicator to be used. Monitoring methods are likely to include the following (as examples), but the form of monitoring should be agreed as part of the travel plan. Authorities should establish a standard approach to all aspects of data collection to ensure comparability. Information could include:

- traffic counts;
- multi-modal counts;
- surveys of staff/leisure visitors/children etc. on travel behaviour and attitudes;
- cycling, walking, public transport usage;

- parking information;
- qualitative information including photographs.

**Table 5.1: Suggested targets for different travel plans**

| Travel plan by type of activity | Appropriate targets (all should relate to TA, outcomes and have a timescale) | Indicators | Comments |
|---|---|---|---|
| **Workplace** | Percentage of employees driving to work will not exceed X%. (The number of drivers corresponds to the number of vehicle commuter trips and can be expressed as the car/people ratio – i.e. number of car-vehicle trips generated for every 100 employees at the site.)<br><br>Number of weekday vehicle trips generated by the site when fully occupied will not exceed X.<br><br>Additional targets may be needed for visitor travel, business travel, freight movements and deliveries where these generate significant traffic but consistent with business operation.<br><br>Reduction in peak hour travel. | % of employee trips made by walking.<br><br>% of employee trips made by cycling.<br><br>% of employee trips made by bus.<br><br>% of employee trips made by train.<br><br>% of employee trips made by 'car as passenger'.<br><br>% of employee trips eliminated by teleworking.<br><br>Number of freight vehicle trips per day. | Monitoring the number of car drivers, rather than single occupancy vehicles is best, as it corresponds to number of cars coming to the site. Car sharing will reduce the number of vehicles to/from the site and will therefore be reflected in this figure.<br><br>Where reductions in peak hour traffic are a specific objective, this may be reflected in the targets that are adopted.<br><br>Where there is a particular interest in sustaining a bus service, the percentage of employees travelling by bus may be a target rather than an indicator.<br><br>Account will need to be taken of the nature of the business involved. |

**Table 5.1: Suggested targets for different travel plans**

| Travel plan by type of activity | Appropriate targets (all should relate to TA, outcomes and have a timescale) | Indicators | Comments |
|---|---|---|---|
| **School** | Percentage of children travelling to school by car will not exceed X.<br><br>Number of weekday vehicle trips generated by the school daily not to exceed X.<br><br>Percentage of children travelling to school by active modes – walking and cycling – will be X% or more.<br><br>Targets should also cover staff working at the school (see above re workplace). | % of trips to school made by walking.<br><br>% of trips to school made by cycling.<br><br>% of trips to school made by bus.<br><br>% of trips to school made by train.<br><br>% of trips to school made by 'park and walk' (should be included in car use figure if main part of journey). | The number of children travelling by car will not directly correspond to the number of vehicle trips, since some cars carry more than one child. However, the percentage of children coming by car is relatively easy to collect and is also an appropriate target, given that school travel plans are intended to encourage active travel as well as reduce car use.<br><br>Account will need to be taken of catchment issues, e.g. for faith schools. |
| **Residential** | Number of car vehicle trips per occupied unit per weekday will not exceed X.<br><br>Number of weekday vehicle trips generated daily by the site once fully occupied will not exceed X.<br><br>Number of peak hour trips. | Number of walking trips per unit per day.<br><br>Number of cycling trips per unit per day.<br><br>Number of bus trips per unit per day.<br><br>Number of train trips per unit per day.<br><br>Number of walking/cycling within development. | Target must take account of housing occupancy, management arrangements, transport options etc.<br><br>Consideration should be given to the operational issues of implementation. |
| **Leisure/retail attraction** | Number of car vehicle trips per visitor/shopper trip will not exceed X – corresponds to percentage of visitors/shoppers accessing the site by 'car as driver'.<br><br>Number of vehicle trips daily generated by the development once fully operational will not exceed X.<br><br>Targets should also cover staff working at the attraction. | Percentage of visitor/shopper trips made by walking.<br><br>Percentage of visitor/shopper trips made by cycling.<br><br>Percentage of visitor/shopper trips made by bus.<br><br>Percentage of visitor/shopper trips made by rail.<br><br>Percentage of visitor/shopper trips made as car passenger.<br><br>Percentage of trips eliminated by internet order/home delivery. | Peak travel may be at weekends, and target set should reflect this. |

## Guiding principles for travel plans

**5.13** In general, all types of travel plan for new development (including extensions) need to:

- be site-specific – the detailed choice of outcomes and specific measures will be partly determined by the opportunities and constraints offered by the site. For example, where there are frequent journeys between two linked sites, then making provision for these trips will be a high priority;
- combine the 'hard' measures – of site design, infrastructure and new services – with the 'soft' measures of marketing, promotion and awareness-raising;
- provide a package of measures that are integrated into the design and occupation of the new site, rather than 'retrofitted' after occupation. For example, where an employer is relocating, there could be a travel advice surgery for employees held at the existing premises, ahead of the move;
- include measures to support walking, cycling and public transport use and facilitate disabled access;
- consider parking provision. A degree of parking restraint is likely to be important to the success of the plan in reducing car use. Parking restrictions at both schools and workplaces have been linked with lower levels of driving. Charging for parking (for example, at worksites, leisure sites and in residential developments) can provide a highly effective means of sustaining the travel plan if the revenue generated is used to pay for travel improvements;
- include arrangements for managing the process.

**5.14** Travel plans need to be seen as one of a number of tools aimed at delivering sustainable access as well as sustainable communities. They also need to be complementary to other tools and travel plans. Important to their effectiveness will be other policies and actions by local authorities and other service providers: the location of different services and the ease with which they can be accessed by sustainable means is critical.

## The form of the travel plan document

**5.15** The content of the travel plan is also critical, and research has shown that many are not as well designed as they could be. The proposed tighter evaluation process should drive up the quality of submitted travel plans (see Chapter 6). There is a considerable amount of guidance available on the contents of a travel plan, e.g. the *Essential Guide to Travel Planning*[39] and the 2008 TfL guidance.[40] In addition, there are specific requirements for school travel plans set out in the School Travel Plan National Standard.[41] The detail in these documents is not duplicated in these guidelines. In

39 *Essential Guide to Travel Planning*, DfT 2007.

40 *Guidance for Workplace Travel Planning for Development* TfL 2008, *Guidance for Residential Travel Planning in London,* TfL 2008.

41 *School Travel Strategies and Plans: A Best Practice Guide for Local Authorities*, DfT 2005.

summary, travel plans should be produced as a single coherent document – except for a framework travel plan, where it should be a single framework document with subsidiary documents – which set out the following:

- outcomes to be sought and relationship to policy;
- indicators and targets to be achieved to deliver the outcomes;
- means of achieving the outcomes and targets sought (Appendix B sets out some measures that may be relevant to different travel plans for different uses);
- monitoring regime;
- implementation process;
- on-going management arrangements for the construction, occupation and post occupation phases to ensure long term sustainability;
- financial provisions;
- review process.

**5.16** The provision of a single coherent and consistent document or set of documents will facilitate more effective monitoring as well as implementation.

## The travel plan pyramid

**5.17** As indicated in Chapter 4, it can be helpful to view a travel plan for a new development as a pyramid of measures and actions, which is constructed from the ground up, with each new layer building on the last and all set within the context of the outcomes sought. The outcomes should be established at the scoping stage and the site should have already been assessed as part of the LDF process as to its suitability for sustainable development.

**5.18** The type of travel plan, the nature of the planning application and the stage that has been reached, as well as the uses proposed for the site, will all affect the specific detail to be covered at the different levels of the pyramid.

## Travel plans for different journey purposes

**5.19** Travel plans have been developed for workplaces, schools, leisure/retail sites and residential areas. The approach used and the good practice guidance available is different in each case. There is considerable specific guidance available on the different types of travel plans and details of some of these sources can be found in Appendices D and E. As the practice evolves and as authorities establish effective monitoring databases or the resource centres suggested, it will be possible to have access to a range of exemplars in local areas.

### Workplace travel plans

**5.20** Workplace travel plans focus primarily on commuter travel and travel in the course of work, but can and should also include strategies to make visitor and freight travel more sustainable. These travel plans typically

combine measures to support walking, cycling, public transport and car sharing, reinforced with promotion and incentives and the management of workplace parking. Workplace travel plans also include actions to reduce the need to travel – for example, policies to encourage home working and video conferencing.

**5.21** Specialist workplace travel plans have been developed for health facilities and for higher education establishments, both of which have to cater for the travel needs of large numbers of people besides the organisations' staff, for example patients, visitors and students.

### School travel plans

**5.22** School travel plans focus primarily on travel to and from school or college by schoolchildren but may also include strategies to make staff or visitors' travel more sustainable or address other trips made by schoolchildren in the course of the school day, even if extended. The nature of the school travel may vary depending on the catchment area of the school and any specialist requirements, e.g. faith or special schools. However, all will benefit from a travel plan.

**5.23** School travel plans typically combine measures to address safety issues on the school journey, and so create safer routes to school, with on-site measures to facilitate sustainable travel (such as cycle stands) and on-going education and awareness raising within the school community. Consulting children, parents and teachers about their experience of the school journey is central to the school travel plan process, serving both to identify safety issues (which should then be addressed) and encourage more sustainable travel. There is explicit national guidance for schools from the DfT and DCSF, and as part of the National Schools Initiative all schools should have a travel plan by 2010.

**5.24** The Government has also embarked on a major programme of investment in school buildings. The aim of Building Schools for the Future is that, by 2011, every local authority in England will have received funding to renew at least the school in greatest need, and that by 2016 each authority will have started major rebuilding and remodelling projects for at least three schools. This investment programme provides a key opportunity to ensure that where new school sites are identified they can be accessed sustainably. All should have travel plans.

**5.25** This planned development also offers an opportunity to ensure that schools are better designed and located to facilitate sustainable travel. The location is critical but in addition school entrances particularly should give priority to those on foot, cycle and public transport, offering safe, direct and convenient access, protected from site traffic. Bus drop-off points and cycle shelters should be incorporated into site designs. Sustainable travel can then be further facilitated through other school travel measures – e.g. cycle training, off-site highways safety measures and walking incentive schemes – as part of a school travel plan. Advice can be sought from School Travel Plan Advisors in local authorities on the suitable contents of these travel plans.

### Residential travel plans

**5.26** Residential travel plans focus on travel by residents in housing developments. They are different from 'destination' travel plans in that they are designed to encourage more sustainable travel from the origin of journeys and across the full range of journey purposes. Residential travel plans place a strong emphasis on the choice of location and on the design of the development to reduce the need to travel. This can be achieved through the provision of local facilities and by ensuring high levels of connectivity with good public transport. Residential travel plans may also incorporate personalised travel planning[42] – i.e. customised travel advice and incentives to help individual households travel more sustainably, as well as car clubs and improved public transport. Travel awareness is integrated into the marketing and occupation of the site. Considerably more detail is available in the *Making Residential Travel Plans Work: Good Practice Guidelines for New Development* (DfT 2005).

### Leisure/visitor travel plans

**5.27** Visitor travel plans for leisure and retail sites, including sports and entertainment stadia, focus on visitor travel and address four key areas:

- **Promotional initiatives** promote sustainable travel options and develop cost incentives for non-car travel. Sustainable transport offers are integrated into all normal promotion and marketing for the site's events and activities, often in partnership with public transport operators. They could include tickets for use on public transport as an integral part of the ticket purchase.
- **Access initiatives** make it easier to reach the site by public transport, walking or cycling – for example, changes in bus times and frequencies to fit with opening times. With large events it may also be appropriate to provide specific park-and-ride services.
- **Facilities initiatives** ensure that the site meets the needs of those arriving by sustainable transport – for example, cycle storage, pedestrian signing strategy, shuttle transport to ferry pedestrians around the site.
- **Management of car parking** is consistent with aspirations for reduced car access – for example, where parking is provided, the cost of this is not subsumed into the site admission fee but charged separately, with the revenue ring-fenced to pay for sustainable travel alternatives. With some events there may be a need to restrict parking around the site and prevent attendees using the surrounding streets.

**5.28** As with other forms of travel plans, consideration should be given to staff working at the site and also to all deliveries, this clearly being particularly important in relation to retail sites.

42 *Making Personal Travel Planning Work: Practitioners' Guide,* DfT 2008.

## Travel plans for different areas

**5.29** As part of current work, the Highways Agency is developing a number of area-based travel plans relating to industrial estates or other complexes. These will need to be managed by the estate owners and occupiers in conjunction with the Highways Agency and other key agencies. In addition, some authorities are considering area based travel plans for particular towns or rural areas. Area travel plans exist in Park Royal and the Great West Road in London.

### Case study:
### Area based framework travel plan

**The Highways Agency** has been working on the development of an area-based travel plan at Team Valley adjacent to the A1. This is a large industrial site in need of regeneration, but alongside a section of the trunk road network that is already congested. Car ownership in the area was low, but public transport facilities and services on the estate were poor. A framework travel plan has been put together which will encourage sustainable transport and provide improvements for alternatives to the car, with the developers of regeneration sites working with existing users. The aim will be to have a 'traffic neutral' effect on the trunk road network through a combination of voluntary plans and the reduction in the demand for car travel from the development sites.

### Case study:
### Area travel plans

**Nottingham City Council** has incorporated within its Local Transport Plan its desire to set up area travel plans in two proposed development areas with a mixture of voluntary and compulsory travel plans.

**5.30** When a number of travel plans are being implemented in an area, this can be assisted by the setting up of a Transport Management Association (TMA). This is discussed in more detail in Chapter 8.

## Travel plan forums and networks

**5.31** Effective travel plans are often those that have benefited from effective co-operation with public transport operators, the local highway authority and other organisations involved in travel planning. Local authority officers can do much to facilitate travel planning by running travel plan forums and liaising between developers or occupiers and other parties that can help them to improve sustainable access to the site, including other local authority departments. Some authorities have negotiated special deals for members of their travel plan forum, including reduced costs for public transport tickets and cycle stands. Co-operation between different sites can also be helpful in achieving the critical mass to support a bus service.

**5.32** As well as local, sub-regional or regional forums, there are also a number of national networks that provide support and information. Some of these are specific to the travel plan use, e.g. business, but others cover all forms of travel plan.

## Case study:
## Travel plan forums and networks

**Nottingham City Council** has established a Commuter Planners Club, which local businesses can join to provide support and share best practice.

**Surrey County Council** – has established the 'EASIT' with Reigate and Banstead and local business to tackle local issues, and share support and best practice.

**Leeds City Council** – West Yorkshire has been established with the PTE and other authorities to provide help and support and through it discounts on fares are available.

# 6. Evaluating incoming travel plans

**This chapter looks at the key factors in assessing travel plan effectiveness in the light of research and how incoming travel plans submitted alongside planning applications can be evaluated.**

## Key messages

- The evaluation of the travel plan is a critical part of the assessment of the planning application.
- Different types of travel plans and sites have different success factors.
- Evaluation of travel plans should be against the outcomes sought.
- Evaluation of travel plans should at least evaluate against three tests:
  - Does the travel plan cover all key aspects required in terms of the content?
  - Does the travel plan address all the key issues and opportunities identified in relation to the specific site?
  - Will the travel plan 'tip the balance' in favour of sustainable travel when implemented and therefore make a difference?
- The form of evaluation that is to be used by the local authority should be evident in the published documentation on travel plans.

## Travel plan effectiveness: evidence from research

**6.1** When travel plans are submitted as part of the planning application, it is important that there is a robust assessment process. Unless this is undertaken there will be no basis on which to make a judgement as to whether the travel plan is going to meet the intended outcomes and is therefore fit for purpose. The evaluation should be an integral part of the assessment of the planning application. It is evident from the underlying research to these guidelines that this process is not always as effective as it might be.

**6.2** Research into the effectiveness of travel plans has identified a number of key success factors for both workplace and school travel plans[43] that can be helpful to officers in advising on any incoming plans. Research has also shown that it is important to establish sustainable travel behaviour from the beginning, whatever the nature of development, because changing established patterns of travel is more difficult. Similar research to determine success factors for travel plans at leisure sites or in residential areas has not yet been carried out. In addition, recent research on personalised travel planning[44] highlights the factors particularly relevant to effective to individualised travel marketing, which is important for residential travel plans.

**For workplace travel plans:**

**6.3** The key aspects of success identified are:

- Partnership working. The nature of travel plans is such that good relationships and partnership working are necessary in the development of the travel plan and throughout its implementation. During the development this often includes transport operators, as well as the developers, occupiers (if known) and the local authority. In terms of the implementation this includes occupiers, the local authorities, and in many instances the developer for a considerable period of time.
- Parking restraint is a hallmark of effective plans from previous research. Organisations achieving the lowest car use usually have parking restrictions, parking charges or a combination of the two. Limiting available parking space is particularly effective. Parking restraint can be undermined by the availability of free and plentiful off-site parking, so that local authority action may be required to prevent this happening through on-street parking controls. A key advantage of charging for parking is that the revenue can provide a ring-fenced income to pay for sustainable travel options. The national approach to providing car parking for non-residential development will be set out in PPS4.[45]
- The relative cost of financial incentives and disincentives (such as parking charges) is important in determining travel choices. Financial incentives are most effective in the context of parking restraint.
- Promotion and marketing are vital to effective travel planning, though it is also important that organisations have good travel alternatives to 'sell' to staff.
- Strategies to reduce the need to travel – for example through local recruitment or home-working – can be especially effective in achieving lower car use.

43 *Making Travel Plans Work,* DfT 2007and *School Travel Strategies and Plans: A Best Practice Guide for Local Authorities,* DfT 2005.

44 *Making Personal Travel Planning Work: Research Report,* DfT 2007; *Making Personal Travel Planning Work: Case Studies,* DfT 2007; *Making Personal Travel Planning Work: Practitioners' Guide,* DfT 2008.

