



OFFICE OF THE
DEPUTY PRIME MINISTER

Department for
Transport

Using the planning process to secure travel plans

Best practice guidance
for local authorities,
developers and occupiers



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July 2002

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Following the reorganisation of the government in May 2002, the responsibilities of the former Department for Transport, Local Government and the Regions (DTLR) relating to travel plans were transferred to the Department for Transport and for planning to the Office of the Deputy Prime Minister.

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FOREWORD

Travel plans can have a significant impact in reducing traffic congestion, improving the environment and at the same time saving employers money. They can play a crucial part in a local authority's strategy for improving their local area.

However, many local authorities have been unclear on how to meet planning requirements in relation to travel plans. And many developers have felt equally unsure about the nature of the obligations and conditions likely to be imposed on them when seeking planning permission.

This guide seeks to address this by providing detailed advice on how to make travel plan requirements appropriate and effective, and how to secure them through the planning process.

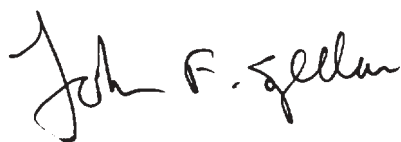
The guide stresses the importance of a clear public policy statement which integrates both transport and planning objectives and makes explicit *what* the travel plan requirements will be for planning applications in a local area and *why* they are needed. It also takes you through the various travel plan options that are available, the circumstances to which each is best suited, and how to put them into effect.

The advice is based on:

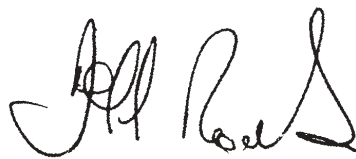
- a review of previous research and current legislation;
- a survey of local authorities; and
- in-depth research in ten case study areas, involving interviews with local authority members and officers, applicants for planning permission and occupiers of subsequent developments.

There is also a companion guide – *'Making travel plans work: lessons from UK case studies'* – which illustrates key success factors and features of good practice for setting up an effective travel plan.

This guide *'Using the planning process to secure travel plans: guidance for local authorities, developers and occupiers'* contains a wealth of information, based on practical experience, which we believe will prove very helpful in implementing travel plans.



John Spellar MP
Minister for Transport



Jeff Rooker
Minister for Planning

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EXECUTIVE SUMMARY

A travel plan is a strategy for managing multi-modal access to a site or development, focusing on promoting access by sustainable modes. As such they are an increasingly important part of the planning process. Effective travel plans can bring benefits both to existing communities and to new or expanding developments. They can assist in reducing traffic congestion, widening accessibility, and reducing air pollution.

Planning Policy Guidance Note 13 (PPG13) on Transport sets out the policy on travel plans, stating when they should accompany a planning application (in terms of both floorspace thresholds or where there are significant transport implications). This guidance offers best practice on effective and efficient ways for both local authorities and developers to meet that requirement.

Securing travel plans through the planning process is at an embryonic stage. But the planning process can help achieve effective travel plans in new and expanding developments to complement the growing number and success of 'voluntary' travel plans for established sites.

The effectiveness of travel plans in achieving pre-determined outcomes generally relies on the way all the different measures, both behavioural and physical, work together as an integrated package. It is therefore important for outcomes to be specified and a single document to be produced which establishes in a transparent and agreed way the inter-relationship of all factors. The integrated package should include consideration of both 'sticks' and 'carrots' e.g. provision of public transport and control and management of car parking.

Local authority planning and transport policy documents need to identify explicitly the role of travel plans at both regional and local level. These policy documents together should clarify why, when and what is required in terms of travel plans. The policies need to be complementary. Travel plans should normally be an output from the transport assessment process. They should consider *all* aspects of multi-modal access for *all* purposes to the site.

The key to achieving travel plans within the planning system is the development of a clear, integrated and public policy framework together with an explicit relationship between the travel plan and the development site.

The relevance and importance of travel plans will vary with the nature and scale of the application. They can be relevant for all land uses, for both speculative and known end-user applications, and for smaller developments, depending on the cumulative effect.

Frequently the outcomes of a travel plan cannot be anticipated so monitoring over time and a periodic review is important. Consideration also needs to be given to changes over time e.g. the trip characteristics of different future occupiers.

The concept of the 'ideal travel plan' as developed for major single-occupier organisations therefore does not easily translate into the planning context, particularly where multi-occupation, speculative development and commercial factors are major issues.

The considerations which arise when viewed from the planning perspective are:

- Travel plans need to be dynamic and flexible over time, even though the planning system secures them largely at one point in time;
- Preparation of travel plans as currently perceived requires information about an occupier's employee travel patterns, which in speculative or phased developments may not be known at the time the planning application is determined – so a phased approach is needed;
- Some measures of travel plans depend on 'critical mass' to be realistically achieved, so means need to be devised to secure travel plans in all potentially related developments; and
- The availability of resources or skills, that may not be present in local authority development control teams, to pursue effective plans and the potential conflict with the requirement for speed of determination of applications.

In addition, the following legal considerations need to be addressed:

- Ensuring the adjustability of the travel plan over time where relevant e.g. as circumstances and occupiers change;
- Taking account of the fact that travel plans may involve the help of third parties in achieving some measures or targets;
- Securing enforceability of the effective implementation of the travel plan.

There are different ways of legally securing travel plans through the planning process, however, that can be effective either as a whole or in parts. Much will depend on the form and content of the travel plan that is appropriate to the development.

In some circumstance a 'minimalist' approach will be appropriate. In other circumstances specific travel plan outputs are required related to implementation of agreed measures and/or to the achievement of agreed outcomes (e.g. reduction of single occupancy trips).

The achievement of specified outcomes is likely to be the most effective approach, though determination of targets and associated monitoring arrangements may be more difficult especially for speculative development or where the applicant and occupier are different.

The potential effectiveness of travel plans that focus on specific measures is likely to increase as knowledge improves regarding the impact of specific measures or combinations of measures in particular circumstances. Restrictions on car parking are often effective although not always appropriate.

Planning agreements are likely to be the most suitable means of securing travel plans, though conditions may be appropriate in the more straightforward cases. It may be necessary for some measures within travel plans to be secured separately through either a planning condition or a planning obligation.

Local authorities can take a number of steps to maximise the enforceability of requirements relating to travel plans. These include:

- Setting out explicit policy and guidance on travel plan requirements;
- Encouraging comprehensive travel plans that show how effectiveness is likely to be achieved in terms of outcomes for the site;
- Ensuring technical rigour in defining travel plan requirements and evaluating them;
- Developing the travel plan package to maximise self-enforcement;
- Ensuring use of sanctions against non-achievement of targets where appropriate.

An effective process for both the local authority and developer necessitates publicly available information on requirements and clear formal internal procedures. Close multi-disciplinary working is essential as is good baseline information. Wherever possible support should be actively provided to applicants.

The overall process will also be helped by consistency and co-ordination not only on the part of the local planning authority, but also with the relevant other tiers of authorities and by the direct involvement of public transport operators. It is particularly important to ensure that parking policies on-site and in the surrounding area are complementary.

In addition, there needs to be a constructive attitude on the part of applicants, recognising the benefits of travel plans to them and ensuring the requirement has been taken fully into account from the initial conceptual stages. They are part of resolving access issues to a site comparable to highway improvements which they may help to avoid.

The scope for using the planning process to effectively **secure** a travel plan depends on the clarity, strength and interaction of key stages:

- Policy formulation;
- Quality and comprehensiveness of transport assessments;
- Setting of targets and outcomes;
- Ensuring effectiveness of travel plan measures and timing;
- Drafting of enforceable conditions or planning obligations.

CHAPTER 1

Introduction

- 1.1 The potential for travel plans to make a real contribution to the achievement of sustainable transport objectives is considerable. Modal shifts of 30% or more are a possibility; 10% to 20% is now clearly evident in the UK. Many successful travel plans have been secured through the development planning process and there is clear evidence that the planning process can contribute to the effectiveness of travel plans. But the scope for achieving more impact is substantial, as relatively few authorities have vigorously pursued their provision.
- 1.2 Travel plans provide a key tool for achieving road traffic reductions, in compliance with the Road Traffic Reduction Act 1997, and for responding to congestion, that needs to be fully exploited. They are highlighted in the Department for Transport *Guidance on Full Local Transport Plans*¹ in this context (see Appendix B, page 72 for references). *Planning Policy Guidance Note 13 (PPG13) on Transport*² explicitly sets out the policy on travel plans, stating when they should accompany a planning application (in terms of both floorspace thresholds or where there are significant transport implications) and clarifies that either a planning condition or section 106 agreement can be appropriate. They are therefore an essential part of managing access to a site in many circumstances.
- 1.3 Many authorities now recognise the importance of securing travel plans through the planning system, but approaches and mechanisms vary and the system is not currently used to its full potential. This guidance seeks to clarify the scope for using the planning process to secure travel plans, amplifying the requirements of PPG13. It highlights the importance of linking all elements of the planning process to support the use of development control to secure effective and enforceable travel plans.
- 1.4 Key audiences for this guidance include senior managers in planning and transport departments, travel plan co-ordinators, local authority officers working in the promotion of sustainable transport, development control planners, developers and occupiers, their agents and professional teams, and the professional bodies involved in the planning process.
- 1.5 While the bulk of the guidance considers how local planning authorities might best utilise available ‘planning tools’ to secure travel plans, it also highlights ‘good practice’ that is relevant for the development industry. The information, suggestions and examples of ‘best practice’ address most of the concerns raised by both the public and private sectors in research studies.
- 1.6 The guidance has emerged from recent research undertaken for DTLR (now the Office of the Deputy Prime Minister and the Department for Transport) based on previous work³ in 2000 when 156 authorities (out of the total of 388 surveyed) confirmed that they required travel plans through the planning process. These authorities were surveyed again in late 2001⁴, together with a detailed examination of ten case study local authorities representing a range of types, sizes and regional/local characteristics.

- 1.7 These case studies have been useful in understanding current practice in this field as well as highlighting good practice in particular aspects. A summary of the key findings is included in Appendix A. The guidance has been augmented by findings from a concurrent study by Transport 2000⁵ and information from other research, other local authorities, developers and third parties.
- 1.8 The objectives for this guidance reflect several of the key themes that emerged from the research:
- To clarify the scope of the planning system in securing travel plans;
 - To improve consistency in approach within and between local authorities; and
 - To create confidence in the public and private sector in the use of the available planning mechanisms.
- 1.9 The evidence demonstrates that travel plans can be applied to both speculative and non-speculative applications, for extensions to existing development, and for all land uses where relevant, though current practice is less well developed in relation to residential development. The key is to demonstrate the relevance both to the overall area and also to the specific site.
- 1.10 The next chapter reviews the current state-of-the-art in this field and the scope for using the planning system within national policy. Chapters 3 and 4 consider how to balance the need for consistency while also providing for the essential flexibility in approach needed in securing travel plans. Chapters 5 to 7 outline guidance on detailed aspects of the planning process from a local authority viewpoint, with examples taken from case studies. Chapter 8 draws out themes of particular interest to applicants, while chapters 9 and 10 set out ways to achieve more effective travel plans and effective legal approaches for securing travel plans. Chapter 11 outlines issues to take into account in monitoring and enforcement, with the final chapter 12 suggesting organisational steps that can achieve greater effectiveness in promoting and securing travel plans.

CHAPTER 2

Context

Sustainable transport objectives

- 2.1 The concept of a travel plan has largely developed on a voluntary basis, with schools, hospitals, local authorities and government offices leading the way. There is now a considerable body of guidance and supporting research (see Appendix B for key references). Apart from government promotion, travel plans have often been initiated to address local issues – congestion, safety and pressure on limited car parking provision. They have been developed in partnership with the users and occupants, and are strongly driven by internal management.
- 2.2 Travel plans secured within the regulatory planning system build on this successful voluntary approach. But in order to succeed they must acknowledge the special relationship between applicant and local planning authority and must also accord with current government circulars and legal advice. This is particularly relevant in devising effective conditions and section 106 provisions to secure travel plans in support of the government policy to deliver sustainable transport objectives as set out in PPG13²:
- Reductions in car usage (particularly single occupancy journeys) and increased use of public transport, walking and cycling;
 - Reduced traffic speeds and improved road safety and personal security particularly for pedestrians and cyclists; and
 - More environmentally friendly delivery and freight movements, including home delivery services.

Travel plan requirements

- 2.3 PPG13 sets out a basis for requiring and securing travel plans but acknowledges that there is no standard format or content. A travel plan considers how all modes of access to the site can be influenced using a combination of measures – both physical and behavioural. Current local authority travel plan ‘ideal content’ requirements are sometimes set out in public planning documents (see Appendix C for detailed headings). In summary they are:
- Setting objectives and targets;
 - Measures to promote and facilitate public transport use, including physical works, shuttle buses to stations and financial incentives;
 - Measures to promote and facilitate walking and cycling;
 - Car parking restraint, charges and management;

- Promotion of car sharing;
- Promotion of practices and on-site facilities that reduce the need for travel;
- Monitoring and review mechanisms;
- Travel plan co-ordinators;
- Travel information and marketing.