45 A consultation paper on a new Planning Policy Statement 4 (PPS4 ) was published by CLG in December 2007.

**6.4** In terms of an effective process, the following features have been identified as characteristics of successful workplace travel plans:

- senior management commitment and dedicated staff time from a travel plan 'champion';
- partnership working – between the local authority, public transport operators and other employers;
- responsiveness to site specific opportunities and barriers – making the most of the site's 'easy wins' and addressing its 'missing links';
- encouraging progressive travel change – with some strategies to unlock single occupancy car use (for example, incentives for staff to leave the car at home one day a week or car share) and others to support sustained use of alternative travel (such as a 'guaranteed ride home' if alternative travel arrangements break down);
- efforts to secure staff ownership for the travel plan – with appropriate consultation, fairness and transparency (for example, in the allocation of parking rights) and plenty of 'carrots' to make alternative travel more attractive;
- imaginative promotion and publicity to raise the profile of travel initiatives. It can be helpful to target key groups of staff – i.e. provide the right message at the right time to those most likely to respond;
- a tendency to capitalise on change – treating relocation or the recruitment of new staff as an opportunity to introduce a change in travel conditions, including the allocation of parking;
- a focus on results – assessing the impact of individual strategies in reducing car use, and modifying the plan accordingly.

**For school travel plans:**

**6.5** Research into the effectiveness of school travel plans[46] has identified several features of school travel planning that achieve good reductions in car use:

- children's involvement in decision-making – which may be an indicator of pupils' ownership of the travel work;
- the inclusion of school travel policy statements in the school prospectus or induction materials, perhaps demonstrating that travel planning work had become part of the school's wider ethos and approach;
- specific changes in school facilities or arrangements to support sustainable travel, for example a new site layout, a breakfast club or the supervision of children leaving the site at the end of the day;
- at secondary schools, more extensive consultation is linked with travel plan success.

46 *Making School Travel Plans Work: Research Report*, DfT, Transport 2000 Trust, University College London, Adrian Davis Associates, Sustrans, Cleary Hughes Associates, Transport for Quality of Life, forthcoming.

**6.6** In terms of encouraging different modes of travel:

- higher levels of walking and cycling are linked to extensive highways safety measures and safety improvements in the surrounding area;
- high levels of cycling are linked to the presence of off-road cycle lanes and good cycling conditions in the surrounding area, together with cycle parking at the school;
- high levels of bus use have been linked to new or improved services, low fares and fare reduction schemes;
- parking restrictions are linked to lower levels of driving to school.

**6.7** In general, successful school travel plans are those that benefit from:

- a positive relationship between the school and the local authority;
- a head teacher that is supportive or very supportive of the travel work;
- leadership from a champion and/or working group;
- sustained travel work over two years or more;
- effective staff participation.

## Evaluation of the travel plan

**6.8** Research has shown that the initial evaluation of the travel plan is important in relation to the ultimate outcomes. Good practice would also indicate that the methodology to be used should be publicly available so that those people devising the travel plan are aware of the nature of evaluation. The officer responsible for evaluating the incoming travel plan will need to assess how far it is fit for purpose and to what extent it requires improvement to ensure that it is robust and likely to produce its intended outcomes.

**6.9** Who undertakes this evaluation is critical. Although the local planning authority will be project-managing the application, it is likely that the travel plan evaluation should be carried out by the local transport authority or wherever the travel planning expertise is held. The relationship between the planning, transport and travel plan officers will be crucial. How this process will work should be agreed as part of a protocol.

**6.10** While some authorities have developed simple checklists to aid them in this evaluation process, others make use of scoring systems, but often alongside their own evaluation process given concerns about the tool. Transport for London has also developed its own evaluation tool ATTrBuTE for use by London authorities.

## Case study:
## Evaluation criteria

**Surrey County Council** uses a combination of evaluation criteria, including considering coverage, targets and monitoring. This has evolved since it was initiated to reflect experience of previous travel plans and their effectiveness.

**6.11** The approach set out here has taken good practice from a number of case study authorities to produce a simple evaluation process.

**6.12** As a minimum, it is suggested that it would be useful to assess the content of the travel plan in relation to the three tests set out in Table 6.1, unless other robust systems are being used.[47] These provide a qualitative assessment of whether or not the travel plan is likely to be effective and are set out as the acronym **CAT**. These tests are to ensure that the travel plan:

**C**overs all key elements;

**A**ddresses site specific issues;

**T**ips the balance in favour of sustainable travel.

**6.13** More detail of how to ensure the plan meets the first of these tests is set out in the checklist in Table 6.2. This can be used to ensure that all the key elements appear within the plan and are appropriately dealt with: for example, through the inclusion of suitable targets and a robust management strategy.

**6.14** The other two tests pose questions that cannot be answered using a checklist approach and rely on a judgement about the individual travel plan that needs to be made particularly in the light of the local context.

**6.15** Each of these three tests is considered in turn below. In each case, it is suggested that the officer evaluating the plan should consider how far the test has been met, and mark it accordingly as:

- red – plan has done little to meet this test;
- amber – plan has gone some way towards meeting this test;
- green – this test has been satisfactorily met.

**6.16** The same system can be used in relation to the key element checklist in Table 6.2. Initial evaluation using this system can be used as a basis for discussion and negotiation with the developer, leading to modifications in the travel plan. Ultimately all the tests should be met, unless there are good reasons why they are not applicable to the site.

47 Based on work done by Surrey County Council, TfL and by Addison & Associates for Hampshire County Council.

**Table 6.1: CAT evaluation methodology**

| CAT evaluation of incoming travel plans | | Meets this test? Indicate red, amber or green ✓ | | |
|---|---|---|---|---|
| **Covers all key elements?** | Does the travel plan document contain all the key elements that are expected to be included in a travel plan, with appropriate content in each case? See Key Element Checklist (Table 6.2) below. | R | A | G |
| **Addresses site specific issues?** | Does the travel plan address all the issues identified in the transport assessment and respond to the specific barriers and opportunities that are presented by the site? | | | |
| **Tips the balance in favour of sustainable travel?** | Does the travel plan contain measures that can be expected to make a real difference – i.e. does it make access to the site by sustainable transport more attractive when compared to access by car, in terms of cost, journey times and convenience? | | | |

***Test 1: Covers all key elements*** *– Does the travel plan document contain the key elements that would be expected in a travel plan?*

**6.17** Table 6.2 provides a checklist of the key elements to be included in a travel plan document, together with the details of the content that would normally be required for each of these elements. This can be tailored for all types of developments including office, commercial, residential, health and leisure facilities, and higher educational establishments. A more detailed list of possible measures for different types of travel plans is given in the specific guidance previously referred to and listed in Appendix B. As outlined in the key elements checklist, it is important to check the travel plan content in terms of both the measures included, and the robustness of arrangements in place for the delivery of these measures, so as to achieve the specified outcomes.

**6.18** In the case of an **interim travel plan**, there may be less detail available under each element and some details may be provisional. Nevertheless, each key element should be included in the document.

**6.19** In the case of a **framework travel plan** the plan should also set out what subsidiary travel plans will be developed for the site, who will be responsible for these and how this process will be achieved.

**6.20** For **school travel plans**, separate specific advice is available in a joint advice note from the Department for Transport and the Department for Education and Skills.[48] This sets out the essential ingredients that a school travel plan must include to be approved for a capital grant towards on-site improvements to support sustainable travel. It should be a key consideration in relation to the evaluation as part of the planning application. In the context of new school buildings and grounds, it is important to also consider whether the design of the new or redeveloped school will help to facilitate sustainable travel.

**6.21** In the case of a **smaller site** (e.g. a residential home, a small housing development or hotel, or under the authority's threshold) where a travel plan has been deemed necessary, the travel plan document would normally include all key elements listed here, with the exception of an executive summary. However, the package of measures would usually be limited to a few key measures, but still in the context of the required outcomes, closely geared to the requirements of the site.

## Case study:
## Use of DfT evaluation tool

**Test Valley District Council** uses the Department for Transport's evaluation tool for evaluating the plan. The advantages are that it is a nationally recognised technique, covers a wide range of issues and is thorough. It is not considered as effective for small scale developments.

48 *School Travel Plan Quality Assurance – Advice Note,* DfT/DCFS, 2007.

| Table 6.2: Key elements to be included in the travel plan document | | | | |
|---|---|---|---|---|
| **Key element** | **Content** | **Fit for purpose? Indicate red, amber or green ✓** | | |
| **Executive summary** | For major schemes it will be appropriate to provide a succinct summary of the key points of the travel plan. It should include outcome objectives, targets and a summary of the measures to be introduced to encourage travel by different modes. | R | A | G |
| **Introduction** | Provides an overview of the site being developed and introduces the organisation/s, if known. It should set out reasons for the travel plan and the relevant national and local policy background relating to travel planning. The benefits of the travel plan should be explained to help in promoting it to stakeholders. | | | |
| **Site audit, survey data and other key information included in the Transport Assessment (see *Guidance on Transport Assessment* DfT/CLG 2007)** | Sets out information about the travel situation at the proposed development, including a summary of key information gained from the transport assessment, e.g. site location and boundaries; accessibility by different modes; existing trip generation at the site and forecasts for future trip generation from the new development; how these have been arrived at; if applicable, travel survey data for existing sites that are relocating to the development. | | | |
| **Outcome objectives** | Sets out in broad terms what the plan is seeking to achieve. It should indicate what types of travel the travel plan seeks to influence – e.g. residents, commuters, business travel, visitors, and freight movements and reducing the need to travel. | | | |
| **Targets and Indicators** | Identification of headline targets and additional indicators – for more detail see Chapter 5 | | | |

| Table 6.2: Key elements to be included in the travel plan document | | | | |
|---|---|---|---|---|
| **Key element** | **Content** | **Fit for purpose? Indicate red, amber or green ✓** | | |
| **Management strategy** | The travel plan must have a robust strategy for its implementation that is appropriate for the development proposal under consideration and consider the long term sustainability of the travel plan. This should include:<br>• details of who is responsible for implementing and managing the travel plan, both before and after occupation;<br>• arrangements for employment of a travel plan coordinator – i.e. time allocated to this position, when to be appointed and how the coordinator will be managed. Full contact details once available and interim contact details where applicable;<br>• other management arrangements to steer the plan, both before and after occupation – e.g. a steering group, working group or community trust including working arrangements with key public bodies;<br>• management handover arrangements to ensure smooth transfer of travel plan responsibilities from applicant to future occupier and long term sustainability;<br>• the development timetable;<br>• appropriate individuals and organisations that the applicant will work with to deliver the travel plan and the kind of support these organisations are expected to provide. | | | |
| **A package of measures to encourage sustainable travel** | A clear description of the measures proposed to encourage sustainable travel, reduce single occupancy care use and achieve the stated targets and objectives. The package will usually include measures to encourage walking, cycling and public transport, and support for car sharing and/or membership of a car club, together with measures to reduce the need to travel. It should include measures with tangible outputs – e.g. cycle storage. Financial incentives tied to sustainable travel should also be considered – e.g. discounts and offers for those using alternative travel; payments for those arriving by sustainable means. | | | |

**Table 6.2: Key elements to be included in the travel plan document**

| Key element | Content | Fit for purpose? Indicate red, amber or green ✓ | | |
|---|---|---|---|---|
| **Parking measures: restraint and management** | Where the site has car parking, the level of this should be consistent with the target for lower car use at the site. A parking management strategy may be needed to allocate limited parking according to need. This could include parking charges or incentives for those not parking. Appropriate provision should be made for disabled parking, car sharing and two-wheeled vehicles. | | | |
| **Freight/delivery measures** | Where applicable, provision for managing delivery and freight activity associated with the site, including during construction. | | | |
| **Marketing strategy** | A strategy for communicating the travel plan to all site users, including:<br>• raising awareness of sustainable travel options;<br>• promoting individual measures and initiatives;<br>• disseminating travel information from the outset and on an ongoing basis.<br>This may include personalised travel planning – i.e. customised travel advice to individuals or households. | | | |
| **Monitoring and review** | A systematic approach to monitoring and reviewing the travel plan over time, including how often monitoring will take place, the proposed methodology (e.g. travel surveys/multi-modal counts), who will be involved in the review process and the format and timing of the review report. | | | |
| **Action plan and budget** | The Action Plan should outline the implementation programme for the proposed measures, including roles and responsibilities, focusing on the implementation and delivery of the travel plan and including time frames.<br>There should be clarity on major costs associated with the travel plan, who will meet these or how funding will be secured. | | | |

Note: Based on publications by Hampshire CC, TfL and others

***Test 2: Addresses site specific issues –*** *Does the plan address the issues identified in the transport assessment and respond to the specific barriers and opportunities that are presented by the site?*

**6.22** A travel plan may contain all the key elements listed in Table 6.1, but fail to capitalise on important opportunities that the site offers. For example, there may be an existing bus service that could be re-routed to serve the new development, a nearby railway station that can only be accessed with the provision of a new walking link or an opportunity to provide a cycle link to the wider cycling network. The officer(s) evaluating the plan should use their

local knowledge and understanding of the site and the transport provision in the surrounding area when evaluating this aspect of the travel plan and offering feedback about how these issues can be addressed.

**6.23** It is important that officers from the transport and planning authorities work closely together to ensure that synergies with other local schemes and projects are captured, and to advise on how the local authority can facilitate travel plan initiatives. Clarity about the role of the different authorities (or parts of it) in this process are therefore very important, including any resource centre, as discussed in Chapter 2.

**6.24** In addition, it is important to ensure that the travel plan addresses the issues raised in the transport assessment, and that the TA has identified all the relevant site specific issues. The *Guidance on Transport Assessment* makes it clear that the travel plan has a key role in defining access arrangements for the site.

***Test 3: Tips the balance in favour of sustainable travel –*** *Does the plan contain proposed outcomes and related measures that can be expected to make a real difference – i.e. does it make access to the site by sustainable transport more attractive when compared to access by car, in terms of cost, journey-times and convenience?*

**6.25** Travel plans may include a raft of measures, yet fail to do enough to significantly alter the attractiveness of sustainable travel when compared to access by car, thereby not achieving the outcomes sought. An assessment therefore needs to be made as to whether or not the travel plan offers genuine advantages to those arriving by sustainable means, in terms of cost, journey times and convenience. Where the travel plan does not meet this test, then additional measures should be suggested, that will help in passing this test. This could mean, for example, the introduction of a parking charges or the provision of cyclists' breakfasts.

## Case study:
## Evaluation to ensure impact on travel choices

**Hampshire County Council** have devised a methodology that combines the DfT evaluation tool with other criteria-based assessment to ensure that the travel plan is seeking to impact on travel choices.

**6.26** There are a very wide range of measures that could be included in a travel plan and these will vary depending on the type of travel plan, scale of development and location. A comprehensive list of measures for different travel plans, e.g. workplace and residential, is included in Appendix B.

# 7. Securing the travel plan

**This chapter sets out the legal means whereby travel plans can be secured through the planning process and the key aspects to consider when implementing the legal process.**

## Key messages

- Planning policy states that, where there is a choice, conditions should be used in preference to obligations. However, certain elements of travel plans, such as financial contributions, can only be made through obligations.
- Where elements of a travel plan can only be achieved by a planning obligation and other parts by either a planning obligation or a condition, it may be appropriate for all elements to be contained within the planning obligation alone so that they can be read and understood as a whole and more easily monitored.
- Ensure that all the key elements of the approved travel plan are effectively referred to within the planning condition or obligation to facilitate monitoring and compliance with the outcomes sought.
- Ensure the requirements of the travel plan are expressed in clear terms and all the key timetable, monitoring, management and financial arrangements are set out explicitly in the planning condition and/or obligation.
- Each planning condition or obligation is unique to the site but many elements should be standard in form.
- Providing standard planning condition and obligation clauses as part of published information and policy ensures clarity for all parties.
- The approach to planning conditions or obligations and the content of them should be agreed by the planning and transport authorities as well as other relevant parties. e.g. the Highways Agency or transport operators.
- Provision should be made for monitoring compliance, any contingencies as well as undertaking reviews and revisions, within the legal documentation.

## Mechanisms for securing the travel plan through planning permission

**7.1** Planning policy provides the opportunity to secure travel plans through planning conditions and/or obligations (a Section 106 agreement). Planning conditions and obligations provide legal mechanisms to deliver national, regional or local planning policies by attaching requirements to a planning permission to limit, control or direct the manner in which a development is carried out.

**7.2** Planning Policy Guidance Note 13: *Transport*, paragraphs 87 and 88, set out the circumstances in which travel plans can be regarded as material to a planning decision and paragraph 91 indicates that either conditions or obligations could be appropriate to secure delivery of the plan. The paragraph states:

*'The weight to be given to a travel plan in a planning decision will be influenced by the extent to which it materially affects the acceptability of the development proposed and the degree to which it can be lawfully secured. Under certain circumstances some or all of a travel plan may be made binding either through conditions attached to a planning permission or through a related planning obligation. Conditions attached to a planning permission will be enforceable against any developer who implements that permission and any subsequent occupiers of property. Planning obligations will be enforceable against the person who entered into the obligation and any person deriving title from that person.'*

**7.3** The general principle in planning policy is that, where it is possible to overcome a planning objection to a development proposal equally well by imposing a planning condition or negotiating a planning obligation, a condition should be imposed rather than a planning obligation.[49]

**7.4** A planning condition can be used to regulate either the development or the use of any land under control of the applicant. A planning obligation can require the payment of a financial contribution or make provision in kind towards implementing planning measures necessary to mitigate the impact of a development. An obligation can also be used to restrict the use of land, or require certain activities to be carried out in relation to the land, or require the land to be used in a specified way.

**7.5** Research[50] shows that a planning obligation is the most appropriate approach in the majority of circumstances given the:

- need for the travel plan to be approved as part of the determination of the planning application;
- preference for outcomes and targets as a basis for the plan;
- holistic and integrated nature of the plan;

49 Circular 11/95: *The Use of Conditions in Planning Permissions*, paragraph 12.

50 *Using the Planning Process to Secure Travel Plans: Best Practice Guidance,* DfT/ODPM 2002; *Making Residential Travel Plans Work: Good Practice Guidelines for New Development,* DfT 2005; *Delivering Travel Planning Through the Planning Process, Research Report* Addison & Associates 2008.

- nature of the travel plans particularly in terms of the need for them to change and evolve over the life of the development;
- scale and complexity of the likely development;
- need to establish effective monitoring and management mechanisms; and
- requirement normally for some financial payment.

**7.6** It may be beneficial to consider the use of a planning condition where the requirements of the plan are both simple and agreed so that a condition is only necessary to secure compliance on the simple measures. However, many travel plans are not straightforward and some requirements of the travel plan can only be secured through planning obligations (for example, financial contributions). An obligation is the better vehicle to deal with more complex arrangements for, for example, management and monitoring actions with the option for alternative measures.