- 2.4 This list reflects the influence of current voluntary travel plans as well as the influence of TravelWise and similar initiatives, along with the experience of several ‘groundbreaking’ travel plans secured via the planning system for large existing businesses (often when relocating headquarters). The list represents the state-of-the-art in respect of the travel plan itself and the incorporation of ‘carrots’ and ‘sticks’ to achieve a shift away from single occupancy car commuting. Travel plan measures aimed at other journeys (e.g. visitors or business travel) are less developed.
- 2.5 Within the development industry the understanding of what a travel plan might comprise is also well advanced, but again concentrating on measures related to employee commuting. Few address vehicle use by visitors, freight delivery or business travel, although there are examples in the health and retail sectors where visitor and inter-site trips are considered. There is also an increasing recognition of the scope for travel plans in relation to leisure and tourist attractions.

What makes an effective travel plan?

- 2.6 Travel plan measures need to complement each other to be effective in achieving more sustainable modes of travel and reduce environmental impact. There is an increasing understanding of what elements, or combinations of elements, are likely to be the most effective in reducing car trips. Research⁵ indicates that the highest degree of modal shift results from the inclusion of disincentives to car use, such as limited or no car parking and/or car parking charges, together with other incentives such as car sharing, cycling facilities, additional public transport links / works buses and large discounts on public transport. It is likely that travel plans will increasingly focus on these measures where they are considered cost-effective and feasible. But it should be noted that financial incentives directly paid to individuals may not be secured through the planning process.

Scope for planning system to deliver travel plans

- 2.7 The concept of the ‘ideal travel plan’ as developed for major single-occupier organisations does not easily translate into the planning context, particularly where multi-occupation, speculative development and commercial factors are major issues.
- 2.8 The considerations which arise when viewed from the planning perspective are:
- Travel plans need to be dynamic and flexible over time, even though the planning system secures them largely at one point in time;

- Preparation of travel plans as currently perceived requires information about an occupier's employee travel patterns, which in speculative or phased developments may not be known at the time the planning application is determined – so a phased approach is needed;
- Some measures of travel plans depend on 'critical mass' to be realistically achieved, so means need to be devised to secure travel plans in all potentially related developments; and
- The need for resources or skills that may not be available to pursue effective plans in local authority development control teams and the potential conflict with the requirement for speed.

2.9 In addition, the following legal considerations need to be addressed:

- Ensuring the adjustability of the travel plan over time where relevant e.g. as circumstances and occupiers change;
- Taking account of the fact that travel plans may involve the help of third parties in achieving some measures or targets;
- Securing enforceability of the effective implementation of the travel plan.

2.10 These concerns are addressed in two ways:

- Reviewing the content and emphasis of the travel plan itself; and
- The use of more sophisticated legal mechanisms and support processes.

2.11 Both of these are explored in this guidance. Though there is evidence that many local authorities utilise section 106 obligations to secure travel plans, some tend to circumvent the issues by couching some measures within the travel plan in terms of vague requirements and separating public transport and related financial contributions from the travel plan.

2.12 Travel plans secured through the planning system need to emphasise the means of achieving effectiveness within the travel plan holistically i.e. limitations on car parking (and controls on off-site parking), identification of clear and measurable outcomes and/or the use of modal split or modal shift targets.

2.13 Success depends on the extent to which the measures are grounded in consistent policy and the strength of evidence that the secured measure/s will achieve the intended planning outcome. The latter requires good baseline information.

CHAPTER 3

What is important – *towards consistency*

Achieving consistency

- 3.1 The scope for using the development planning process to secure travel plans is maximised by ensuring a consistent and systematic approach that reflects national, regional and local policy, and the priorities of the local authority and development sector. It will be limited or expanded by the level of understanding of travel plans and their relationship to other transport and planning objectives. Determining ‘what’s important’ at a strategic level helps ensure a consistent and effective approach within the local authority’s planning process.
- 3.2 A consistent approach relates both to consistency in the process and procedures for considering planning applications and the determination of an appropriate travel plan. However, the precise content of the travel plan and the detailed method of securing it may vary between planning applications (see chapter 4).

Local authority context and culture

- 3.3 As with other planning issues, the way a local authority addresses national and regional travel plan policy and develops local policies and strategies will reflect the type and culture of organisation, its geographic location, and local transport and economic characteristics. The research that informed this guidance particularly sought to consider travel plan issues across a wide spectrum of types of local authorities in different parts of the country and representing different development and transport patterns. The experiences of a range of applicants / developers has also been taken into account, particularly in chapter 8.
- 3.4 The importance of the sustainability agenda will have a bearing – areas of high air pollution and congestion may place a higher priority on ensuring that travel plans achieve substantial car trip reduction. Also relevant is the planning authority’s view on meeting targets for determining planning applications and on how to minimise delays and use of resources. The economic climate will affect the general attitude towards developers and the associated negotiation style adopted regarding large applications. The authority’s commitment to promoting voluntary travel plans may also affect its expectations of private sector applicants.
- 3.5 These factors need to be taken into account and may justify variations in the type of travel plan required – for example the scale and organisation of public transport within the area. These are discussed in greater detail in the next section, but do not need to undermine consistency as between local authorities in the way particular types of travel plans are secured.

- 3.6 The overall culture of an authority may encourage or sustain ineffective processes or procedures that inhibit the achievement of effective travel plans. An explicit review of process and procedures is useful to challenge assumptions and assess priorities with a view to greater consistency within the local authority and with other local authorities – chapter 12 considers this in greater detail.

Importance of the travel plan

- 3.7 The importance of a particular travel plan in relation to a specific planning application is the critical issue – with implications for all aspects of the planning process. A travel plan is one of a number of tools that will help achieve strategic environmental, social and economic objectives, and when required through the planning system it has four main functions:

- Contribute to traffic reduction and other sustainable transport objectives set out in national, regional and local policies;
- Improve accessibility to the development site by sustainable modes of transport and address traffic and parking issues;
- Widen choice of travel mode for all those travelling to/from the site; and
- Represent good practice and an educational tool to encourage people to reduce inappropriate and unnecessary vehicle use.