**7.7** The scope for using the planning system to secure travel plans through the use of planning obligations is strengthened by the adoption of standard clauses that can be used in the majority of cases. These help to focus discussion on the detailed content of the plan rather than on agreeing the basic framework. Discussion should occur at the pre-application phase so the plan can then be negotiated alongside the planning application. Any necessary planning obligation can be taken into account when the application comes to be determined.

**7.8** Early involvement of legal advisors is recommended to ensure legal robustness of any obligations and associated travel plans. The standard clauses for the planning obligation should be made publicly available in a template form wherever possible. They should be part of any SPD produced on the subject. In this context it will be important that the local transport or highway authority support the model clauses. To assist both planning authorities and applicants a number of illustrative planning obligation clauses are included in Appendix C, together with relevant planning conditions.

**7.9** The validity of conditions and planning obligations are subject to review by the courts, so it is important to observe the requirements of the relevant legislation and policy guidance. Guidance on planning obligations is contained in Circular 5/05: *Planning Obligations*, which explains the basis on which they should be sought, i.e. where they are necessary to make the proposal acceptable in land-use planning terms. In those cases where conditions are more appropriate than planning obligations, authorities should have regard to Circular 11/95: *The Use of Conditions in Planning Permissions.*

**7.10** Planning obligations can offer greater flexibility than conditions and they are the appropriate vehicle for delivering certain requirements. An obligation can include provisions for payment of monies to the local authority and allow more complex implementation and monitoring arrangements. The ongoing nature of travel plans and the need for them to be 'living' documents calls for an iterative process. This generally involves a review cycle and a process for initiating and approving any necessary amendment. Prior to any default

process being instigated, it may be possible for developers/occupiers to take corrective action to meet agreed objectives where initial measures are not achieving the outcomes. It is likely that any set of outcomes and measures developed to achieve a modal shift to more sustainable transport will require adjustment over time. A planning obligation can provide this facility. All these matters will be relevant in deciding which method should be used to secure delivery of the plan.

**7.11** There may be a limited number of situations where a planning condition can be effectively used to secure the travel plan and its components. These tend to be in situations where the travel plan is for an existing use, the outcomes and measures required being therefore simple and very clear. For example, this will be the case in small developments when the only requirements are the provision of measures on the site – such as cycle stands, showers or the restriction in the number of parking spaces. In a few authorities a planning condition is used to stipulate that the occupier signs up to participate in an area wide forum that promotes sustainable transport. In these situations it will be important to ensure that the travel plan outcomes are enforceable and sustainable. This approach will only be appropriate where there is a well-established organisation that signatories join, e.g. Birmingham TravelWise. It is also essential that the authority is satisfied prior to the grant of planning permission that the activities which occupiers subsequently participate in will be robust enough to deliver sustainable access to the site.

## Case study:
## Conditions prior to occupation

In **Sheffield** the condition requires the local planning authority's agreement to a travel plan with clear targets, timescales and monitoring arrangements prior to occupation.

Sheffield (current standard condition):
*Before any of the development is occupied, a travel plan to reduce dependency on the private car, which shall include clear and unambiguous objectives and modal split targets, together with a time-bound programme of implementation, monitoring and regular review and improvement; and be based on the particulars contained within the approved framework produced in support of this application, shall be submitted to and approved in writing by the Local Planning Authority and thereafter operated.*

**7.12** If a planning condition is relied upon to secure delivery of the travel plan, consideration should be given to the way in which the key elements within the plan are secured. There are two ways of doing this:

- the element may be specifically mentioned in a separate condition, along the lines outlined in PPG13 (Para. 82) – the most effective mechanism;

  or

- the element may be specifically mentioned in the condition referring to the travel plan.

**7.13** Where it is intended to secure the content and delivery of a travel plan through a planning obligation, as likely in the majority of cases, the travel plan document should be used as the basis for drafting specific obligations. Paragraphs 88 and 89 of PPG13 envisage that plans will be in place at the time of grant with conditions or obligations setting out the requirements and mechanism for compliance. If the content of a travel plan is agreed, then the condition/obligation required relates to its implementation, enforcement and monitoring. In these circumstances the travel plan will be part of the planning permission. It will not usually be appropriate to append an approved travel plan to a planning obligation deed, as this could suggest that the travel plan is itself a planning obligation and it will not usually be drafted in the same legal format as an obligation under Section 106.

**7.14** For the same reason it is not usually appropriate to include a general obligation in the deed to the effect that the developer shall observe and perform the obligations in an appended travel plan unless there are requirements linked to the operation of the plan that need to be secured by a planning obligation. In this case these should be set out in a separate schedule supported by a covenant to observe them. This would be appropriate, for example, for absolute limitations and outcome targets, financial contributions, restrictions on operations or use, requirements to use the site in any particular way, and commitments involving third parties, e.g. in two tier authorities, the county council. Appendix C sets out some illustrations of ways of dealing legally with these aspects.

**7.15** It can be appropriate to include the travel plan as an appendix to a planning obligation, so as to illustrate, for example, the scope or nature of the travel plan submitted to the local planning authority for approval. This is an aid to interpretation of a planning obligation set out in the deed.

**7.16** Experience has shown that that planning obligations concerning travel plans may need to be worded both positively and negatively to maximise their enforceability. For example, an obligation may be drafted to require:

- the Bus Subsidy Payment shall be paid to the Council before Occupation of the Development; *and*
- the Development shall not be occupied until the Bus Subsidy Payment has been paid to the Council.[51]

**7.17** The illustrative clauses set out in Appendix C build upon the Law Society's Model Section 106 Agreement.[52] This documentation should also been read alongside Circular 5/2005.[53] In London, TfL has separate guidance that includes model conditions and planning obligations (see TfL guidance previously referenced).

**7.18** The planning obligation ideally should include all of the items set out in Table 7.1 where these are appropriate.

51 The first obligation is made under section 106(1)(d) and the second obligation under section 106(1)(a).

52 Model planning obligation (section 106) agreement. Law Society, 2006; available on CLG website.

53 Circular 5/2005 *Planning Obligations* and *Planning Obligations: Practice Guidance,* CLG, July 2006.

| Table 7.1: Checklist for planning obligation content | |
|---|---|
| | ✓/✗ |
| • Sets out a timetable for the preparation, implementation, monitoring and review of all stages of the travel plan. | |
| • Sets out the triggers and payment schedule for all financial obligations, both capital and revenue. | |
| • Spells out the process and funding for the first X years of the development (depending on scale and phasing), including implementation, management and monitoring of the travel plan. | |
| • Clarifies the arrangements for ensuring sustainability of the travel plan into the longer term (when the initial developer may not be involved), including who will fund/employ any travel coordinator, operation of transport facilities, car clubs etc. | |
| • Clarifies how future occupiers of the development will be involved and whether any costs will fall to them in relation to implementation/management of the travel plan. | |
| • Outlines parking controls and management. | |
| • Identifies, where appropriate, any contributions to larger schemes, e.g. through pooling arrangements. | |
| • Sets out the outcomes sought, targets identified for the performance of the travel plan against the outcomes, and what will happen if the targets are not met, including any other amelioration measures. | |
| • Sets out the monitoring and review programme and criteria, and who is responsible for funding, undertaking and reporting. | |
| • Specifies who will take any action to revise the travel plan following the review(s). | |
| • Where appropriate, sets out mechanisms for the iteration of the travel plan, its modification and as a last resort default and enforcement procedures. | |

**7.19** Section 106 provides that a planning obligation runs with the land, so it may be enforced against both the original covenanter and against anyone acquiring an interest in the land from him/her unless the agreement makes specific provision to the contrary. This means that a planning obligation will remain effective even if a property is sold off, leased or rented to someone who did not sign the original Section 106 deed.

**7.20** Section 106(2) provides that a planning obligation may:

i. be unconditional or subject to conditions;

ii. impose any restriction or requirement in 106(1) (a) to (c) for an indefinite or specified period;

iii. provide for payments of money to be made, either of a specific amount or by reference to a formula, and require periodical payments to be paid indefinitely or for a specified period.

**7.21** A local authority can impose planning obligations on its own land, e.g. by way of a unilateral undertaking given in its capacity as landowner. The formal requirements of the section, including Section 106(9), must be observed, as for any planning obligation. The obligations thus imposed are

effective in law, just as conditions attached to a planning permission are effective. The common law principle that a body cannot contract with itself is irrelevant, as planning obligations derive from statute and need not be made by way of agreement. See Appendix C for an illustration.

### Case study:
### Use of conditions by the Highways Agency

As part of proposals to regenerate a site close to the M62, the **Highways Agency** has identified that some infrastructure would only be required if traffic levels exceeded certain agreed levels. A travel plan has been secured to manage the flows, with some elements secured by conditions, such as the establishment of a steering group and an agreed system of monitoring vehicular movements. The conditions also specify limits on the volumes of traffic that can leave the site. If these are exceeded, mechanisms to secure implementation of additional highway improvements have been agreed.

**7.22** There are also differences to be considered in respect of some other bodies. The Highways Agency is not a local planning authority. Local planning authorities should co-operate with highway authorities so as to secure appropriate planning obligations in relation to all necessary transport matters including travel plans. The Highways Agency is increasingly pursuing the requirement of a travel plan as a way of managing traffic on their strategic road network, and this requirement is likely to increase. It has typically directed a Grampian condition[54] and used its Section 278 powers under the Highways Act 1980 to secure financial payments for works to support elements of its travel plan requirements.

**7.23** The use of the illustrative clauses attached in Appendix C should be viewed as a starting point. All the planning conditions imposed and planning obligations entered into may need to be tailored to the particular circumstances of the site and travel plan.

**7.24** Legal agreements under Section 278 of the Highways Act 1980 as amended can also be entered into by a highway authority, e.g. a county council, a unitary authority, Transport for London or the Highways Agency. Such agreements can provide for payments of money to a highway authority to undertake works required as part of the travel plan.

## Compliance through legal documentation

**7.25** The measures to be implemented and targets sought should be clearly spelt out and defined in the legal documentation, including associated timetables, and what is to happen if these are not achieved.

54 A Grampian condition is a negatively worded condition that places a restriction on a development, e.g. not to implement a planning permission or not to occupy a development until some pre-condition has been satisfied, such as construction of particular highway works. For advice on Grampian conditions see Circular 11/95: *The Use of Conditions in Planning Permissions*, paragraph 40 and footnotes.

**7.26** The nature of a travel plan is such that it needs to be owned by the key parties: the use of enforcement action or instigating default mechanisms should be a last resort.

**7.27** However, the planning obligation should include what would happen if travel plan measures are not put in place or targets are not met as agreed. Possible options could include:

- payments to the local authority to cover costs of implementing those measures which were agreed but not implemented;
- payments to the local authority to cover the cost of taking action to deliver the agreed targets where these have not been achieved;
- limitations on the way the site can be used (e.g. partial occupation) or restrictions on implementation of subsequent phases of the development authorised by the planning permission until such time as the agreed target outcome has been achieved.

**7.28** It is generally recommended that default mechanisms should be tied to the failure to meet outcome targets, as well as a failure to deliver specific measures. Any default mechanisms must themselves meet the policy guidance for planning obligations generally in Circular 5/2005. Accordingly, the measures cannot be punitive. Any payments, for example, must be for measures that will overcome the planning objections to the proposed development.

## Capital or revenue payments and contributions

**7.29** The use of a planning obligation allows the payment of money to support the implementation of the travel plan. The range of potential contributions and payments will vary considerably from site to site, and regional and local policy should establish what is expected in relation to travel plans. As discussed in greater depth in Chapter 4, greater clarity and certainty for the applicant is one benefit. Research has also shown[55] that authorities with a well-developed policy and administrative framework for planning obligations negotiated substantially higher levels of contribution.

**7.30** Section 106 allows for payments of money, whether as lump sums or through instalments, but only to the local planning authority. Payments to third parties, e.g. public transport operator or the highway authority (unless the highway authority is also the planning authority), can in practice be secured by requiring payment to be made to the local planning authority. The authority then agrees to forward the payment to the specified third party in accordance with the terms of the agreement, provided it has the legal power to do so.[56] This can be done by way of a side agreement to ensure that the third party properly accounts for the money and spends it only on the specified project.

55 *Valuing planning obligations in England*, CLG 2004.

56 For example under Section 2 Local Government Act 2000.

**7.31** The guidance on planning obligations[57] allows for 'pump priming' of new facilities, but these should reflect the time lag between the provision of the new facility and its inclusion in a public sector funding stream or its ability to recover its own costs. Such a provision allows for the case of privately-run bus services, for example, or a car club.

**7.32** Other financial contributions might be related to pooled contributions, standard charges, maintenance payments for particular facilities, or funding of travel co-ordinators. They can also cover other delivery mechanisms, such as management companies or more strategic transport management associations etc. Where the combined impact of a number of developments creates the need for new infrastructure, such as new cycle lanes or pedestrian links, it may be reasonable for contributions from a number of developments to be pooled. This enables the securing of the infrastructure in a fair and equitable way. Pooling can take place both between developments and between authorities where there is a cross-authority impact.[58]

**7.33** Similarly, authorities can establish standard charges and formulae, e.g. per residential unit to support a local car club or public transport route. Local authorities are encouraged to set out areas where a 'standard' requirement in relation to travel plans is likely. They need to be evidence-based and should reflect the actual impacts of the development and comply with the advice in Circular 05/2005: Planning Obligations.[59]

## Case study:
## Example of payments

The London Borough of Islington has developed a standard charge per residential unit for promotion of sustainable travel initiatives. This enables contributions to be pooled and used for marketing of more sustainable transport options, including car clubs, and providing personalised and site-specific advice and information.

**7.34** Other payments may relate to contingency arrangements should particular measures not achieve the objectives as agreed. (See Chapter 9 for further information.) In some cases the planning obligation may require payments in advance of works being commenced or expenditure being committed, e.g. where an authority needs to have funds before entering into contracts with third parties or before permitting works to be carried out on its highway. Bonds or other forms of surety may also be required.[60] Clear schedules of such payments and the basis for their calculation should be included to maximise certainty for the applicant.

57 For further advice on pump priming see Circular 05/2005 *Planning Obligations*, paras B19 and *Planning Obligations: Practice Guidance*, CLG 2006, paras 2.15-2.17.

58 For further advice on pooling see Circular 05/2005 *Planning Obligations*, paras B21-B24 and *Planning Obligations: Practice Guidance*, CLG, 2006, paras 2.18-2.20.

59 Circular 05/2005: *Planning Obligations*, para B35.

60 See *Guidance on Agreements With the Secretary of State for Transport Under Section 278 of the Highways Act 1980*, DfT, 2007.

**7.35** It will often be appropriate for a planning obligation to include schedules that spell out contributions or actions, and triggers for such contributions/ actions in relation to progress in the construction and occupation of the site. Other triggers might be considered, such as the stage reached on particular travel plan measures, take up of services or meeting of targets.

### Case study:
### Example of payments related to achievement of targets

The **Highways Agency** secured a significant bond as part of the agreement at Wellingborough to enable it to implement access controls in the event that the targets for traffic volumes set out in the travel plan are exceeded.

**7.36** Some default costs and longer term on-going management costs resulting from the travel plan may not be explicitly identifiable, as they may be dependent on factors that are uncertain initially. Examples of this include the cost of a bus service, the provision of a controlled parking zone in a residential area, should parking occur off-site, and the provision of a personalised travel planning programme or car club. Where there are ongoing and future costs that cannot be calculated or that will fall to future occupiers, it is important to set out a methodology for calculating such costs and how they will be apportioned and collected (e.g. a bond or a maintenance fund).

### Case study:
### Example of payments

**Surrey County Council** requires developers to set out how the on-going management of the travel plan will be funded. This management strategy is also expected to identify remedial measures that could be undertaken if the travel plan fails to meet its targets, and their associated costs.

## Incentives for achieving particular actions

**7.37** Opportunities to include financial incentives for achieving a particular action might be helpful in ensuring that actions are achieved as soon as possible. For example, where a developer has made a ‘pump-priming’ contribution to subsidise a new bus service and self-sufficiency is achieved sooner than expected, the subsidy paid by the developer could be reduced accordingly. This has the advantage that the developer has an inbuilt incentive to ensure that the initiative is successful as quickly as possible. Alternatively, the agreement can ensure that, if the subsidy is no longer required for the original purpose, it will be diverted to pay for other initiatives in the travel plan that are reasonably required but would otherwise not be funded.

**7.38** Non-financial incentives may be incorporated, such as allowing increased levels of construction/occupation once modal shift or other targets are achieved. Any default mechanisms must themselves meet the policy guidance for planning obligations generally in Circular 5/2005. Accordingly the measures cannot be punitive. Any payments, for example, must be for measures that will overcome the planning objections to the proposed development.

### Case study:
### Example of payments

**Warwickshire County Council** has a system of requiring payments if targets are not met. The occupier will be required to pay a contribution towards sustainable transport in the vicinity of the site or towards other measures to reduce or offset actual levels of car usage. This payment is calculated according to a fixed formula. The payment is a unit sum for each employee car by which the target is missed for each day. The occupier will also be required to pay a fee of 10% of the sustainable transport contribution to cover the extra administrative costs that arise when a target is not met.

## Triggers and timescales

**7.39** Complex proposals, such as multi-occupied developments or speculative developments where the final occupier is not known, will usually require several different types of travel plans at different stages and for different uses (see Chapters 4 and 5 in relation to framework travel plans and interim travel plans). The planning obligation should spell out the types of travel plans required (interim, framework, or subsidiary to a framework travel plan), include associated schedules for key elements, and specify timetables (e.g. 'before development commences' for interim and framework plans, and 'within six months of occupation' for the final travel plan or the subsidiary travel plans).

**7.40** The travel plan approved should be referred to in the planning obligation. Where all the travel plans are not complete, the obligation should specify the nature of the travel plan required for any different uses, and when it should be produced, e.g. subsidiary travel plans to the framework travel plan for the retail and leisure uses in a mixed development to be completed following agreement to purchase or lease the site. However, wherever possible, completed and approved travel plans should be sought with the initial scheme.

## Future management, maintenance and funding

**7.41** Some travel plans, particularly for residential developments and multi-occupied developments, include longer-term commitments to maintenance or management arrangements. These may be secured by a planning obligation but must comply with Circular 5/2005, which indicates that 'where planning obligations secure contributions towards the provision of

facilities that are predominantly for the benefit of users of the associated development, it may be appropriate for the developer to make provision for subsequent maintenance which may be in perpetuity.'[61] Further information on management matters is set out in Chapter 8, but the planning obligation, together with the travel plan, will need to ensure that they are legally binding and effective.

**7.42** The management of parking areas is usually fundamental to the success of the travel plan. This could be addressed within the planning obligation by a clear allocation of responsibilities and funding.

### Case study:
### Parking management

The **London Borough of Ealing** has included considerations about the management of parking spaces within its SPD. It seeks to limit the number of parking spaces permitted within a development in line with government guidance. It also suggests that planning conditions may be used to require a charging scheme for parking spaces at work, or limit the time for free parking for visitors etc.

## Local authority and third party input

**7.43** The actual implementation of aspects of the travel plan may depend on third parties, such as public transport and other operators, or highways authorities. However, the responsibility for overall travel plan delivery rests with the developer or occupier. The Local Planning Authority (LPA) will usually not want third parties who could be signatories to the planning obligation to be joined as parties, because they can complicate the negotiation process. However, it can be appropriate, for example, in the situation where there are two-tier authorities and the county council as transport and highway authority wants the security of being a party to the planning obligation and/or has a part to play in delivery of the travel plan. County planning authorities can enter into planning obligations in their own right.

**7.44** The planning authority, as the lead authority, will need to ensure that it has established clear on-going arrangements with all the relevant third parties so that, as and when appropriate, an agreed process and approach is followed. When drafting the local authority model clauses, the highway and transport authority should be consulted, including the Highways Agency if relevant, the transport operators or other service areas within the authority, e.g. education, as well as developers' organisations.

**7.45** It is important for the developer to feel confident that the requirements in the travel plan are deliverable where they are dependent on other parties in terms of what, when and the quality. The developer therefore may want that assurance also through the planning obligation or an alternative route to secure deliverability, or some may feel that this would unduly complicate the agreement.

61 Circular 05/2005: *Planning Obligations*, para B18.

## Reviews and monitoring

**7.46** There is a need to establish clear, effective systems for monitoring both compliance (with planning conditions and planning obligations) and the outcomes of the travel plan (see Chapter 9). This process needs managing and, if it is to be used as a basis of enforcement action or the take up of default mechanisms, responsibilities need to be formally established in conjunction with the applicant. It will be critical that all parties are clear as to their obligations and wherever possible the matter is resolved before any default or enforcement action is needed. Active monitoring is therefore important, and it may be helpful to have a 'statement of compliance' when all conditions and planning obligations have been fulfilled (not the travel plan in itself). However, before the LPA pursues this route, it would need to be sure that its reasonable costs are covered, because certifying compliance can be complicated and costly.

**7.47** Where there is a dispute as to the situation, independent arbitration or expert determination may be of benefit, and this process could be included in the planning obligation. In addition, independent monitoring can be beneficial in these circumstances (see Chapter 9). This approach is widely used in LPAs for a range of aspects covered within Section 106 obligations but has to be used with care and cannot be used to fetter the authority's statutory function.

### Case study: Arbitration

**Surrey County Council** experienced difficulties with one of its early travel plans when the Council came to an impasse with an occupier over the issue of targets that were not met. It was able to find a mutually acceptable resolution by seeking the advice of an independent mediator. This means of addressing unresolved issues is now built into its standard S106 agreements.

**7.48** Funding may be secured from the developer to enable the authority to respond to the monitoring of the travel plan over time. This can be provided for within the obligation.[62] Mechanisms within the obligation should also provide for further development, review and updating of the travel plan in the light of experience once sites are occupied. This monitoring and review should take place over an agreed period of time following completion. The timing will depend on the scale of development, the phasing and occupation, and the anticipated time following completion when the development could be considered 'stable'. The travel plan, as indicated earlier, should be in existence throughout the life of the development. In some cases authorities are seeking a five-year rolling travel plan programme of implementation, monitoring and review, and this is incorporated into the planning obligation.

62 See Circular 05/2005: *Planning Obligations*, para B50 and *Planning Obligations: Practice Guide*, CLG, 2006, Chapter 10.

**7.49** Some developers may also wish the authority to provide advice on devising the travel plan, the refreshment of the plan in future, in the implementation and/or management of the travel plan. Where the authority is requiring regular monitoring information over a number of years, which it then has to evaluate and subsequently approve – for example, a revised plan – it is possible for the authority to seek funding for this as part of the planning obligation. A number of authorities have established a clear published fee schedule for this purpose. It will be important in these circumstances for there to be clarity between the planning authority and the transport authority as to the scale and use of the fee, because the monitoring and review activities are likely to be divided. In the case of the resource centre again this would be need to be explicit (see Chapter 2, paragraph 2.29). In all cases the basis for the scale of the fee should be explicit, as should the level of service to be provided.

## Case study:
## Five-year rolling programme

**Transport for London** has set out its requirements for travel plans on the basis of a five-year programme of monitoring and review for most developments. The first surveys will be done at an agreed point, normally three months after occupation or, in the case of a phased development, when a significant proportion of the development has taken place. Surveys are then repeated at three and five years. In the event that the targets have been met, it will be agreed that the requirements of the planning obligation have been met and monitoring will then be continued on a voluntary basis. Occupiers will be encouraged to set new objectives and targets for a new five-year cycle. However, if targets have not been met, the remedial measures set out in the planning obligation have to be implemented. Monitoring will then continue and a further review will be undertaken two years later. Longer monitoring periods can be agreed at the outset if any development is considered to have significant longer-term traffic impacts.

## Case study:
## Monitoring fees

**Surrey County Council** has introduced a scheme of one-off payments towards the cost of monitoring the travel plan for up to nine years. The scale of fees is set out in its good practice guide and relates to the size and complexity of the development. These are paid at the time that the travel plan is agreed.

**7.50** The authority may undertake the monitoring or review activities itself, using the data/information provided by the developer or occupier, or seek support from other parties, e.g. consultants. The surveys which underpin the monitoring may be carried out by an independent party but are the responsibility of the developer. The iTRACE, TRAVL and TRICS systems are examples of independently collected and collated data that ensure robust data standards and the ability to make comparisons across time and between sites. In order to manage this process cost-effectively and

make best use of the limited available expertise, local authorities may wish to join together to support a central monitoring, research and review body (see Chapter 6 on resource centres). The fees obtained for monitoring and review purposes (see above) could be pooled by the local authority and used to part fund such a function.

**7.51** Within both the plan and planning obligation, it may be necessary to spell out a contingency arrangement. This could be in the event that a travel plan measure cannot be implemented or does not perform as expected, whatever the reason, unless the travel plan is wholly focused on outcomes rather than measures. These are likely to be different from default mechanisms in as far as the default is associated with a failure to deliver on the part of the developer/occupier, whereas contingency relates more to adaption to circumstances over time. In the latter case, the contingency would relate to the non-achievement of the outcomes rather than measures. For example, if it was difficult to find an operator for a car club scheme, then the contributions provided to initiate the scheme could be used for another measure that would help reduce the number of car journeys. Alternatively the factors or criteria that could instigate a review of the outcomes sought or basis of renegotiated could be defined.

## Case study:
## Including alternatives as a contingency

In **Test Valley**, provision was originally made to fund a bus service. Through negotiation the funds have been reallocated to pay for the provision of cycling facilities instead.

**7.52** Contingency arrangements may also be made to ensure that specific problems can be addressed if and when they arise. An example of this could be – if there are problems with overspill parking in a neighbouring area, the developer will fund the implementation of a controlled parking zone to deal with this. These arrangements can be built into the obligation to allow flexibility in the way measures are implemented or the way outcomes may be achieved. They can also be appropriate where impacts are difficult to predict and back-up measures or other possible mitigation The more elaborate the travel plan becomes, and the more rigorous its requirements, the more important it will be that the planning obligation used to secure it is clear. Referring to the completed approved travel plan in the obligation is the simplest method if the travel plan is well prepared to show how the different elements relate. The growing need to manage travel demand means that travel plans will be increasingly used and will need to become increasingly sophisticated. However, it will also be important that they are not time-consuming or expensive to produce or regulate. Table 7.2 illustrates the choice of mechanisms, and the way they are crafted will depend on the contribution of the travel plan to wider sustainable transport objectives.

**Table 7.2: Achieving effective Section 106 planning obligations**

| Planning obligation element | Possibly effective | More effective |
|---|---|---|
| Commitment to travel plans, outcomes and targets | Commitment to referenced travel plan and inclusion of some measures/outcomes | Inclusion of a reference to the entire travel plan within the planning obligation deed |
| Performance measures | Specify targets and outcomes required | Specify further measures in the event the outcomes not delivered and/or targets are not met |
| Payments and contributions | Specification of payments to be made | Payments to cover the costs of mitigation of impacts |
| Triggers and timescales | Schedules and timetables | Phasing so that later stages of development are dependent on the achievement of agreed outcomes from earlier phases |
| Future management and maintenance | Clear allocation of responsibilities and funding | Establishment of maintenance funds and/or management arrangements. |
| Reviews and monitoring | Requirements for monitoring and reviews | Funding from the applicant for these processes |
| Contingency arrangements | Identify potential remedial actions if measures fail | Require payments 'on account' to cover the costs e.g. bonds in highway works agreements |

## Case study:
## Example of bonds as a contingency

**Test Valley** secured a bond to ensure that a developer provided a bus for a retirement village. In the event that the developer failed to deliver the service, funds from bond would have been available and sufficient for the local authority to provide the service.

## Case study:
## Example of trust

In **Ealing**, the Grand Union Village Community Trust was established with funding and support from the developer. This will take over the management and implementation of the travel plan through the creation of a subsidiary Transport Working Group, the membership of which is included in the travel plan.

# 8. Implementation and management

**This chapter sets out the critical factors to secure effective implementation. It also considers how to approach the long term responsibilities and sustainability of the travel plan to ensure that it achieves the overall objectives of the process. There are responsibilities for this with the developer, occupier and the local transport, highways and planning authorities.**

## Key messages

- Travel plans are living documents that need to be updated in the light of experience and sustained throughout the life of a development.
- At all times a named individual needs to be responsible for leading the delivery of the travel plan.
- The developer/occupier should take the lead in respect of delivering the site-specific elements of the travel plan.
- Local authorities need to establish robust databases of all travel plans in their areas.
- Post-implementation management arrangements must be identified and included in the travel plan.
- Transport Management Associations may be an appropriate mechanism for assisting with the implementation and on-going management of travel plans within a wider area.

## Securing effective implementation and management

**8.1** A travel plan must be seen as a 'living document' that should be updated and amended in the light of experience. It is therefore essential that the ongoing management arrangements are agreed prior to the grant of planning permission, and the commitment to the plan by all the relevant parties is supported by the planning obligation. The travel plan needs to be capable of securing long-term action. It therefore needs to be implemented and managed as far as possible so that it becomes self-sustaining.

**8.2** For large-scale developments the travel plan co-ordinator has a critical role in ensuring that the plan is implemented, managed, monitored and reviewed over time. It is also essential to ensure that an effective partnership is established to undertake this role in the longer term as well as the initial implementation. The nature of this arrangement will need to vary depending on the type and scale of development. In situations like a school or a hospital there is a clear on-going management structure to manage and maintain the travel plan. This is also true in many commercial developments with a single occupant or where there is a management company. It is considerably more difficult in developments of a private residential nature or where sites are developed with no overall management structure. In these situations a steering group or community trust may be needed, or some other form of partnership working. These arrangements are described in more detail below and may include the setting-up of a Transport Management Association (TMA).

**8.3** The evidence from the underlying research would indicate that many approved travel plans and planning obligations are not robust in setting out the implementation and long-term management arrangements. These are issues that require considerable thought during the initial discussions on the draft travel plan with the local planning and transport authorities as well as the developer/occupier. This will enable an agreed process to be built into the travel plan before approval. It is for the developer to take a leading role in proposing what is suitable.

**8.4** It is also clear from the research that there is considerable confusion within local authorities as to where the public sector responsibilities lie in terms of overseeing both the implementation and the monitoring. Different authorities are responding to this aspect in different ways – from taking no action post the grant of planning permission, to one of a structured approach to securing both implementation and monitoring via either the planning authority or the transport authority. The approach in London is the most structured, with clear, predefined responsibilities and IT-based systems established between the London boroughs and Transport for London. The actual arrangements are for the relevant authorities to determine, but they need to be agreed, explicit and published.

## Implementation of the travel plan

**8.5** Before planning permission for a development has been granted, there needs to be clarity about where the responsibility for the travel plan and its full implementation lies. Whether the travel plan is full, framework, interim, or for an area, it needs these aspects to be explicit and clearly documented. It is the responsibility of the developer/occupier to determine these issues. This process is crucial to ensure that the travel plan is effective in delivering its objectives and needs to be clearly evident to the local planning and transport authorities. There are a number of elements that are relevant, and different parties will be responsible for the actual implementation of different aspects of the travel plan in most circumstances although under the overall responsibility of the developer/occupier as project manager. The planning obligation and the travel plan should have clearly set out all the key responsibilities and the timing of any action.

### The role of the developer

**8.6** The nature of actions to be taken will vary depending on the type of travel plan and the nature of the site. Before development starts on site, it will be important that the developer:

- identifies a lead person (this may include appointing a consultant to undertake the work);
- concludes any discussions with third parties, e.g. the transport operator to ensure their needs are met, e.g. in the design;
- ensures that any changes in the travel plan required are clarified in accordance with any mechanisms for reviewing the plan;
- develops an action plan for implementation;
- establishes any steering arrangements required;
- ensures that the final site design is consistent with the approved travel plan, e.g. in terms of bus access;
- establishes liaison arrangements with the local authority/ies.

**8.7** The action plan is likely to cover a number of phases of work relating to the phases of construction, the occupation phase, a period of consolidation and then the established phase. Depending on the size and nature of development, the action plan is likely to be more detailed for the initial phases at the beginning of the construction and refined over time. The nominated person responsible for the implementation of the travel plan during the initial phase – probably the travel plan co-ordinator – should monitor and review the action plan and project-manage it.

**8.8** The developer also needs to identify who will be responsible for the implementation of the plan during the actual construction phase, and then how any future handover to subsequent owners and occupiers of the site will take place. It may be appropriate to identify the travel plan co-ordinator at this stage, if this has not already been done. Most successful plans have a travel plan co-ordinator who will be responsible for ensuring the implementation of the individual measures in the plan or devising those measures to be implemented to achieve the approved outcomes. The travel plan co-ordinator can act as the promoter of the plan to occupiers and provides a key point of contact, both during the construction phase and once the site is fully functioning. The role of the co-ordinator will be likely to change, and so will the amount of time required to fulfil the obligations, as the site is developed and occupied. Different skills may also be required at different stages. However, even if the individual changes, it is important that a named person remains responsible throughout to ensure continuity and satisfactory handover periods as the development progresses.

**8.9** During the construction phase one of the roles of the travel plan co-ordinator will be to work in partnership with the local authority and others, such as local transport operators, to undertake the following:

- manage the implementation of measures set out in the plan;

- collect data and other information relevant to the implementation and future monitoring of the plan;
- prepare and produce marketing material for incoming site users, e.g. residents, employees;
- set up appropriate management arrangements, such as a travel plan steering group.

**8.10** For many developments liaison with the transport operators and the local transport and highway authority, and in some instances the Highways Agency, will be particularly critical in terms of timing and funding. As far as possible, all sustainable transport measures should be in place prior to occupation or as soon as possible thereafter. This is to ensure that occupiers establish sustainable patterns of travel behaviour from the beginning, as research shows that retrofitting is not as effective. Once people have established travel patterns, e.g. using a car, they are less likely to use alternative ways to travel. However, for some sites this can be difficult, e.g. a new bus route or car club may not be viable until site occupation has reached a particular level, so judging the timing of implementation of such schemes is important.

**8.11** The key tasks required for implementation can be summarised as shown in Table 8.1.

**Table 8.1: Implementing the travel plan**

| During construction | Post construction | Post full occupation |
|---|---|---|
| Implementing the measures | Completion of implementation of the measures | Monitoring of effectiveness of the measures |
| Setting up the on-going management arrangements for post construction | Establishing the management arrangements | Reviewing the operation and effectiveness of the management arrangements |
| Designing the marketing information | Training and/or informing key personnel or future occupiers | Maintaining relevant marketing and other information for occupiers |
| Establishing benchmark data and monitoring arrangements | Undertaking initial surveys and setting up database | Undertaking regular assessments of impact of travel plan and modifying approach if required |
| Securing effective dialogue with key parties | Maintaining effective dialogue | Maintaining effective dialogue and evolving to fit changed situation |

### The role of the local planning/transport authorities

**8.12** It is important that the details of all travel plans are incorporated into an appropriate database by the local planning authority. This will be necessary to ensure compliance with the planning process in relation to the conditions or planning obligations to which a travel plan may relate. It is also important that whoever is taking responsibility for the travel plan's long-term monitoring and review has the information, e.g. the resource centre. This could be either the planning or the transport authority. Details of the developer and appropriate contacts should be retained, as well as

information on all the key components of the travel plan itself, including programming, financial contributions and other actions.

**8.13** It has to be recognised that there may be significant time lapses between the granting of planning permission and the implementation of any development proposal. Nevertheless, it is important that sufficient information is retained by the local planning authority to ensure that, once the construction phase commences, the process of collecting relevant data and implementing the measures takes place in the agreed manner.

**8.14** The database for monitoring the travel plan as distinct from the compliance with the planning approval should ensure that it provides for the maintenance of all key hard and soft information in such a way that it is comparable with the monitoring information. This should allow for the evaluation of the policy and practice of all travel plans to be assessed over time as well as that of the individual travel plan. In London, Transport for London has established a system for monitoring travel plans on a coherent and consistent basis to help ensure that the process is delivering the desired outcomes. The establishment of such a system elsewhere in the country would provide highly useful information and could be a function of resource centres. The survey of local authorities in 2006 in relation to travel plans and their responses as part of research underpinning these guidelines highlighted the shortage of monitoring information.