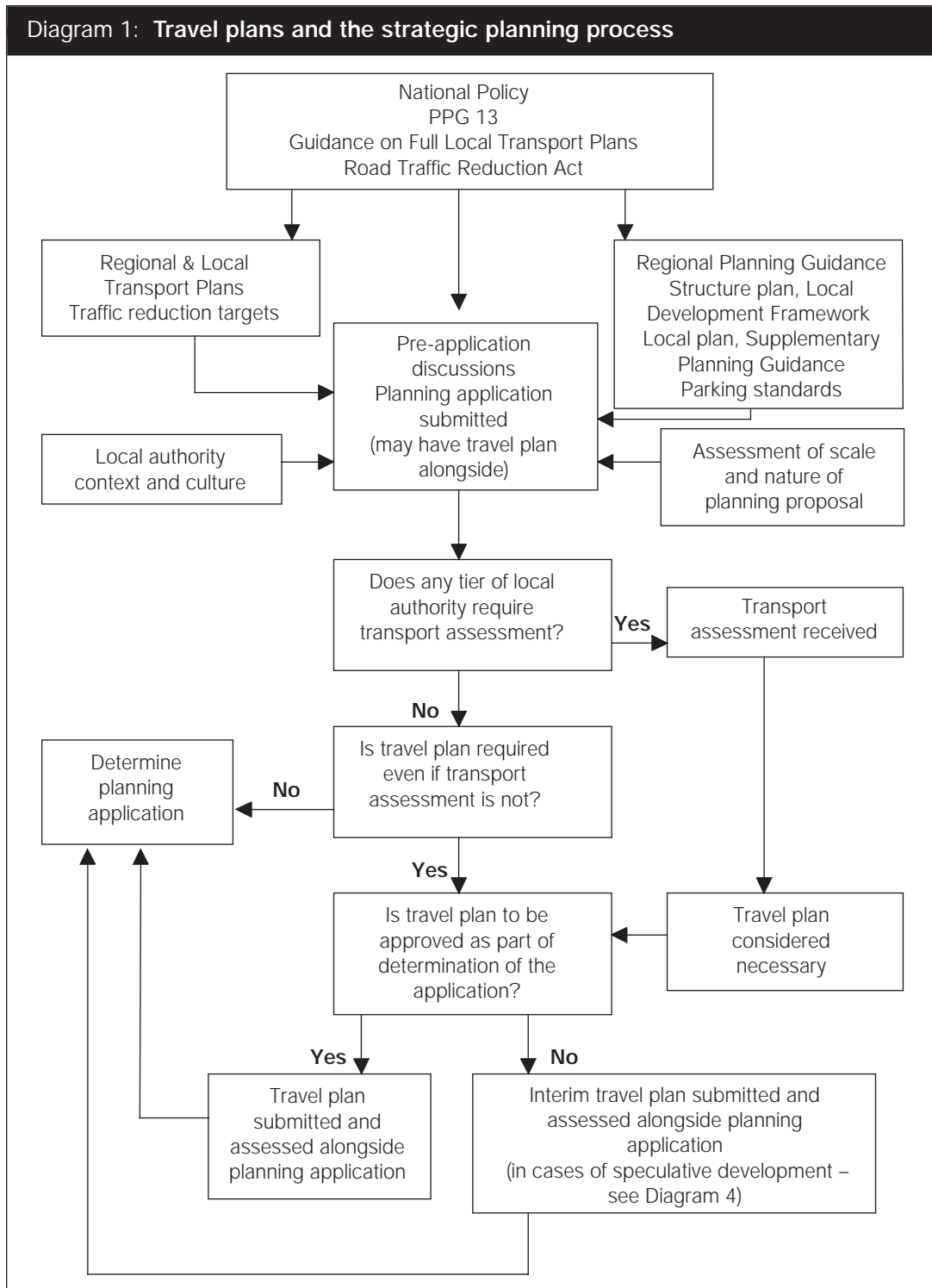
- 3.8 The scope for using the planning process depends on the role and importance of the travel plan. This needs to be established by an early consideration of:

- Local transport issues;
- Its relevance to the scale and land use of a particular planning application; and
- The extent to which a travel plan could fulfil the identified needs.

- 3.9 In most cases this determination will be made in conjunction with a transport assessment⁶, which will help assess the importance of the travel plan in meeting one or more of the functions listed in paragraph 3.7. The transport assessment should be carried out by the applicant where required by government guidance and identify the transport implications of the proposal, taking into account factors such as:

- The extent to which the development raises policy issues;
- Site characteristics;
- The scale, land use and other details of the proposed development;
- The accessibility of the site by different modes;
- The potential traffic impact without a travel plan;
- The potential creation of local parking and other problems;
- The wider land use and transport context.

3.10 The following flow diagram summarises the strategic framework and key decisions as to 'what's important' for the local planning authority in respect of travel plans.



CHAPTER 4

What is appropriate – *flexibility where needed*

Factors to take into account

- 4.1 The scope for using the planning process to effectively **secure** a travel plan depends on the clarity, strength and interaction of key stages:
- Policy formulation;
 - Quality and comprehensiveness of transport assessments;
 - Setting of targets and outcomes;
 - Ensuring effectiveness of travel plan measures and timing;
 - Drafting of enforceable conditions or planning obligations.
- 4.2 These are discussed in greater detail in other chapters of the guidance. Best practice examples are included that illustrate ways of making the process more efficient and effective, and supporting different methods of securing the travel plan. Although the process involves the same stages in any local authority, the way these aspects work together will vary for each authority and planning application.
- 4.3 The broad interaction of factors is illustrated below in diagram 2, where the key factors are:
- Whether the planning proposal is for a known end-user or is speculative or multi-occupied;
 - The type of land use/s proposed with emphasis on addressing high car trip generators;
 - Availability of a database and benchmarking information;
 - Whether the proposed/required measures are likely to achieve the specified outcomes and/or targets;
 - Reasonableness of travel plan proposals/requirements both to developers and occupiers;
 - The degree of importance of the travel plan to the proposal.

- 4.4 Consideration of travel plans within the planning process may not necessarily follow the sequence developed in relation to voluntary travel plans. For example, baseline surveys may not be possible where the occupiers are not known, but benchmarking data (e.g. on travel to similar organisations in similar locations) may be available. If not, a staged process is suggested to accommodate cases (e.g. speculative development) where some of the information needed to prepare a travel plan may not be known at the time the application is submitted and considered.
- 4.5 Where a travel plan is required other indirect factors may be taken into account in deciding how best to secure an effective travel plan e.g. the existence of an active TravelWise scheme or travel plan co-ordinator.
- 4.6 A central issue will be the setting of targets and outcomes – as an integral component of the setting of wider ‘road traffic reduction’ targets. They are likely to become an increasingly important basis for the formulation of travel plans and the way they are secured. Local authorities are beginning to incorporate potential strategic mode targets and outcomes within their policy framework, but in some cases the travel plan negotiation will need to be based on a ‘best estimate’ assessment.
- 4.7 Recently available research and information provides a better understanding of what measures are most effective in achieving trip reduction, at least in relation to single driver vehicles commuting to employment. It should be possible to assess whether the measures proposed in the travel plan are likely to be effective in achieving targets, and the level of confidence may affect the way the travel plan is secured.
- 4.8 The specific legal mechanisms used to secure the travel plan cannot be conceived in isolation from the rest of the planning process. The achievement of effective travel plans involves:
- Assessment of the importance of the travel plan;
 - Objectives of the travel plan;
 - Range of travel plan content;
 - Financial implications;
 - Roles and responsibilities;
 - Third party linkages;
 - Timetable for travel plan delivery and implementation;
 - Legal mechanisms for securing it;
 - Monitoring and enforcement arrangements.