## Management after occupation

**8.15** For management after occupation to be successful and to deliver the desired outcomes, it is essential that appropriate structures are identified and agreed as part of the negotiations on the planning application and secured through the planning obligations. Wherever possible, it is important that all those who have an interest in the effective delivery of the travel plan need to be part of this partnership or management structure. This can include residents, businesses, staff representatives, visitor/patient representatives and transport operators, as well as the local authorities. Such an arrangement would need to vary depending on the scale of the development and may over time be incorporated into an area-wide travel initiative.

### Case study:
### Identification of ‘owner’

**Ealing Borough Council**’s SPD on travel plans stipulates that a dedicated ‘owner’ must be identified as being responsible for the delivery of the plan. Where the owner is an organisation or company, a contact person, address and phone number shall be provided. In some cases the eventual owner/occupier might be unknown until some time in the future. In such cases, an interim owner shall be identified in the travel plan and implementation will be their responsibility. The need to appoint a travel plan co-ordinator should be a requirement of any tenancy agreement.

**8.16** In addition, the management structure will be different for different types of development and at different stages in the development process. Where a number of travel plans are being implemented within an area, a Transport Management Association (TMA) can also help to oversee the process.[63] A TMA is a private, not for profit, company that is set up to provide an institutional framework for the delivery of travel planning for a defined geographical area. TMAs are member-controlled and therefore offer benefits over and above simplified travel plan networks. The TMA is secured through a Section 106 obligation as the mechanism to deliver the framework travel plan, and the developer establishes and pump-primes the TMA. The TMA manages the individual travel plans of occupiers and provides the area-wide travel plan elements. This approach is now being applied to new developments where there are multiple occupiers, e.g. business parks, as a means to deliver the framework travel plan. Each occupier is required to be a member of the TMA through legal obligation and pays a membership fee on an annual basis.

## Case study: Transport Management Association

The UK's first business-led TMA was established at Sowton, **Exeter,** in 2006. It aims to become a blueprint for similar initiatives not only in Exeter but also around the country. The TMA ensures that businesses drive forward a number of transport initiatives. The company was set up by the Sowton Forum to work in partnership with employers and employees on the business park. They promote travel plans, encourage car sharing, promote innovative working practices and propose solutions to traffic 'hotspots'.

**8.17** Establishing a TMA to deliver the travel plans in multiple use developments brings the following benefits:

- provides a mechanism for the continuity and longevity of travel planning at the development after the developer involvement is finished;
- means for long term funding of travel planning at the development;
- delivery of economies of scale to travel planning measures;
- equity for all occupiers in achieving travel plan objectives and targets;
- allowing occupiers of different sizes to offer meaningful travel planning benefits to their employees;
- provides a means to reward individual occupier success and penalise failure in meeting global targets;
- enables provision of ongoing advice to occupiers;
- establishes a membership that speaks with one voice and has credibility with the local authorities;
- provides a means to bid for future public sector finding/grants.

63 This approach is being taken in a number of places – see www.exeter.gov.uk/index.aspx?articleid=5124 – 16k.

**8.18** Examples of management structures that can be charged with overseeing the work of the travel co-ordinator and the ongoing delivery of the travel plan, as identified through the research, include:

- steering groups;
- community trusts;
- management companies.

**8.19** The choice of management structure will depend on the nature and scale of the development. It then needs to have a clearly stated remit, which should include the following:

- clear purpose and agreed accountabilities;
- a funding stream to support the delivery of ongoing measures and activities set out in the travel plan;
- mechanisms for communicating with all those affected by the plan and any changes that may result from the monitoring and review process;
- clear 'hand over' stages as the developer completes the development and passes responsibility to occupiers.

## Case study:
## Steering groups

**Nottingham City Council** set up a travel plan work-stream group for the development of a new Primary Care Trust (PCT) facility. The group involved the council, the PCT, the occupiers and user groups and was set up at the start of the development to ensure that the travel plan was in place prior to occupation. The development has a number of stages, each having its own travel plan. The group continued to meet post occupation to refine the travel plan and discuss any issues arising and resolve as necessary.

**8.20** As developments move through their different phases from initial occupation to an established site, so the form and shape of any arrangements will change, as will the parties to it. Many existing planning obligations consider arrangements within the agreement, e.g. the monitoring and review mechanisms, of up to five years, but not what happens subsequently. It is important to consider what happens throughout the lifetime of the development. In addition, some developments will be phased over five years or more in terms of implementation, which also will need to be reflected in the proposed management arrangements**.** To be effective, the obligation needs to be operative 'in perpetuity' in relation to negative restrictions and the obligation to maintain and monitor a travel plan. For this approach to be successful, the arrangement will need to be seen to be adding value to the participants by providing customers, a facility or some other benefit.

# 9. Monitoring, default mechanisms and enforcement

**This chapter is concerned with ensuring effective monitoring of travel plans to inform both policy and practice as well as the specific plan itself. It also suggests possible actions that could be taken should there be occasions when travel plans are not being implemented or not effective.**

## Key messages

- Monitoring and review are essential to ensure travel plan objectives are being achieved.
- Monitoring for individual sites should ensure that there is compliance with the plan, assess the effectiveness of the measures and provide opportunity for review.
- Monitoring of travel plans across an area provides a means of looking at wider effectiveness, as well as establishing improved sources of data and information for future travel plans.
- Monitoring must be done over time – it requires action and resources.
- Local authorities should consider charging for the process and publish any agreed fee scales.
- The review process needs to be systematic and planned. A good review process will provide all parties with the opportunity to make changes to achieve the agreed outcomes.
- Negotiation and amendments to the travel plan are likely to be the most effective tools for achieving outcomes.
- Default mechanisms should be agreed as part of the planning obligations; they will be the action of last resort.
- Sanctions can include payments, access controls and/or implementation of additional measures, including infrastructure.
- Sanctions and payments need to be reasonable and proportionate.

## The purpose of monitoring and review

**9.1** An effective monitoring and review process is important to establish how far the travel plan has proved successful. It needs to operate at least at two levels – the strategic, and the specific travel plan and site. In all cases, the monitoring requirements must be built into the travel plan and agreed with all the parties prior to the grant of planning permission. This is the case irrespective of what is known about the end user of the site. The monitoring should consider the agreed outcomes of the travel plan and the implementation of specific measures. As part of this process it will be important to establish the baseline conditions in relation to the targets.

**9.2** Monitoring is firstly the collecting of data and information about a particular site. The travel plan needs to set out what is to be collected, and when the appropriate surveys will be carried out. This will need to be linked to how baseline information was collected and used in the establishment of the targets. The responsibility for collecting this information and data should remain with the developer, who should prepare an appropriate report for submission to the local authority.

**9.3** The form and content of the monitoring is crucial. Evidence from the research[64] has highlighted the limited nature of current monitoring activity and the inadequacy of it for benchmarking and policy functions as well as travel plan implementation. A common template for the information needs to be produced by the local authority, accompanied by a requirement for consistency in data collected, the timing and frequency of data collection, and its storage.

**9.4** Review is the opportunity for the occupiers and the local authority to consider the information and determine whether or not the terms of the travel plan have been met and the targets achieved. The responsibility for initiating this should lie with the local authority leading on travel plans, which could be the local planning authority or the resource centre. It is then for all the parties involved to come together to consider the results and decide what, if any, amendments are required to the travel plan.

64 See concurrent research report including case studies Addison & Associates 2008.

## Case study:
## Monitoring outcomes against targets

**Devon County Council** has demonstrated the importance of monitoring with the recent success at the Sandy Park (Exeter Chiefs) Rugby Ground Match Day Access Strategy and Travel Plan. Monitoring requirements were set out in the Section 106 agreement to include modal split surveys after the first event, after the first six events, and at the end of each season. This relocation development was on a potentially unsustainable location, with limited provision for access by bus, walking or cycling. A robust access strategy and travel plan were agreed. They included negotiations with the Highways Agency, bus and train operators – it has proved to be 'a practical document that works well in practice'.

Soon after opening in September 2006, over 6000 supporters attended the first match, 50% of whom came from Exeter, and 75% of these did not come by private car. Measures included:

- a new cycle path including a new bridge;
- coach parking facilities;
- two new bus routes from the old site and the station;
- park-and-ride schemes from Digby and Sowton;
- a controlled parking zone in a nearby residential area;
- a concessionary pricing structure 'to make arrival by means other than car as attractive as possible'; and
- a commitment to marketing initiatives to promote sustainable travel to the ground.

Monitoring of this game indicated that 41% came by non-car mode, compared to 59% by car mode, a significant improvement on the 24%/76% modal split expected for this match from the Interim Access Strategy prediction, and giving encouragement that the eventual target split of 48% car/52% non-car trips could be met.

**9.5** The local authorities (or resource centres) also have a wider role in supporting the regulating and monitoring of travel plans, some of which will relate to specific sites, but most of which will be about maintaining records of all the travel plans within their areas.

**9.6** For individual sites it will be necessary for the local authority to undertake the following activities:

a. To ensure compliance with the terms of the planning permission, *i.e. has the developer done what was agreed*. This may be to ensure that the terms of the planning obligation have been met, e.g. 'hard' infrastructure implemented or financial contributions paid, or, in the case of conditions, that their requirements have been discharged appropriately, e.g. cycle stands built.

b. To assess whether or not the measures in the plan are leading to the achievement of the agreed targets and outcomes, *i.e. is the travel plan being effective.* In the event that outcomes are not being achieved, this will then trigger the need for the travel plan measures to be reviewed, e.g. the modal share targets have not been achieved in terms of level of car use, so action would be needed to agree further measures.

c. To facilitate the review of the plan or the use of the default mechanisms that are set out in the plan to achieve compliance or, in the final analysis, to impose sanctions and provide the necessary evidence to proceed to enforcement action, *i.e. what action should be taken to remedy the situation*.

**9.7** This process is illustrated in Figure 9.1.

**9.8** For the wider area it is also important for the local authority (or resource centre) to undertake the following:

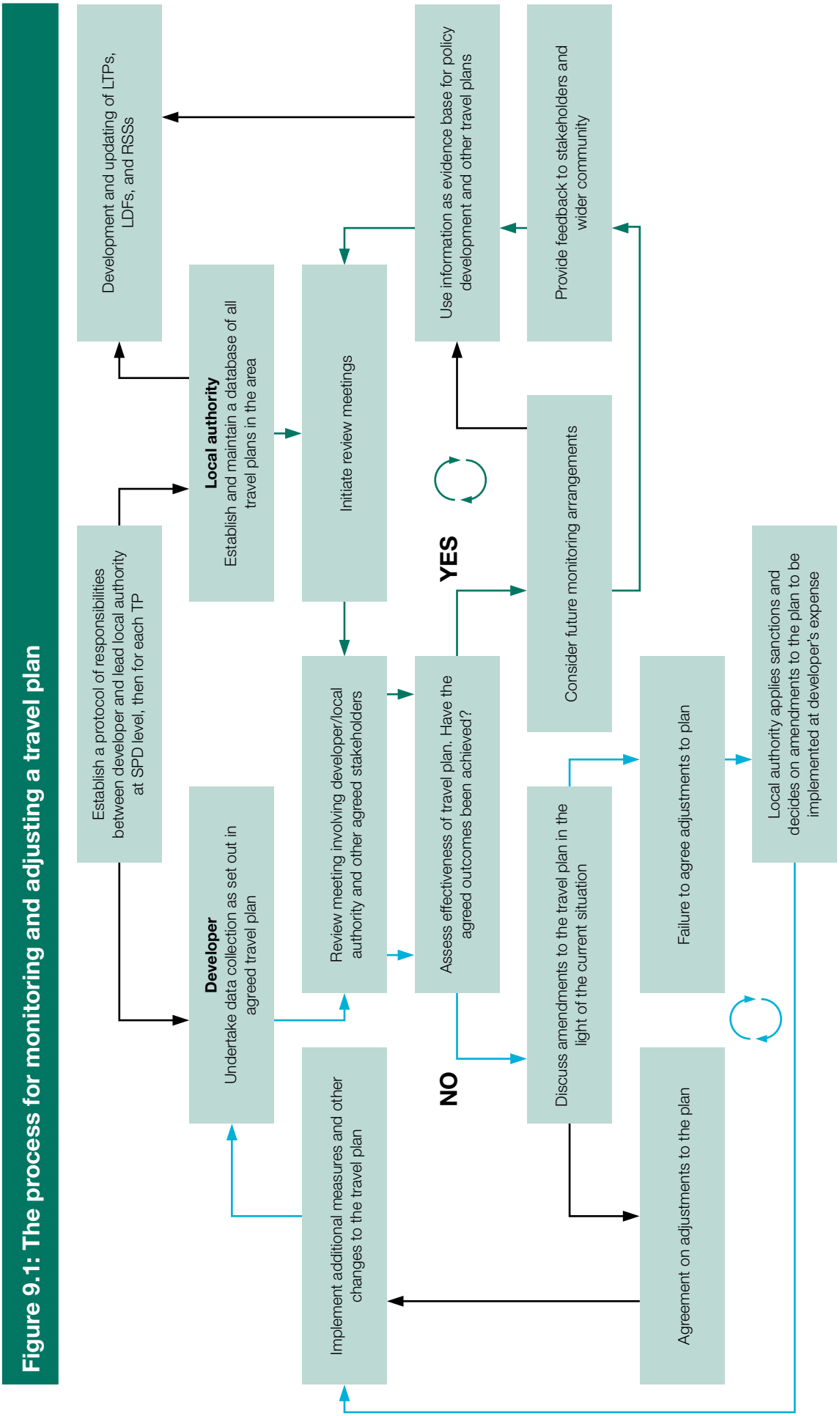
a. to keep records of all the areas travel plans and the data associated with them over time;

b. to assess how groups of travel plans are contributing to the achievement of wider objectives, such as traffic reduction, improvements in air quality and modal shift in a particular area and over time. This will enable changes in approach to be made or, for example, discussions to be held with transport operators about new or different routes;

c. to use information collected from the monitoring and review process as part of the evidence base for policy development and the Local Development Framework. It will be important to judge which measures are effective in which locations to inform future travel plans and to support work on the future review of local development frameworks (LDFs) and regional spatial strategies. In addition, such work should inform the Local Transport Plans and the priority given to different approaches to sustainable transport.

**9.9** TfL has established iTRACE as its tool for monitoring travel plans across the London area. Nottingham City Council, Surrey County Council and other local authorities have now initiated databases to monitor travel plans performance and outcomes in their areas.

**Figure 9.1: The process for monitoring and adjusting a travel plan**



### The process of monitoring

**9.10** Monitoring is not a one-off activity. It needs to take place at regular, agreed intervals over a period of time. The primary responsibility for collecting the data will lie with the developer or occupier. The length of time over which monitoring will occur and the frequency will depend on the nature and scale of the development and should be agreed as part of the travel plan with the developer/occupier. Some developments may be more complex and implemented over a long time frame. In such cases monitoring should be continued for an appropriate period and could be as long as 15 years in a large phased development. In most planning obligations, the element concerned with monitoring will require monitoring to take place for period of at least five years.

## Case study: Monitoring

**Nottingham City Council** has set up an in-house monitoring system for all travel plans. The monitoring is undertaken in November every year, with all the travel plans obtained through the planning process monitored in this way, plus a range of voluntary travel plans from companies who have agreed to take part. The same questionnaire is provided to all companies, which is based on the council's seven-point travel plan criteria. The results are then analysed to give council-wide statistics and the individual companies are given their results. The council then uses this information to talk through with the companies how best they can meet their targets and improve their performance.

**9.11** Monitoring requirements should only cease when there is sufficient evidence for all parties to be sure that the travel patterns of the development are in line with the objectives of the plan. This includes meeting the agreed targets over a consistent period of time. At this point the travel plan would become a voluntary initiative, part of a wider transport management agreement and monitored on a voluntary basis. This will depend on the nature, type and scale of development. Alternatively, further development may lead to a new planning obligation that supersedes the original travel plan.

**9.12** Monitoring is an activity that incurs costs. However, it is in the interests of all the parties to ensure that the agreed outcomes are achieved, or the plan is adjusted to do this. Both the developer and the local planning and transport authorities will require adequate resources to do this work, as both parties have a role. The local authority can secure contributions it needs for the monitoring process from developers in a manner that is reasonable, given the scale of the development. Fee scales should be set out as part of the published policy documentation alongside a clear description of what the developer may expect from the local authority in terms of support, advice and review processes. Table 9.1 illustrates a possible fee template.

**Table 9.1: Principles for establishing a scale of charges**

- Fee charges should be based on the size and impact of the development. Developments can be placed in two categories, based on the level of fee required at the time the planning application is submitted to the local planning authority: major developments that are subject to a maximum planning fee, and 'the rest', which have a lower fee but, because of their transport impacts, still require a travel plan.
- The fees should reflect the amount of local authority officer time required to undertake evaluation of the initial plan, assess the monitoring data and participate in consequential reviews and agreement to any amended plans in the future.
- All monitoring data must be supplied by the developer/occupier at their expense.
- Plans should be subject to annual monitoring and review for the first five years at least, with monitoring requirements beyond five years agreed as part of the plan and normally required with major developments; reviews beyond five years normally less frequent – the years requiring monitoring set out in the plan.
- For some major developments it may be appropriate to agree a 15-year time period for monitoring: this should be agreed as part of the plan.
- The fee structure should include an incentive for developers/occupiers to provide the data to the agreed timescales, and penalties in subsequent years for failing to do so.
- The fee structure should include an incentive in the event that the targets are met, in this case the monitoring fee to be reduced: this could also apply if developers initiate amendments to the plan to assist with the delivery of targets that are not being achieved.

## Case study:
## Fees for monitoring

**Hampshire and Surrey Council** has set out fees for monitoring within its guidance. This ensures that there are resources within the local authority to test the effectiveness of the travel plan. Fees are based on the scale and type of development. Surrey requires payment up front. Hampshire also requires payments for the evaluation process. They have a fee scale that is related to the planning fee. Payments can be made on an annual basis or paid up front for the entire period for which monitoring is a requirement of the travel plan.