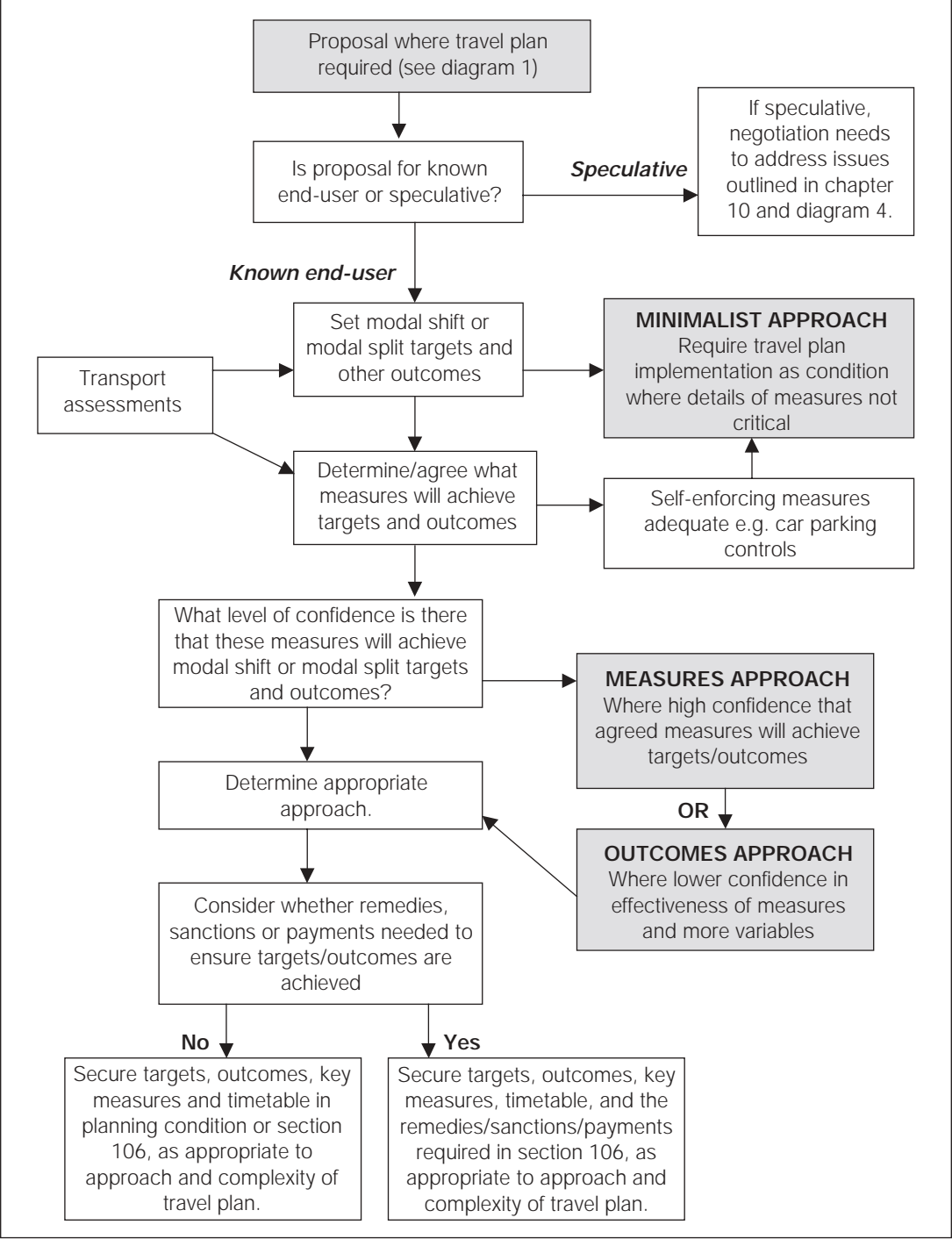
Approaches to securing travel plans

4.9 Current practice can be classified into three broad approaches, which are not mutually exclusive or exhaustive. They have been identified to help structure consideration of the way factors can be taken into account within the planning process to secure travel plans. The three broad approaches are listed below and discussed in detail in chapter 10.

- A ‘minimalist’ approach employing a standard condition;
- A ‘measures’ approach which emphasises implementation of particular travel plan measures, possibly backed up with specified remedies; and
- An ‘outcomes’ approach that emphasises the achievement of outcomes or targets, possibly backed up with sanctions.

4.10 The guidance indicates that these approaches, if judiciously applied, can maximise effectiveness given particular circumstances. The ‘minimalist’ approach is least reliable but may be effective in some cases. It is not appropriate to prescribe a single ‘one size fits all’ planning approach to securing the travel plan. But there are broad options that provide flexibility and variations to address the range of likely circumstances.

Diagram 2: Negotiating an appropriate travel plan



CHAPTER 5

Policy and strategy

Policy framework

- 5.1 PPG13 and Department for Transport *Guidance on Full Local Transport Plans* set out explicitly the national policy context for travel plans. Local authority policies, particularly the local development plan and the local transport plan, should reflect national policy. They are expected to specify circumstances where travel plans may be required and why. Other policies at the national and regional or county levels, such as those concerning car parking, accessibility and air quality, may also have a bearing on the need for a travel plan. Together the policies should make clear whether a travel plan is required and what it is intended to achieve.
- 5.2 Many local authorities promoted voluntary travel plans prior to the revised PPG13 and have acted quickly to adopt the guidance, while others are still evolving relevant policy. The number of travel plans secured through the planning system is increasing as clearer policies and experience develop. However some authorities are still developing the process.
- 5.3 Often the need for travel plans should be considered within the transport assessment⁶ as one of a number of measures to address the impact of the proposed development. However, where a proposal does not involve a transport assessment the local authority may request the submission of a travel plan to address planning concerns that fall within the remit of PPG13 (paragraph 89).

Effective policy integration

- 5.4 One test of effectiveness in securing a travel plan will be whether the mechanisms employed stand the test of an appeal or other challenge, either at the stage of granting planning permission or when enforcement action is taken. If the detailed conditions, clauses and covenants are clearly grounded in strong and adopted policies which relate to the detailed legal tests, then both the authority and applicant should feel confident in the use of the planning process and there should be less likelihood of challenge. Best practice should aim to achieve the standard outlined below.
- 5.5 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, and with other plans and strategies that cover the same area e.g. economic development plan and housing strategies.

CASE STUDY: INTEGRATED POLICY

Camden's Green Transport Strategy 2001-2005 (booklet)

The London Borough of Camden has produced the Green Transport Strategy in a small, colourful and illustrated booklet. The strategy explains green travel plans as part of a wider presentation of green initiatives and policy plans for walking, cycling, public transport, road safety and parking. Reference is also made to the development of initiatives, such as car free housing and piloting clear zones. In addition it sets out strategic objectives and progress achieved, along with available information and contacts.

- 5.6 Policy and strategy statements should be clear and unambiguous about when travel plans will be required, the rationale for them, and their form. The aim is to indicate how travel plans are expected to contribute to achieving transport objectives and other objectives (e.g. air quality in Air Quality Management Plans). This could be in supplementary planning guidance as well as the main policy documents. Policies and guidance covering travel plans and associated issues should be regularly reviewed and updated to take on board the results of any assessment/review of travel plan outcomes in terms of their contribution to policy objectives.
- 5.7 Detailed explanation of the need for travel plans and justification for travel plan requirements helps support negotiations at the specific level i.e. planning conditions and legal agreements, and in enforcement cases. It makes the local authority's approach clear prior to applications being submitted, thus assisting developers prior to site purchase. Where appropriate, reference to strategies and support for voluntary travel plans in the same area should be included at the policy/strategic level.
- 5.8 Linkages between travel plans and related policies such as car parking, transport assessments and strategic targets should be explicit.

CASE STUDY: TRAVEL PLANS AND PARKING POLICIES

Hampshire Parking Strategy and Standards (Spring 2002)

The strategy explicitly sets out the relationship between parking standards, transport assessments, accessibility levels and the requirement for travel plans in relation to all land uses. The county, unitary authorities and districts are working together to develop and apply consistent parking policies and standards to support sustainable transport and will use this document in relation to travel plans.

- 5.9 PPG13 states that a travel plan should be submitted with a planning application if it is likely to have significant transport implications and specifies four categories of development where this will apply (see Appendix E).

Consistency, co-ordination and review

- 5.10 It is important to ensure consistency in policy terms between different tiers of authority e.g. county /district and also across neighbouring authorities. Failure to do so will increase the uncertainty for both the applicant and authorities and could result in enforcement difficulties. Consistency across neighbouring authorities is also desirable to avoid development seeking out the more 'lenient' authority.
- 5.11 Technical co-ordination regarding e.g. transport assessments, parking standards, planning obligations, targets and sanctions are particularly important across local government tiers and between adjacent local authorities.
- 5.12 Local authorities are likely to be able increasingly to establish and refine their policies on travel plans as development plans and transport plans are reviewed, more transport assessments are completed and more information becomes available on transport movements and the implications of different travel plan measures. The changing characteristics of parking and parking management impacts will also inform future policy.
- 5.13 As authorities increasingly set traffic reduction targets both across the whole local authority area and for each local area exhibiting broadly similar transport/ traffic characteristics and incorporate them into policy the task of identifying the appropriate approach for a travel plan will become more straight forward.

KEY ASPECTS OF SUCCESS

- Explicit complementary policies in development plans / frameworks and local transport plans;
- Explicit linkages between car parking, transport assessments and travel plans requirements;
- Clear rationale for seeking travel plans and clarity as to the nature of travel plan to be sought;
- Consistency between different tiers of authority and across neighbouring authorities;
- Policies and guidance regularly reviewed and updated;
- Establishment and maintenance of good baseline information.

CHAPTER 6

Streamlining the process

- 6.1 Current practice and the extent of integration of travel plan negotiations into the overall development planning process generally reflects the historic roots of travel plan interest within a local authority – whether an offshoot from voluntary travel plans with schools or other organisations, a strong TravelWise initiative, or through the focus on promoting sustainable transport through land use planning fostered by PPG13.
- 6.2 Inevitably these roots will influence management attitudes and the extent to which travel plans are supported within planning. Cautious legal opinions and information gaps create barriers which can only be overcome by taking a strategic approach that ensures linkages between policy, the negotiating framework, travel plan requirements and mechanisms for securing travel plans. All those involved in the planning process, including the transport, legal and travel plan specialists, public transport operators, developers and occupiers, need to work together in partnership to ensure commitment and consistency of approach.
- 6.3 This chapter sets out suggested best practice in relation to the various aspects of the planning process to ensure its efficiency, particularly those controlled by the local authority. Chapter 8 explores some of the same issues from the viewpoint of the applicant. These suggestions can be used to help identify barriers, strengthen weak areas of the process and maximise co-ordination. One particularly important area is the need to get up-to-date and specialist legal advice that informs the development of the authorities' strategy and associated processes and procedures.

Internal procedures

- 6.4 Consistency within the local authority is more likely to be achieved where:
- There are clear objectives for seeking travel plans understood and supported by **all** relevant officers and members;
 - Policies, policy interpretation, procedures and planning obligation requirements are written down and publicly available in advance of an application being submitted; and
 - Officers are adequately trained and skilled, they work in an integrated way and there is a clear point of contact.
- 6.5 Formal arrangements are preferable to informal ones. The process is based on more explicit and articulated objectives, and is less dependent on individual champions. Greater support and ownership develops which will generate broad-based enthusiasm and commitment to the process and help ensure adequate resources are made available. Members and officers can be trained and briefed more effectively.

Documentation

- 6.6 Where policies, guidance and procedures have been agreed, these should be communicated widely through written documents and internal notes. Several authorities have set out the stages of the planning process for requesting and securing travel plans in a process diagram or flowchart that forms part of a development control manual and helps clarify internal procedures. The relationship between the transport assessment and the travel plan should be included. Wherever possible these should be made available to applicants to assist understanding of the process and expectations.

Expertise

- 6.7 In addition to explicit and agreed working arrangements to improve co-ordination, best practice seeks to ensure that people with the relevant information and knowledge are in place to provide advice and support to the development control planner and the applicant. A multi-disciplinary team approach (with one point of contact) is preferable as it ensures linkages are made in resolving key issues; it is generally more effective to use a combination of planners, transport planners and legal specialists to negotiate the travel plan.
- 6.8 Management mechanisms need to be in place to anticipate the need for expertise and particular skills, and to ensure that all planners are trained in the issues and planning process that applies in the case of travel plans. Appropriate resources should be made available at all stages, including monitoring and enforcement. Joint training programmes and monitoring arrangements with other local authorities are useful to share expertise and experience as well as promote co-ordination.