**9.13** These fees should support the monitoring of individual travel plans by the authority on the basis of the information provided. It will also enable authorities to assess the performance of an individual plan in its wider context. The data gleaned through this process should inform future developments and enable an assessment of the effectiveness of different measures in their localities. The local authority should consider the use of suitable project management tools to assist in this process.

**9.14** In addition to monitoring travel patterns at the site, such as information on car movements, parking and use of sustainable modes, which will be provided by the occupier/developer, local authorities need to retain and manage information in relation to the following:

- planning requirements, e.g. financial provisions or specific measures to be actioned;
- contact details for developer, occupier and travel plan co-ordinator;
- details of the site and the development;
- site audit information – such as parking provision and public transport accessibility;
- the travel plan and associated monitoring reports;
- results of monitoring data;
- key dates for implementation of measures;
- dates for collection and submission of data;
- trigger points for default mechanisms and potential enforcement.

**Responsibilities and requirements for monitoring**

**9.15** In view of these responsibilities, it is important that there is clarity within the local authorities involved about who is leading on travel plan matters (see Chapter 4). This will vary, given the different structure of local authorities. In two-tier areas it may be appropriate for the county councils to lead the process. This would enable the establishment of resource centres and development of appropriate levels of skills to support the local planning authorities**.**

**9.16** Within unitary authorities it may still be appropriate for those responsible for transport matters to lead the process in close collaboration with planning colleagues. In other cases it may be appropriate for districts, as local planning authorities, to lead, provided that they are committed to the process and can secure the appropriate level of skill and resource for effective monitoring. Different models will apply, depending on the local circumstances. However, it is essential that clear decisions are made and that all parties, including developers, fully understand where the responsibilities for leading the processes lie. It is also important that information is shared and is consistent.

**9.17** The responsibility for collecting monitoring data for an individual site should rest with the developer or the owner of the development. The travel plan should make it clear how responsibility for this activity will pass from the developer to site owners and occupiers once the development takes place and what will be required. The data collection process should in some instances be carried out independently by an accredited organisation to ensure that it is of an adequate quality, and to avoid disputes about the data itself, particularly when it has resource implications and may result in sanctions being activated. The data collection requirements should be agreed as part of the travel plan; they must relate to the outcomes, targets and indicators that have been established.

## Case study:
## Comparison of approaches

Several county councils are taking the lead in bringing skills and expertise together to ensure that travel plans and secured and monitored effectively in the future. This includes **Devon, Lancashire, Surrey and Hampshire**. They then work actively with their district planning authorities to support the process. All these authorities have produced guidance and have set up systems for monitoring, although it is recognised that these processes are still evolving.

In other areas the district councils are committed to travel plan process and have developed systems themselves. An example of this is the work done by Test Valley within Hampshire. However, they recognise the benefits of partnership working with the county council and are seeking to ensure a consistent approach.

**9.18** The actual data collection should be undertaken through travel surveys at specified periods as agreed and set out in the travel plan.[65] It should provide robust and consistent time series data, e.g. using the same definitions, the same survey questions and undertaken at comparable dates and times**.** Summary information from the surveys needs to be collated and sent to the local authority by the agreed dates. The local authority may set out the detailed requirements for the format of this data in order to enable comparisons between sites: this is the approach that is recommended. It will enable a database for the area to be maintained tin order to provide relevant information for the development of other travel plans. For benchmarking and comparative purposes a standard format is also useful.

## Case study:
## Monitoring requirements

**Surrey County Council** recognises the importance of monitoring (which it defines as auditing) and seeks monitoring reports for every other year following implementation, for up to nine years. Monitoring requirements are reduced if targets are met at the five-year point, which provides an incentive for developers to deliver. The County Council requires developers to fund the cost of gathering type 2 data that meets the Standard Assessment Methodology (SAM) defined by TRICS.

**9.19** In addition to data relating to travel patterns, other information can be collected to demonstrate the impact of the travel plan, and to assess the effectiveness of particular measures. It may be appropriate to consider undertaking attitude surveys and providing before/after photographic evidence. Again, the nature of the information should relate to the overall outcomes sought and the wider transport policies.

65 Examples of survey forms are available in many SPDs and the TfL guidance.

**9.20** The timing of monitoring will be dependent on the type of development. For example, with a residential development that is constructed and occupied over an extended period, it may be appropriate to agree that the date of the first data collection will be triggered when individual phases or 50% or 75% of the units are occupied. With a new office development, it may be more appropriate for this to be within the first few months of occupation. However, when managing major events at a new sports facility, it may be essential to carry out the surveys at the first occasion that the facility is used. The timing of the monitoring activity should therefore be set out clearly in the travel plan itself. The timing will also need to be considered in relation to other travel plan monitoring, as it may be important to secure information from different sites on a consistent time frame for comparative purposes. It can be difficult to make comparisons if information from different sites does not follow a standard format.

### Case study:
### Project management and database

In **London,** TfL has developed a software system, iTRACE, that enables all travel plans to be monitored and tracked over time. This is being increasingly used by the boroughs within London and links to the TRAVL database.

## The review process

**9.21** Travel plans are 'living' documents, i.e. the plan needs to be dynamic and evolve as the situation changes. Reviewing the results of the monitoring process is therefore essential to ensure that the plan delivers the required outcomes. This is an activity that must be shared by the developer/occupier and the local authority. It is also essential to ensure that all the relevant parties are talking to each other and effectively working in partnership to achieve the desired results. Effective review mechanisms should enable the plan to be adjusted and avoid the need for invoking any default mechanisms or resorting to enforcement action. They will also help in securing and sustaining the desired travel patterns and behaviours.

**9.22** The purpose of the review meeting should be to discuss the results of the surveys and agree any refinement to the travel plan that is required to ensure that targets and outcomes are achieved. Dates for travel plan review meetings should be identified within the travel plan, e.g. annually in March. These will relate to the completion of the development or may, in the case of phased development, relate to the completion of an agreed proportion of it. They are likely to take place one, three and five years after implementation of a development. With some major developments, particularly those that are phased, it may be appropriate to agree longer timescales. For example, if the objective of the plan is to ensure that the traffic situation in the area surrounding a development is no worse 10 years after a development than at the time of submission of a planning application, then monitoring will need to be undertaken throughout that period**.**

## Case study:
## Effective review

**Nottingham City Council** sees itself as a facilitator and enabler and uses this approach rather than enforcement. Through providing support, e.g. introducing traffic regulation orders, providing survey analysis, undertaking staff presentations or providing bespoke travel information the Council seeks to secure the delivery of the agreed travel plan outcomes.

**9.23** The parties to be involved in review meetings should be identified within the travel plan. Although the process needs to be led by the section within the local planning authority that has been identified as responsible for travel plan monitoring, it must seek to be a partnership approach involving the developer, occupiers and owners, and other interested parties such as local transport operators as far as possible. The local transport authority will be important to helping to secure this level of engagement. The purpose of the review will be to:

- use the monitoring data to check progress against outcomes, objectives and targets;
- assess whether or not outcomes are being achieved or are likely to be achieved within the agreed timescales;
- consider the performance and effectiveness of individual measures
- agree information that can be disseminated to occupants and other interested parties – both good news and bad. (This could include newsletters to residents/staff/visitors setting out achievements, as well as further publicity about initiatives that need to be used more effectively to achieve travel plan targets. Consideration should also be given to press releases where there are successes to be celebrated);
- discuss variations to the plan that may be needed to ensure that travel plan outcomes and targets are met in the future. Where outcomes and targets are not being achieved, it is essential that there is effective dialogue between the parties to overcome the problems and initiate alternative ways of achieving the desired outcomes. There may be valid reasons why targets have not been met, and the information collected should inform the discussion about potential changes. This process should be at the heart of monitoring;
- once alternative courses of action have been agreed by all parties, the plan can be adjusted, approved, and the monitoring process can then continue in the subsequent time periods or as modified.

**9.24** Travel plans should include the expectation that the developer will initially be responsible for the implementation of corrective measures. There will then be an iterative process. In the event that some measures require the support of the local authority, this should be available, and resources should be provided through the planning obligation. The sort of support that could be relevant in this context could be facilitating liaison with transport

operators, implementing a cycle path paid for by the development or bringing different parties together in support of, for example, initiation of a car club.

**9.25** The planning obligation should include default mechanisms that support these processes. Additional resources that are acquired through such payments should be invested in developing the alternatives to car use, rather than in highway infrastructure (unless for walking, cycling or improving public transport), other than as a last resort.

## Mechanisms for handling breaches

**9.26** The use of default mechanisms should be minimised if many of the approaches suggested in this guide are followed. Nevertheless, it is important to establish principles for default mechanisms, provide specific ideas for further actions and have appropriate sanctions for non-compliance included within the planning obligation so that all parties are clear what may occur if the travel plan targets are not achieved.

**9.27** Although it will be necessary to include mechanisms for changes, adjustments and sanctions when there is non-compliance, it is also important to include incentives for developers to achieve outcomes and targets. For example, if a travel plan is successful for a period of time and there is evidence that the trends are likely to continue, there may be a reduction in the monitoring requirements, or the requirement to introduce some measures may be relaxed on the same basis.

**9.28** As part of the development of the travel plan, a series of actions and measures to deliver the desired outcomes will be agreed, unless the approach taken is based solely on determining the outcomes and leaving the choice of measures to the developer. All parties should be reasonably satisfied that the outcomes and any measures proposed are adequate through the process of evaluating the travel plan. However, it must be recognised that there needs to be some flexibility, given the difficulties of predicting outcomes accurately. It is, therefore, also important to identify potential additional site-specific measures that could be considered for implementation in the event that the outcomes are not achieved with the agreed measures. Examples of these could include:

- marketing and other ‘soft’ measures:
  - revisions to recruitment and terms and conditions of employees;
  - more active marketing incorporating a shift of focus;
  - additional training;
  - additional financial incentives to individual staff/visitors/residents (e.g. contributions towards public transport tickets);

  - further support for non-car modes of transport:
  - additional financial support for public transport services;
  - additional infrastructure for walking, cycling and public transport;

- parking:
  - additional parking enforcement;
  - additional parking management on site including introduction of, or increases to, charges;
  - additional parking management off-site including introduction of controlled parking zones;

- area-wide travel plan initiatives:
  - working with neighbouring developments and the surrounding area to develop their own travel plans to 'off-set' traffic from the new development;

- provision of local facilities to reduce the need to travel;
- other traffic management measures:
  - access controls;
  - traffic management, including information systems to maximise use of existing highway capacity;
  - highway works that support travel by non-car modes;

- limitations on the way the site can be used or developed further. This may be particularly effective in the case of large scale proposals where the development under a particular planning permission is to be phased over a period.

## Case study:
## Default mechanisms – charges for excess traffic and introduction of access controls

During the development of the travel plan measures, the **Highways Agency** assesses the maximum additional number of trips that will be permitted to use the trunk road network. The agreements then set out measures that need to be implemented in the event that these figures are exceeded. This may be the improvement of junctions and the installation of signal controls. Signals can be used to physically restrict the volumes of traffic entering the network, particularly at times when congestion is experienced. Alternatively, a scale of fee payments may be agreed that will reflect the number of trips observed over an agreed threshold. Fees will then be used to deliver enhanced travel plan measures or other infrastructure improvements.

**9.29** Highway improvements that result in additional capacity for the car should be seen as an action of last resort and should only be considered when every other activity has been exhausted. This is consistent with the *Guidance on Transport Assessment*.

**9.30** In the event that the outcomes and targets are not being achieved by the measures agreed in the approved travel plan, the review process should consider the list of alternatives in the light of the monitoring information and agree which additional ones should be pursued. The travel plan should make it clear that these additional measures should be undertaken at the developer's expense, and this will need to be secured in the planning obligation.

**9.31** The travel plan will need to establish triggers of compliance that are set out as clearly as possible. They will normally apply to the number of car vehicle trips (or driver trips) being generated by the site. If these are exceeded, then the following set of actions may be triggered:

- a letter from the local authority stating non-compliance and asking the developer to undertake corrective action;
- the offer of a meeting to discuss appropriate corrective action;
- in the event of further default, payments will then be made to the local authority to fund appropriate measures to address the cause of the default. In some cases it may be appropriate for alternative planning obligations to be triggered, e.g. restricting use of an on-site car park or preventing the construction of additional car parking.

**9.32** Default mechanisms must not be punitive. They must satisfy the appropriate legal and policy tests for planning obligations (or conditions, as the case may be). They may operate as an incentive to deliver the travel plan's preferred outcomes, but they must be justifiable on their own merits.

## Case study:
## Negotiation and pro-active engagement with developers

A number of authorities recognise the difficulties of default mechanisms and prefer instead to be pro-active in engaging with developers to understand the reasons why travel plan outcomes may not have been achieved, then negotiate amendments and improvements. Where authorities have been pro-active with their follow-up procedures, there is evidence that this has been effective in delivering further improvements. This has been the case in **Sheffield, Nottingham and Birmingham**. The best practice guide for **Surrey** also sets out a clear process that will be implemented in the event that implementation of an agreed travel plan does not appear to be meeting its objectives:

- If you do not implement your Travel Plan sufficiently or consistently fail to meet your targets, you must establish the underlying reasons. Further action will be requested by the county council to get a plan back on course.
- Future phases of planning permission and the funding of additional measures may be tied to the performance of the Travel Plan. Failure to achieve agreed targets could lead to withholding further development permission or the requirement to fund further measures. The Travel Plan should explain potential remedial measures that may be drawn upon and state the circumstances when they may be used.
- In exceptional cases, these may be used in conjunction with planning enforcement or legal action, but only as a last resort after reasonable negotiations have not achieved satisfactory improvements. The use of independent experts to act as mediators may be pursued in cases where a stalemate has been reached.

**9.33** It is critical to ensure that there is effective engagement between the developer (and the developer's successors) and the local authority. There is a need for commitment and continuous effort if outcomes are to be achieved and sustained over the long term. This is fundamentally different from the past, where the requirements to deliver measures such as road improvements were seen as sufficient, regardless of their longer-term effectiveness in dealing with the site's transport issues.

# Appendix A: Definitions

**Definitions of particular terms associated with travel planning – to facilitate a common understanding of key concepts.**

**Accessibility:** Providing improved access to places, people and services. This can be done by providing better transport systems, including walking and cycling facilities, but can also be achieved by ensuring that services and activities that people need, or wish to engage with, are provided with in local areas or accessed without the need to travel.

**Access management (as used by the Highways Agency):** Managing access from developments onto the highway network in order to avoid exceeding existing capacity. Traffic access loadings from new development may be managed through the adoption of travel plans and other sustainable transport solutions rather than through improvements to the highway network.

**Area travel plan:** A travel plan developed for a wider geographic area or complex of developments where no single site travel plan could respond to the outcomes required.

**Default mechanisms (contingency arrangements):** These are built into the travel plan to allow flexibility in the way measures are implemented or the way outcomes may be achieved. These are also appropriate where impacts are difficult to predict and back up measures or other possible mitigation is identified in advance.

**Demand management:** Modifying behaviour through a wide range of activities, including reducing the need to travel, reducing the length of journeys, encouraging modal shift, changing the times that travel takes place, ensuring that the capacity of the network is used efficiently and introducing charges. Managing demand in this way includes both ‘carrots’ and ‘sticks’ so that, alongside the improvement of sustainable travel options, there may be increased parking charges, or reductions in road space for cars.

**Destination travel plan**: A travel plan generally designed to reduce car use to a specific destination – such as a workplace, school, hospital or visitor attraction. The majority of trips therefore have a common journey purpose.

**Evaluation of travel plans:** The process of evaluating a submitted (not yet implemented) travel plan (usually at pre-application and application stage or subsequently at review) to determine if it will realistically result in the stated objectives such as reduced vehicle travel demand and encourage sustainable modes.

**Fixed tariffs (in context of planning obligation/contribution):** The developer contribution includes a sum towards the provision of strategic infrastructure that is necessary to enable developments in that area to proceed. It is a fixed amount based on the calculation of the cost of such infrastructure as shared amongst developments that benefit.

**Framework (umbrella) travel plan:** An overarching travel plan that embraces a large development which may have mixed uses and multiple occupiers/ phases. Specific travel plans, i.e. **subsidiary travel plans,** would be created for developments within the site which would need to be consistent with the wider targets and requirements of the overall framework travel plan.

**Full travel plan:** A travel plan appropriate for full and detailed applications where the use is clear and accessibility requirements are clear. It should include clear outcomes, relevant targets and an appropriate set of measures to ensure that the outcomes can be achieved.

**Hard measures**: The provision of infrastructure and improvements to highways and public transport networks, including those to benefit pedestrians, cyclists and other road users.

**Indicators:** Statistical measures that can be used to monitor progress to help in understanding how the site is being accessed and how effectively different modes are meeting travel needs

**Interim travel plan:** A travel plan presented with an outline application or a speculative development, which may specify some measures/targets and clarify a timetable and basis for completion of the travel plan once the occupiers are identified and involved.

**Local travel plan forum**: A network between developers, occupiers and other parties who work together on travel plan issues and/or coordinate actions that encourage sustainable modes of travel.

**Mobility:** Providing opportunities for movement for those with disabilities. Those who have impaired mobility require assistance to ensure that they can meet their basic needs. Mobility impairments are diverse and can range from minor and temporary to severe and permanent. Evidence suggests that, when these are considered in the design of transport systems – whether through the provision of dropped kerbs, low floor buses, or much more specialist vehicles – everyone benefits. These issues should therefore be taken into consideration throughout the design of new development and all modifications to the public realm, including the provision of new transport infrastructure.

**Monitoring assessment:** The analysis of the monitoring information as against the baseline of information and the targets to assess whether the implemented travel plan is effective in achieving targets.

**Monitoring of travel plans:** Monitoring of individual travel plans involves the collection and reporting of data/statistics/information to track implementation of the travel plan measures and achievement of targets (e.g. trip rates; percentage single occupancy vehicles; numbers /percentage using sustainable modes of transport etc.). Monitoring of a number of travel plans in an area is also important to inform travel plan policy; iTRACE is such a project-management system that produces consistent standardised information that enables the assessment of travel plan impacts in London.

**Monitoring review:** The review of the travel plan after implementation and using monitoring analysis to determine whether the travel plan needs to be revised to introduce additional measures, and whether sanctions/ payments/further mitigation is appropriate.

**Origin travel plan:** An example of this is a residential travel plan – which focuses on the single origin (home) where journeys are made to many and varied places for a variety of different purposes.

**Outcomes approach:** A basis for developing a travel plan that establishes specific outcomes or targets for what should be achieved through the travel plan over time. The applicant/developer commits to achieving specified targets/ outcomes and to a review and monitoring process or ultimately sanctions being applied if the targets are not met. This approach is distinct from that which focuses wholly on the establishment of a list of measures. Many travel plans combine the two approaches, depending on the type of travel plan.

**Soft measures**: The provision of services and information to encourage the use of sustainable transport. These include new public transport services, changes to working practices, provision of information and/or a travel plan co-ordinator to promote a travel plan for a particular use.

**Standard charging (in context of planning obligation/contribution):** A basis for determining the scale of contribution based on an assessment of the impact of new developments on public infrastructure and services. Generally this uses a simple formula related to the cost of impact mitigation and varies according to the type of development, its location and accessibility.

**Statement of compliance:** A statement confirming when all travel plan conditions and obligations have been fulfilled.

**Sustainable accessibility:** The promotion of accessibility by all modes of travel, in particular public transport, cycling and walking and the development of appropriate measures to influence travel behaviour.

**Targets**: Statistical measures of whether a travel plan has been successful in achieving a reduction in car use. For new developments particularly, targets are best expressed in terms of maximum end levels of car use – e.g. maximum allowable modal share of car use – and also translated into maximum allowable number of vehicle trips to be generated by the development per day, rather than in terms of a reduction in car use from a hypothetical baseline. The target maximum modal share of car use and maximum allowable number of vehicle trips per day should be lower than would be expected without a travel plan, i.e. the target should be consistent with efforts to reduce car dependency.

**Transport assessment (TA):** A TA is a comprehensive and systematic process that sets out transport issues relating to a proposed development. It identifies what measures (such as travel plans) will be taken to address the anticipated transport impacts of the scheme and to improve accessibility, and to encourage sustainable modes of travel.

**(Transport) demand management:** Minimising the need for vehicle-based transport through measures that reduce the need for travel and encourage sustainable modes of travel. This would include consideration of the location, scale and types/mix of uses of the development in order to minimise car use and promote multipurpose or linked trips.

**Travel plan statement:** It may be required in the case of relatively small applications where issues have been raised in the transport statement or assessment. It is likely to focus on the provision of measures on site to encourage sustainable travel, or a contribution towards a more strategic scheme. It could also include provision of travel information to occupiers and other incentives to encourage us of sustainable transport.

**Transport statement (TS):** It is the equivalent of a TA for a smaller development. It is therefore a simpler explanation of the transport impacts of a development where the impacts are expected to be relatively small. However, it is still considered appropriate to identify them in the context of a planning application, together with appropriate measures to encourage access to the site by sustainable modes.

**Travel plan:** It is a long-term management strategy for an organisation or site that seeks to deliver sustainable transport objectives through action and is articulated in a document that is regularly reviewed.

**Transport Management Association (TMA):** A TMA is a non-profit, member-controlled organisation that facilitates and/or provides sustainable transport support and services.

**Trip rate (trip generation):** Trips per unit per day. The *Guidance for Transport Assessment* states: **'**A Person Trip is a one-way journey by *one person* by any mode of transport, including walking, cycling, privately operated vehicles, or any public transport modes. A Vehicle Trip is a one-way journey by a *single privately operated vehicle* regardless of the number of persons in the vehicle. For example, two or more people travelling together in a car would be counted as one vehicle trip. *The criteria for determining the need for an assessment use two-way trips throughout* as a standard for assessing travel.'

**UK Standard Assessment Method (SAM) for travel plan approach:**
A national system for assessing trip rates and travel mode-shares achieved by organisations on a particular site. SAM is based on the TRICS multi-modal survey methodology. Data on travel patterns and travel plan initiatives are collated in a recognised independent and consistent manner, enabling performance comparisons to be made. More information is available at www.TRICS.org.
A different approach has been developed in London, based on the TRAVL trip generation database.

# Appendix B: Measures for different types of travel plan

## Workplace travel plans

| Strategy | Example of measures to be considered (as appropriate) |
|---|---|
| **Site design** | • Creation of pedestrian and cycle friendly site – with safe crossings, site speed limits, good lighting, attractive foot ways and cycle ways, pedestrian signing and good links to the wider walking and cycling network.<br>• Integration of conveniently located bus waiting and drop off points, giving easy access to main entrances with improved waiting environments<br>• Visible and conveniently located cycle storage, which is secure, well lit and close to main entrance.<br>• Walkers' and cyclists' changing facilities, including showers and lockers.<br>• Parking restraint or car-free site (with provision for disabled parking).<br>• Location of parking space to reduce its prominence – e.g. to the rear of buildings, priority for car sharers.<br>• Dedicated car club/ pool car parking.<br>• Landscaped areas designed to facilitate recreational use – e.g. sitting, strolling, eating lunch.<br>• Designated pick-up/drop-off point for taxis. |
| **Improvements to off-site infrastructure** | • Improvements to local walking network serving the site, including walking links to bus and rail – e.g. safer crossing points, pavement widening, better lighting.<br>• Improvements to wider cycle network, including cycle links between the site and key destinations such as stations.<br>• Improvements to bus and rail infrastructure on routes serving the site – e.g. introduction of bus priority. |

| Strategy | Example of measures to be considered (as appropriate) |
|---|---|
| **Reducing the need to travel** | • Choice of location to facilitate sustainable access.<br>• Local recruitment strategy and incentives for staff to relocate closer to work.<br>• Policy to enable regular home-working, where feasible.<br>• Satellite office working facility.<br>• Video-conferencing/audio-conferencing facilities and policy of encouraging their use.<br>• On-site services for employees – e.g. café, crèche, shop.<br>• Policy of using local suppliers. |
| **Initiatives to support walking** | • Promotional events and literature to encourage walking, emphasising health benefits.<br>• Distribution of maps showing safe local walking routes.<br>• On-site security patrols. |
| **Initiatives to support cycling** | • Promotional events and literature to encourage cycling, especially emphasising health benefits.<br>• Distribution of route maps showing safe local cycling routes.<br>• On-site cycle repair scheme.<br>• Free or cut price bikes and equipment for staff.<br>• 'Cycle miles' incentive scheme.<br>• Pool bikes and cycle mileage allowance for cycling in the course of work.<br>• Formation of a bicycle users group (BUG).<br>• Cycle training and bike buddy scheme for those not confident about cycling. |
| **Development of bus and rail** | • On-site promotion of public transport with information, advice and discounts available.<br>• New or improved services including shuttle buses to public transport hubs.<br>• Improvements to the waiting environment.<br>• Provision of real time information at bus stops/rail stations.<br>• Staff discounts and special offers for bus and rail day and season tickets.<br>• Guaranteed ride home by taxi for staff in emergency situations.<br>• 'Collection from station' service for visitors.<br>• Policy of using public transport for travel in the course of work where feasible (supplemented with taxi use where necessary). |
| **Support for car sharing/more economical car use** | • Car share matching service for travel to work and trips in the course of work.<br>• Car share promotion including launch event with opportunities for finding a match.<br>• Preferential parking for car sharers.<br>• Additional perks, such as free car washes, for regular car sharers.<br>• Guaranteed ride home if lift falls through due to unforeseen circumstances.<br>• Provision of (fuel efficient) pool vehicles or membership of car club to provide vehicles for journeys in the course of work (so reducing need for car commuting). |

| Strategy | Example of measures to be considered (as appropriate) |
|---|---|
| **Parking management** | • Limited parking allocation on site, coupled with on-street parking controls in vicinity of the site.<br>• Needs-based parking allocation scheme, with agreed criteria.<br>• Parking charges, with revenue ring-fenced to pay for sustainable travel measures.<br>• Parking cash-out to provide daily payment for not bringing car on to site. |
| **Freight and deliveries** | • Co-operation with other site users on common purchasing and recycling policies, to reduce delivery vehicle movements. |
| **Promotion and communications** | • Personal travel advice offered to employees.<br>• Daily cash incentive for all sustainable travellers.<br>• Inclusion of sustainable travel information and incentives in induction packages.<br>• Sustainable travel directions for all visitors.<br>• Publication of travel plan and travel information on organisation's web site.<br>• Posters, competitions, fliers, events and road shows to promote sustainable travel options.<br>• Promotion for specific initiatives. |

For more detail, see *The Essential Guide to Travel Planning*, Department for Transport, 2007.

# Residential travel plans

| Strategy | Example of measures to be considered (as appropriate) |
|---|---|
| **Site design** | • Permeability of site for pedestrians and cyclists.<br>• Highways safety measures/traffic calming/pedestrian and cycle friendly infrastructure.<br>• Site speed limits.<br>• Restrictions on car movements within the site.<br>• Parking restraint or car-free site (with provision for disabled parking).<br>• Location of parking to minimise intrusion and avoid dominance of the site.<br>• Areas for social exchange, recreation, seating, play and biodiversity.<br>• Cycle parking for residents and visitors.<br>• Cycle shower and changing facilities in site workplaces (if applicable).<br>• Requirements for bus routing considered in road design.<br>• Bus infrastructure – e.g. bus stops, shelters, bus gates and real time information (where services will be entering the site).<br>• Adoption of home zone principles or home zone features. |
| **Improvements to off-site infrastructure** | On routes serving the site:<br>• road safety improvements to highways infrastructure;<br>• creation and enhancement of cycling and walking links<br>• provision of off-site bus infrastructure/bus priority<br>• facilities to improve interchange (e.g. signing; cycle parking lockers). |
| **Reducing the need to travel** | • Choice of location to facilitate sustainable access.<br>• Provision of facilities that improve access to health, education, childcare, shopping, employment, leisure and community activities.<br>• Broadband access and provision of home-office space in homes.<br>• Home delivery drop-off point. |
| **Development of bus and rail** | • New or enhanced bus services – e.g. shuttle links to stations; existing buses re-routed or re-scheduled to meet needs of residential area.<br>• New or enhanced rail services. |
| **Other services to support sustainable travel** | • Car club service established on or close to site with allocated parking bays.<br>• Taxi service.<br>• Cycle centre.<br>• Residents' car share matching service. |
| **Parking management** | • Limited allocation of on-site parking.<br>• Separate charges for on-site parking.<br>• Control of off-site parking (e.g. yellow lines or CPZ). |

| Strategy | Example of measures to be considered (as appropriate) |
|---|---|
| **Promotion and communications** | • Travel plan training for sales/marketing staff.<br>• Induction sessions for new households and follow up visits, with personal travel advice.<br>• Travel welcome packs with package of incentives for sustainable travel.<br>• Free/discounted use of public transport.<br>• Free/discounted cycles and cycle equipment.<br>• Free/discounted use of car club.<br>• Cycling/walking maps.<br>• Customised public transport information.<br>• Information about access to other services and facilities.<br>• Cycle training.<br>• Community travel web site and notice-board.<br>• Community travel events and forum.<br>• Bicycle user group (BUG)/cycle buddy scheme. |
| **Development of complementary travel plans for on-site and off-site organisations** | • Schools.<br>• Workplaces.<br>• Leisure/retail facilities. |

Detailed advice on residential travel plans is available in *Making Residential Travel Plans Work: Guidelines for New Development*, Department for Transport, 2005.

# School travel plans

| Strategy | Example of measures to be considered (as appropriate) |
|---|---|
| **Site design** | • Pedestrian-friendly site, with entrances and connecting routes into school that are direct and convenient, generous in space and segregated from vehicles, so that pupils don't mingle with traffic or walk in close proximity to cars.<br>• Cycle entry points and connecting routes to cycle parking areas that are direct and convenient, segregated from pedestrians and traffic-free.<br>• Secure, well-lit, sheltered cycle parking, located in areas close to main entrances, and overlooked from school building.<br>• Parking provision for staff and visitors kept to an operational minimum and located where least intrusive – i.e. not in front of school building or dominating first impressions of the site. Cars prohibited from other parts of school grounds.<br>• Conveniently located facilities for hanging and storing outdoor wear, cycle equipment and foot scooters – e.g. lockers or cloakrooms, as appropriate.<br>• Visibility of pupils arriving/departing from school reception areas.<br>• Wet-weather waiting areas for parents.<br>• Shower and changing facilities for staff. |
| **Safe routes to school scheme** | On routes serving the school:<br>• traffic calming, speed restrictions;<br>• footpath improvements and widened pavements;<br>• safe crossing points;<br>• safe cycling infrastructure – e.g. traffic-free and traffic calmed cycle routes;<br>• safety measures to tackle perceived danger points as identified by school pupils, parents and teachers through consultation;<br>• specially designed bus drop-off points/waiting areas outside school, with good walking link into school. |
| **Reducing the need to travel** | • Choice of location to facilitate sustainable access.<br>• School admissions policies that encourage attendance of schools in local neighbourhood. |
| **Initiatives to support walking** | • Walking incentive schemes – e.g. 'Go for Gold'.<br>• Walk to School events – e.g. 'Walking Wednesdays'.<br>• Walking buses.<br>• Pedestrian training.<br>• School crossing patrols. |
| **Initiatives to support cycling** | • Cycle training.<br>• Cycle maintenance classes.<br>• Cycle trailer loan scheme for parents.<br>• Cycle safety code.<br>• Teacher supervision as pupils arrive and leave. |

| Strategy | Example of measures to be considered (as appropriate) |
|---|---|
| **Development of bus and rail** | • Ticket discounts and assistance with public transport travel costs.<br>• Promotion for bus and rail services in school.<br>• Child-friendly bus services – e.g. specially trained drivers; telephone contact between parents, school and bus company; routes structured around home addresses; adult escorts on buses.<br>• School-run mini buses.<br>• Improved bus routes .<br>• Bus links to key rail stations.<br>• Pro-active approach to behaviour problems – e.g. bus seating plans, bus operator visits to schools, teacher supervision of bus boarding. |
| **Managing car use** | • Parking restrictions outside school entrance.<br>• Restrictions on parent and sixth form parking in school grounds.<br>• Park and walk scheme.<br>• Car sharing scheme. |
| **Education and awareness raising** | • Pupil and parent consultation to identify safety issues on school route.<br>• Inclusion of school travel in school policy statements e.g. prospectus, home-school contracts, school development plan.<br>• Inclusion of school travel in induction sessions for new parents and children.<br>• Curriculum work on school travel backed by teaching resource.<br>• Local publicity for school's travel work.<br>• School travel work highlighted in newsletters, letters home, assemblies and leaflets.<br>• Events, competitions and regular focus weeks on sustainable travel themes. |

More advice on school travel plans can be found at www.teachernet.gov.uk/wholeschool/sd/managers/travel/STAtoolkit/stp/

# Visitor travel plans

| Strategy | Example of measures to be considered (as appropriate) |
|---|---|
| **Site design** | • Pedestrian friendly site with priority for access on foot, high quality walking environment and good connections to off-site walking networks.<br>• Provision for cycle access – e.g high quality on-site cycle paths and good connections to off-site cycling networks.<br>• Cycle storage, conveniently and visibly located at main entrances.<br>• Visible high quality bus stops and waiting areas, at prominent and convenient locations – e.g. in front of main entrance.<br>• Parking restraint or car-free site (with provision for disabled parking).<br>• Where there is traffic on the site, safety measures to reduce conflict with other users – e.g. traffic calming, site speed limits and restrictions on movements within the site.<br>• Location of any car parks in secondary locations where they do not blight the main approach to the site or detract from its visual aspect.<br>• Visitor orientation signs at appropriate site entry-points for those arriving on foot, bike or by public transport. |
| **Improvements to off-site infrastructure** | On routes serving the site:<br>• improvements to bus/rail infrastructure to enhance services – e.g. bus priority on key routes; upgrade of key bus/rail stations;<br>• improvements in the quality of walking and cycling links between the site and other key destinations – e.g. bus and rail stations; towns and villages; other visitor destinations; walking routes and the National Cycle Network. |
| **Reducing the need to travel** | • Choice of location to facilitate sustainable access.<br>• Promotion of visitor site to local residents – e.g. special admission rates and other discounts. |
| **On-site facilities and services** | • On-site shuttle service – e.g. buggy to take visitors on foot between main gate and buildings.<br>• Taxi service.<br>• Left luggage facility – e.g. for backpacks and cycle equipment.<br>• Wagons for carrying children and picnics; cycle hire outlet for use of bikes on leisure site or in wider area. |

| Strategy | Example of measures to be considered (as appropriate) |
|---|---|
| **Development of bus and rail** | • New bus services to link with other key destinations such as bus or rail station or nearby towns and villages.<br>• Adjustment to times, frequencies or stopping points of existing services to provide a better fit for visitors.<br>• Specially run services for special events.<br>• Upgrades in quality of existing services.<br>• Introduction of 'fun' elements to make services more appealing to visitors – e.g. open top buses, on-board commentary, appropriate branding of vehicles or at key rail stations and bus stops.<br>• Pre-booked transport for last leg of journey – e.g. site mini-bus, taxi-firm or community transport offering connection to rail station on demand responsive basis.<br>• New or enhanced rail services. |
| **Parking management** | • Cost of parking not subsumed in cost of admission, but charged separately.<br>• Parking revenue ring-fenced for sustainable travel measures.<br>• Control of off-site parking – e.g. yellow lines or CPZ. |
| **Promotion and communications** | • Information about sustainable access prominently featured (ahead of directions by car) in all promotional literature, posters, web-sites etc. publicising the site.<br>• Visitor-facing staff and volunteers trained to provide directions on sustainable travel.<br>• Widely advertised discounts on admission and special offers for visitors arriving by sustainable transport.<br>• Prominently displayed information about bus and train times, promotional offers (such as admission discounts) and local taxis, located on-site at points where it will be seen by all visitors, including car users.<br>• Promotional strategies to accompany the introduction of new and improved public transport services, publicising their existence in target areas.<br>• Inclusion of sustainable travel options with special admission offers in all promotion for special events/shows held at site.<br>• Literature that promotes the local area's visitor attractions and sustainable travel network as a whole – e.g. explorer maps and timetables; 'car-free visitor itineraries; 'bus walks'; 'rail trails' etc., produced and distributed in co-operation with other visitor sites and public transport operators.<br>• Strategy to build the group travel market for the site e.g. discounts for groups; regional group travel marketing pack; development of special events/tours for groups; free entry for tour leader; dedicated parking for coaches; good facilities for coach drivers – e.g. somewhere warm and comfortable to sit, eat, watch TV and a meal voucher for the site restaurant.<br>• Participation in the development and promotion of attractive travel/admission packages in partnership with public transport operators.<br>• Inclusion of site in the schedules of bus tour operators.<br>• Special events with a focus on cycling or recreational walking. |

For more detailed advice on visitor travel plans, see *Visitor Travel Plans – Checklists for Action*, a briefing from Transport 2000 Trust (now Campaign for Better Transport).