External procedures

- 6.9 Co-ordination between county and districts on all stages of the process will not only streamline the process by avoiding duplication or disagreement, but also ensure integrated policy development and consistent approaches to planning obligations and other financial aspects. Co-ordination across governmental tiers will be assisted by publication of agreed guidance notes, appointment of travel plan co-ordinators, and joint staff induction and training programmes.
- 6.10 Evidence from the research suggests that effectiveness is generally also enhanced by the support and involvement of agencies and other parties such as the Highways Agency and public transport operators. Early liaison with the Highways Agency would encourage involvement where needed.
- 6.11 Some authorities operate formal liaison arrangements with public transport operators and passenger transport executives so that they are aware early on of proposed developments and opportunities to expand or extend public transport networks. Others develop relationships with operators to help co-ordinate travel discounts and other public transport travel incentives over a wide area or a number of organisations. In the case of Birmingham (see case study box on page 54) the approach to securing travel plans largely depends on partnership with both the passenger transport executive and a key operator.

Pre-application discussions and scoping meetings

- 6.12 Pre-application discussions to elaborate on the published policy and guidelines are good practice in relation to any complex planning issue. They are particularly important in respect of travel plans as they help develop a basis of understanding and potential mutual benefit, fostering a partnership approach. Potential applicants will welcome clarity and certainty as to possible requirements and financial implications at this stage, although these discussions cannot be binding on the local authority.
- 6.13 Internal guidance, and scoping meetings where necessary linked to the development team approach, are recommended to ensure that all involved within the local authority are clear as to the process and particular approach that applies to a specific planning application. Legal services could play a key role in preparing guidance and at scoping meetings so that legal issues may be anticipated.

CASE STUDY: SCOPING MEETING

Basingstoke and Deane Borough Council

The Basingstoke and Deane Borough Council has a published internal best practice note which sets out the process and procedures for securing community infrastructure through planning agreements, including travel plans. Common understanding is reinforced by scoping meetings, that include both transport officers and development control planners from the borough and county councils, community services and legal expertise, resulting in a teamwork approach that appears to work well.

Base data and other information

- 6.14 Transport and travel information is needed to determine the importance of the travel plan, the issues it needs to address, and to provide a baseline for preparing a travel plan and setting targets. A key area of reported weakness was that this information was either inadequate or unavailable.
- 6.15 Preparation of integrated transport strategies will help fill this gap, as will the increasing range of data provided through transport assessments, monitoring of other travel plans, and co-ordination with TravelWise or similar agencies. Creation of an easily accessible database will be useful for a range of planning and transport issues over and above the travel plan and facilitate the use of other technical tools that support travel plan work and help justify conditions and planning obligations.

CASE STUDY: BASE DATA

Sheffield TOPS quantitative systems

Sheffield City Council has a very close working relationship with the South Yorkshire Passenger Transport Executive and they have a Travel Options Planning Service (TOPS) which supports existing providers of public transport services and businesses, and will provide workshops etc. to support developers. The TOPS team has access to quantitative systems to record travel patterns and provides a baseline for assessment of modal shift and modal split.

Assessment of travel plans

- 6.16 Extensive international research has focused on establishing a link between particular travel plan components and the effectiveness of the travel plan in reducing vehicle trips to and from a site. Studies⁷ suggest that a combination of measures is needed, with the greatest impact on modal shift (up to 15-30% reduction over three – five years in single driver commuting) achieved by a combination of marketing /promotion, car sharing, cycle measures, discounts on public transport, additional public transport (links)/works buses and disincentives to car use (e.g. parking controls).
- 6.17 These findings have provided the basis for evaluating the likely impact on vehicle trips by a given travel plan, and a sophisticated assessment methodology (Department for Transport *Workplace travel plan evaluation tool*) has been developed⁷. This methodology is available as downloadable software from the internet¹⁶. Specific travel plan elements and features can then be entered. A final score gives an indication of the scale of modal shift that may be achieved. Surrey County Council has developed a simpler evaluation technique, *A Guide to Development Related Travel Plans*⁸, comprising a manual scoring system in a checklist form. This is less precise but provides some basis for assessing submitted plans.
- 6.18 Travel plan evaluation techniques are in their infancy and have yet to be fully tested. Clearly both techniques may assist in assessing the likely benefits of a submitted travel plan, with the more sophisticated evaluation tool likely to be more helpful as the resulting score can be related to potential targets.
- 6.19 Within the planning process the evaluation tool is not only likely to provide an essential tool for assessing submitted plans, but also for determining what key elements should form the particular package for a specific site. In turn, this technique would support the choice of conditions and planning obligations that seek to ensure the implementation of key measures. In particular, it could be a way of justifying trip reduction targets for a given site. This is discussed further below.

Legal guidance and principles

- 6.20 Early in the process the planning team need to be clear about the process to follow and the implications for the travel plan and other negotiations. The guidance and scoping meetings will assist in ensuring all relevant parties are clear about the negotiating framework. Where necessary, specific legal advice should be sought as part of the scoping process, and the applicant should be brought into the discussions as soon as possible. Further information on the choice of planning conditions and section 106 agreements is outlined in chapter 10.
- 6.21 The scope for using the planning system to secure travel plans is likely to be strengthened by early involvement of legal advisors rather than bringing them in at a late stage to draft a legal document – the latter approach is likely to result in greater difficulties in securing some measures because they have not been developed in a legally robust form. However, this will depend on the extent to which the local authority has standardised the requirements in advance, and the complexity of the application.
- 6.22 The existence of indicative or framework conditions and planning agreement clauses will inform this stage of the process and can speed it up. However much depends on the drafting of the travel plan and its components, and the particular requirements of the site (see chapters 9 and 10). Setting out key principles (e.g. certain travel plan measures must be implemented prior to occupation) may also help to serve this purpose.
- 6.23 It is preferable for these to be included in an adopted Supplementary Planning Guidance (SPG) note or policy to clearly establish their link to broader planning and transport policy. Indicative wording has been included in Appendices F, G and H of this guidance to suggest issues that ideally should be addressed, but the detailed wording would need to be tailored to each individual case. The local authority must be satisfied that all the other factors are in place to support the precise wording of any condition or planning obligation.

Monitoring and compliance systems

- 6.24 There is a need to establish clear, effective systems for monitoring both compliance with planning conditions or section 106 agreements, and the outcomes of the travel plan, to enable a judgement to be made about the effectiveness of the travel plan. This process needs managing, and if it is to be used in relation to the taking of enforcement action or the take up of imposed sanctions on the application, responsibilities need to be formally established in conjunction with the applicant. How to achieve effective monitoring, where relevant, with minimum resource implications needs to be considered at the outset of establishing the overall policy. Chapter 11 includes a more detailed discussion of monitoring issues.