# Appendix C: Illustrative planning obligations and conditions

## Introduction

The planning obligations should set out in clear terms:

- the overall outcomes to be achieved by the travel plan;
- the indicators and targets;
- measures to be implemented (depending on the type of travel plan and stage reached);
- the process by which such indicators and related targets, and any other measures are to be determined, if not already set out in the travel plan;
- the process for the monitoring and review of such indicators and related targets, and other measures;
- any sanctions where the targets and/or indicators are not being met, and how and when they should be imposed;
- any procedure for the variation by means of amendment, substitution and/or addition, of such targets and/or indicators, or other measures;
- the person(s) or organisation that will prepare the travel plan (if not submitted), manage and thereafter be responsible for its management and maintenance, including the relationship with the local planning authority and/or the highway authority/ies and/or other key stakeholders.

The following paragraphs set out forms of planning obligations dealing with the above items. This appendix does not deal with the standard clauses as to interpretation, legal basis, procedure for obtaining written approvals from the local planning authority or other public authority, indemnity to mortgagee, dispute resolution, as these provisions can be found in the Law Society Model Section 106 Deed or in the local planning authority's own standard form of Section 106 Agreement.

**The illustrative drafting in this schedule will need to be adapted to suit the circumstances of any particular case. It is not exhaustive, and other model provisions can be adopted, e.g. in supplementary planning documents.**

## 1. Appointment of the Travel Plan Co-ordinator

**'Travel Plan Co-ordinator'** means the person appointed by the Developer and/or the Owner as provided in the Management Strategy who shall be responsible for securing the implementation of the Travel Plan and the day-to-day management of the steps identified in the travel plan to be taken to secure the Outcomes.

Prior to the Commencement of the Development *[Note: The Agreement should define what constitutes the commencement of the development, if Section 56(4) of the TCPA 1990 is to be qualified*]

or

Prior to the Occupation of the Development [*Note: The Agreement should define when the Development is to be treated as occupied. Whether Commencement of the Development or Occupation is to act as the 'start-date' will depend, among other issues, upon whether the travel plan provides for the construction phase of the Development or the Co-ordinator to be instrumental in establishing those relevant parts on the travel plan prior to occupation]*

the Owner/the Developer shall appoint the Travel Plan-Co-ordinator and notify the Council in writing of the name, address, telephone number and email address of the person appointed.

or

and the Development shall not be Commenced first Occupied or further Occupied unless and until the Travel Plan Co-ordinator has been appointed and the details notified to the Council as aforesaid.

## 2. Bus Service Contributions

2.1 The Developer shall within two months of Implementation of Phase 2, Phase 3 and Phase 4 procure the carrying out of a proper survey of the Site's Public Transport Accessibility Levels (e.g. based on the 'PTAL Survey' or further developed alternative) and shall serve [X] copies of the same upon the Head of Planning within four months on each such Implementation.

2.2 The following corresponding Bus Service Contributions shall be paid to the Council prior to Implementation on the Phase in question:

| Phase | Bus Service Contributions |
|---|---|
| 2 | £YYY,YYY |
| 3 | £ YYY,YYY |
| 4 | £ YYY,YYY[72] |

2.3 The Permission shall not be implemented on the Phase in question unless and until the corresponding Bus Service Contribution referred to in paragraph 2.2 has been paid to the Council.

66 A further refinement would be to vary the amounts of the Contributions up or down depending upon the outcome of the PTAL Survey.

2.4 The Council shall promptly apply the Bus Service Contributions to the provision of improved bus services serving the Site so as to endeavour to improve the PTALs for the Site.

**3. Parking survey and controlled parking zones**

3.1 The Developer shall:

(a) prior to Implementation of Phase 1; and

(b) within two months of Implementation on each of Phase 2, Phase 3 and Phase 4; and

(c) within 12 months after Occupation of 75% of the New Dwellings permitted to be constructed on Phase 4 pursuant to the Permission procure the carrying out of proper car parking surveys ('Parking Survey 1, 2, 3, 4 and 5' as the case may be) of the Site and highways in the vicinity of the Site to a specification to be agreed in writing in advance with the Council and shall serve [X] copies of the same upon the Head of Planning within four months of each such trigger date.

3.2 Having regard to each Parking Survey the Head of Planning may by written notice served on the Developer within six months of receipt of Parking Survey 2, 3, 4 or 5 require the Developer to pay a CPZ Consultation Payment within 28 days of the said notice Provided That for the avoidance of doubt not more than four such payments may be required Provided That the CPZ Consultation Payment shall not be payable if on-street parking stress has not increased to at least [90%] on any road within any part of the Parking Survey Area, or has not increased at all on roads where Parking Survey 1 showed it was already at or above [90%].

3.3 The Developer shall pay the CPZ Consultation Payment within 28 days of the notice referred to in paragraph 3.2.

3.4 Having regard to CPZ consultation the Head of Planning may by written notice served on the Developer within six months of receipt of each CPZ Consultation Payment require the Developer to pay a CPZ Implementation Payment within 28 days of the said notice Provided That for the avoidance of doubt not more than four such payments may be required.

3.5 The Developer shall pay the CPZ Implementation Payment within 28 days of the notice referred to in paragraph 3.4.

3.6 The Council shall not expend the CPZ Consultation Payments otherwise than upon public consultation exercises and/or the CPZ Implementation Payments otherwise than the implementation of controlled parking zones on or in the vicinity of the Site.

**4. Car Club**

4.1 The Developer shall prior to Implementation submit a draft scheme for the operation of a car club including:

(a) the number of Car Parking Spaces in the Development reserved pursuant to paragraph 4 to be made available by the Developer to residents of the Development; and

(b) the timing of the start of the operation of the car club on the Site; to the Head of Planning for his approval, such scheme in its approved form being referred to herein as the 'Car Club Scheme'.

4.2 The Development shall not be occupied unless and until the Car Club Scheme has been approved in writing by the Head of Planning.

4.3 The Developer shall procure the establishment and promotion of a car club (the 'Car Club') on the Site in accordance with the Car Club Scheme and shall provide the name and address of the operator of the Car Club to the Head of Planning prior to Occupation and the Development shall not be first Occupied unless and until a Car Club has been established as aforesaid.

4.4 The Developer shall secure that [*number*] Car Parking Spaces are reserved for the use of the car club on the Site and shall provide and retain those spaces as part and for the lifetime of the Development;

4.5 The Developer shall pay to the Car Club the sum of £[YY] ([*number]* pounds) being the membership fee and a contribution towards future usage of the Car Club by the resident referred to in any written notice served on the Developer by the Car Club operator confirming that such resident has joined the Car Club Scheme within 28 days of such notice Provided That the Developer shall not be required to pay more than £[YY] times [D] *(the number of dwellings in the Development)* in aggregate.

4.6 In the event of the Developer failing to pay the sums specified in paragraph 4.5 to the Car Club the Developer shall pay the same to the Council and the Council shall not expend or apply the same otherwise than towards the Car Club.

## 5. Personal Travel Planning

5.1 The Developer shall before Occupation of any [Dwelling/Unit] procure that each intending occupying [household/occupier] is offered a personalised travel plan which is individual to that [household/occupier] and comprises at least a statement of that [household's/occupier's]:

- travel needs
- future sustainable travel options

5.3 The Developer shall procure that if the offer of a personalised travel plan is accepted by a [household/occupier] such a personalised travel plan is produced at the Developer's expense before or within [3] months of first Occupation of the [Dwelling/Unit] in question.

5.3 Each [Dwelling/Unit] shall not be first Occupied unless the intending occupying [household/occupier] has been offered a personalised travel plan pursuant to paragraph 5.1

5.4 Within [3] months of first occupation of [85%] of the [Dwellings/Units] the Developer shall report in writing to the Council on:

- the number of offers made pursuant to paragraph 5.1
- the number of offers accepted

- the number of personalised travel plans produced pursuant to paragraph 5.2

## 6. Parking Permit Capping

6.1 The Developer hereby covenants with the Council that it shall not permit any person to Occupy a Dwelling unless and until such person has been given advance notice in writing of the provisions of paragraph 2 hereof.

6.2 The Developer hereby covenants with the Council that it shall ensure that all Occupiers of Dwellings are notified in writing that (unless they are the holder of a disabled persons badge issued pursuant to Section 21 of the Chronically Sick and Disabled Persons Act 1970) they are ineligible to be granted a permit to park a vehicle in a residents' parking bay located in the vicinity of the Site.

6.3 The Developer hereby covenants with the Council that it shall ensure that material published and any agreements entered into by the Developer or their agents for the purpose of selling or letting properties in the Development notify potential purchasers or tenants of the restrictions set out in paragraph 2 above.

6.4 The Developer for itself and its successors in title to the Dwellings hereby waives all rights and entitlement (if any) on the part of the Developer and its successors in title to a residents' parking permit in respect of the Dwellings (unless the resident concerned becomes entitled to a Disabled Person's Badge).

## 7. Parking Management Plan

7.1 The Developer covenants with the Council to submit for approval a parking management plan, such plan to set out arrangements for the way in which the Car Parking Spaces on the Site shall be managed during the Occupation of the Development [(including the making a charge for use of a Car Parking Space in excess of [T] hours such charge to be not less than the fixed penalty charge for parking without a permit in [N] Street) Provided That such parking management plan may be varied by written agreement of the Developer and the Council by reference to the results of the Surveys.

7.2 The Developer covenants with the Council to use the Development in accordance with the parking management plan, approved pursuant to paragraph 1 above, from first Occupation of any part of the Development and to ensure that implementation of the approved parking management plan continues during the use of the Development in accordance with the Permission (including any revisions to such plan as may be agreed between the Developer and the Council from time to time).

7.3 The Developer covenants with the Council to ensure that all of the Car Parking Spaces provided as part of the Development on the Site are used and made available for use only by Occupiers of [the Dwellings] and by no other persons including for the avoidance of doubt by the users, occupiers of or visitors to [Y] which is also to be constructed as part of the Development.

## 8. Modal Shift and Monitoring

8.1 Definitions

**'Auditor'** means a suitably qualified and independent person nominated by the Owner and approved in writing by the Council for the purpose of verifying the results of Monitoring

**'Car'** means a four wheeled motor vehicle other than one powered by electricity

**'Car Ratio'** means the number of Cars used [or deemed to be used] to transport Employees/Residents/Users between the Development and (destination) expressed as a percentage of the number of Employees/ Residents/Users making such a journey

**'Employee/Residents/Users'** means a person making the journey between the Development and [destination]

**'Excess'** means the number of cars represented by the difference between the Car Ratio and the Target on the day when Monitoring discloses that the Car Ratio is greater than the Target

**'Excess Period'** means the period between a day on which Monitoring discloses that the Car Ratio is greater than the Target and either the next day on which Monitoring takes place or is deemed to take place or (if no further Monitoring takes place or is deemed to take place) the end of the Monitoring Period

**'Inflation Factor'** means the RPIS Index published for the month preceding the date of payment divided by the RPIS Index published for the month [*month of this agreement*] where the RPIS Index means the Monthly Digest of Statistics published by her Majesty's Stationery office in the following proportions:

- transport equipment material and fuel – 35%
- transport and communications industry average earning index – 45%
- general index, retail price fuel and light – 20%

**'Monitoring Period'** means the period of [5] years beginning on the Occupation Date

**'Modal Shift'** means an increase in the proportion of persons travelling to and from the Site using more sustainable modes of transport (where walking, cycling or the use of public transport are more sustainable than using a Car)

**'Monitoring'** means a survey of Employees/Residents/Users using a questionnaire in a form supplied or approved by the Council with the object of ascertaining the modes of transport used by Employees/Residents/Users when travelling between home and the Development on a particular day (or any alternative method of achieving that object approved in writing by the Council from time to time)

**'Occupation Date'** means the date on which the Development is first occupied

**'Remedial Payment'** means a payment intended to be used by the Council for the purpose of achieving Modal Shift and calculated in respect of each Excess Period as the product of:

- the number of days in that Period multiplied by
- the Excess found at the start of that Period multiplied by
- £[X.XX] multiplied by
- the Inflation Factor

**'Remedial Measures'** means [*measures intended to achieve Modal Shift*].

8.2 The Owner acting by the Travel Co-ordinator shall carry out Monitoring within one month of the Occupation Date and within the same calendar month in the next [four] years.

8.3 The Owner acting by the Travel Co-ordinator may carry out Monitoring on any other date.

8.4 Within fourteen days of carrying out Monitoring the Travel Co-ordinator shall calculate the Car Ratio disclosed by that Monitoring and the Excess (if any) and supply to the Council a written statement certified by a director or the most senior executive manager of the Owner setting out the Car Ratio and any Excess and the basis on which they are calculated.

8.5 The Travel Co-ordinator shall if requested by the Council supply to it a statistical summary of the modes of transport used by Employees/Residents/Users disclosed by any Monitoring or copies of any questionnaires completed by Employees/Residents/Users.

8.6 The Owner shall if so required by the Council secure that the results of each Monitoring are verified by an Auditor within two calendar months of the Monitoring taking place by methods that accord with the reasonable requirements of the Council.

8.7 If Monitoring does not take place at the time required by this agreement it shall be deemed to have taken place on the last day of the month in which it should have been carried out and to have disclosed a Car Ratio of 100%.

8.8 If Monitoring is not verified within the time required by this agreement it shall be deemed to have disclosed a Car Ratio of 100%.

8.9 If an Employee/Resident/User fails to return a completed questionnaire given to him for the purpose of Monitoring he shall be deemed for the purpose of calculating the Car Ratio to have travelled by Car.

8.10 If the measures taken to verify the results of Monitoring indicate the existence of an Excess which is materially different from the information in the statement certified on behalf of the Owner the Owner acting by the Auditor shall (after carrying out such further surveys or investigations as the Auditor deems necessary) supply a recalculated Excess to the Council and any liability for a Remedial Payment shall be determined on the basis of the recalculated Excess.

8.11 The Owner shall pay to the Council a Remedial Payment in respect of any Excess Period within 28 days of the end of that Period.

8.12 If a Remedial Payment has been paid in respect of an Excess Period on the basis of an Excess certified by the Owner and that Excess is subsequently recalculated by an Auditor the Owner shall make an additional payment or the County shall make a repayment so as to correct any underpayment or overpayment.

8.13 For the avoidance of doubt:

8.13.1 the Owner is responsible for the costs of Monitoring and auditing and any remuneration and expenses payable to the Travel Co-ordinator and the Auditor.

8.13.2 the obligations in the preceding clauses of this section shall cease to have effect at the end of the Monitoring Period save in respect of any antecedent breach of any subsequent liability for a Remedial Payment in respect of an Excess Period during the Monitoring Period.

8.13.3 The Remedial Payments shall not be expended otherwise than upon the Remedial Measures.

## 9. Vehicle Trip Monitoring

9.1 The Development shall not be used or occupied until:

(a) full details of [an automated system to monitor vehicle trips to and from the Site] have been submitted to and approved in writing by the [Local Planning Authority] [Secretary of State for Transport]; and

(b) The system referred to in (a) has been implemented and is operating to the satisfaction of the [Local Planning Authority] [Secretary of State for Transport].

The details to be submitted pursuant to (a) above shall include:

- How the system will be maintained;
- Length of the monitoring period which will be not less than [5] years from the date on which [the whole of the Development] shall be first occupied;
- Details of the monitoring equipment;
- How the data will be collected;
- How the results will be reported [to the Local Planning Authority] [to the Secretary of State for Transport] [to the occupiers of the Development];

9.2 In the event that the vehicle trips to and from the Site as recorded by the said automated system exceed [ZZZ] in any calendar year the Owner shall within 28 days of receipt of notice of the number of vehicle trips exceeding [ZZZ] pay to the [Local Planning Authority] [Secretary of State for Transport] the [Trip Mitigation Sum] *i.e. a sum calculated by reference to the number of trips in excess of [ZZZ].*

9.3 The [Trip Mitigation Sum] shall be expended only upon the [Trip Mitigation Measures].

# Appendix D: Bibliography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# Appendix E: Further information – some sources and contacts

**The inclusion in this appendix of links to non-governmental bodies or organisations should not be considered an endorsement of those sites or the views or information contained on those sites.**

## Planning policy context

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Constructive talk, investing in pre-application discussions, a collaborative production by Planning Advisory Service, Home Builders Federation, CABE, Land Securities Ltd, National Planning Forum, Planning Officers Society, Communities and Local Government, British Property Federation, Addison & Associates

## Useful websites

**Campaign for Better Transport**, 12-18 Hoxton Street, London N1 6NG; www.bettertransport.org.uk

**Sustrans** (Head Office), 2 Cathedral Square, College Green, Bristol BS1 5DD; www.sustrans.org.uk

**Campaign for the Protection of Rural England** (CPRE), 128 Southwark Street, London SE1 0SW; www.cpre.org.uk

**Living Streets**, 31-33 Bondway, Vauxhall, London SW8 1SJ; www.livingstreets.org.uk

**Energy Saving Trust**, 21 Dartmouth Street, London SW1H 9BP; www.energysavingtrust.org.uk

**World Carfree Network**, www.worldcarfree.net, is a useful resource for planners, developers, architects and decision-makers on all aspects of car-free housing, containing information from around the world.

**Association for Commuter Transport**, www.act-uk.com

The **Department for Transport**, www.dft.gov.uk provides access to a wide range of information and resources. To search for and purchase copies of any current legislation: www.uk-legislation.hmso.gov.uk

**London European Partnership for Transport (LEPT)** working on new standard for travel plans as part of workplace travel plan project COMMERCE www.commerce-eu.org