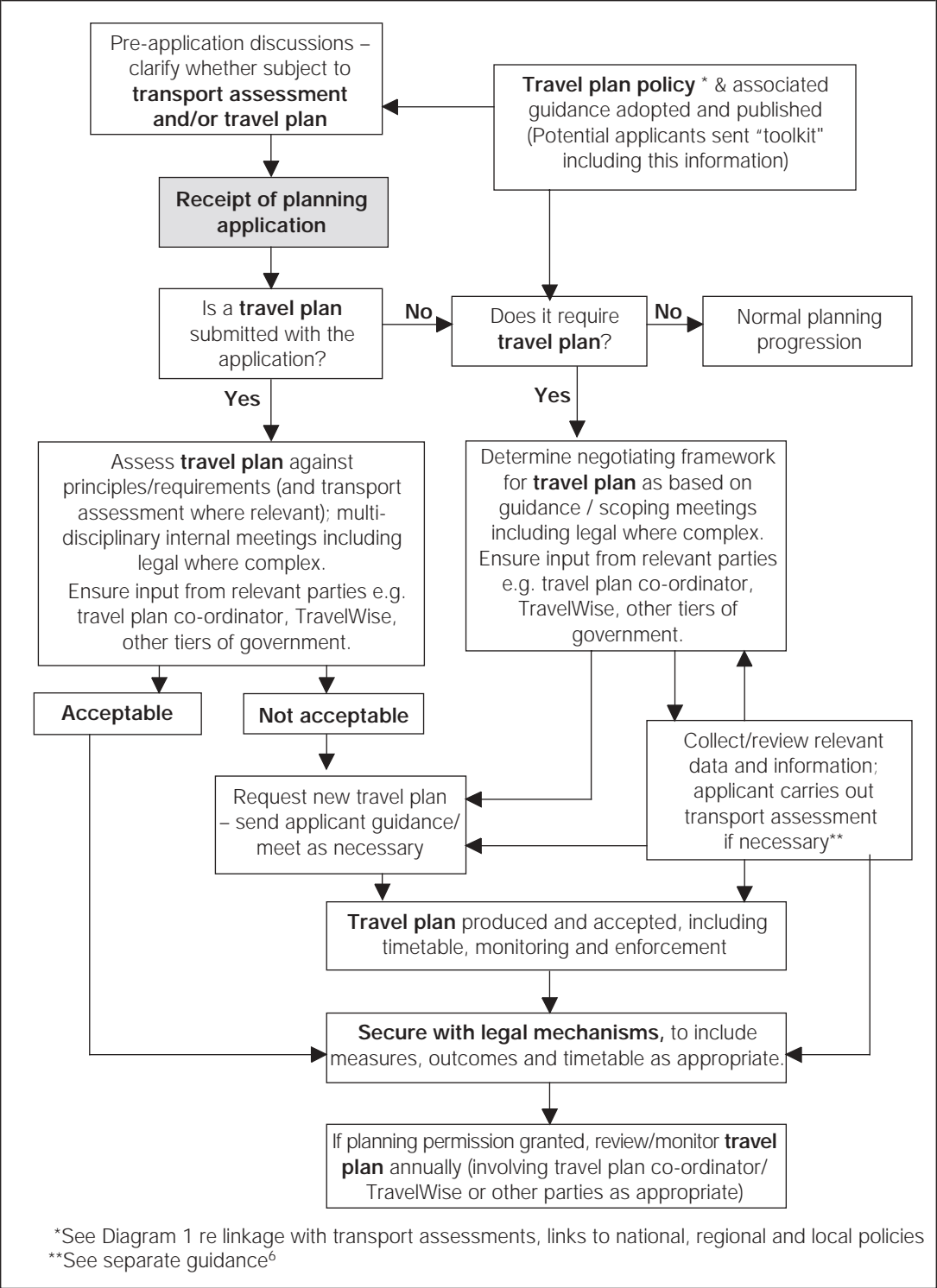
Reviews

- 6.25 Monitoring of the outcomes of travel plans against policy objectives and strategic targets should be built into the local authority travel planning process. Formal reviews of the way travel plans are performing in an area are important to feed back into policy formulation and to update guidance and procedures (see chapter 11).

KEY ASPECTS OF SUCCESS

- Include written procedures in a development control manual and make publicly available;
- Establish close and effective working relationships with key officers across the council and in other tiers of authority, including production of joint documentation;
- Facilitate close and effective working relationships with public transport agencies and operators;
- Inter-relate the technical transport assessment processes with the travel plans process;
- Establish up-to-date database e.g. previous travel plans, modal splits;
- Prepare guidance on legal and negotiation principles, with scoping and pre-application meetings where needed;
- Establish an effective evaluation process for assessing submitted and implemented travel plans;
- Establish monitoring and compliance procedures.

Diagram 3: Mapping the process



CHAPTER 7

Customer focus

7.1 It is clear from much research on best practice in planning that the availability of good quality information in advance of making an application is critical to applicants. This is equally true of securing travel plans. The private sector wants:

- Clarity
- Speed
- Minimum cost
- Certainty
- Equity

7.2 Applicants are increasingly supportive in principle of travel plan requirements. Local authority actions to provide clear information and appropriate support will foster a partnership approach and help diffuse negative attitudes. Pro-active initiatives that facilitate cost-sharing, joint-working and other benefits for a group of local businesses including applicants has been found⁵ to contribute to the achievement of effective travel plans.

Publications

7.3 A simple way of improving communication with applicants and potential applicants is through the publication of all relevant information including:

- Policies – those directly referring to travel plans and related ones e.g. car parking, transport assessments;
- Processes and procedures – documentation required and associated timetables;
- Requirements – for travel plans and for securing travel plans as part of the determination process; and
- Explanatory information – the benefits of a travel plan.

7.4 Many authorities choose to include all of this information in Supplementary Planning Guidance that is formally adopted and published. This has the benefit of having all the relevant information in one place and with a formal status, and a number of good examples have been published which represent best practice, including Camden, Sheffield and Norfolk. However, the process of achieving formal adoption may take some time and in the interim some or all of this information should be available in other forms or more support provided through joint development of the travel plan.

CASE STUDY: SUPPLEMENTARY PLANNING GUIDANCE

Many local authorities have adopted and published Supplementary Planning Guidance for travel plans 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;
- Process for determining travel plan requirements;
- Establishing targets;
- Components ('actions') of a travel plan;
- Assessment of the travel plan;
- Ways of securing the travel plan (including standard clauses);
- Procedures in relation to speculative developments;
- Monitoring and review procedures;
- Enforcement.

Clear point of contact and division of responsibilities

- 7.5 The preparation of a travel plan and its consideration through the planning process may be quite complicated in respect of large schemes. The publication of a single point of contact within the local authority and clarification of responsibilities will be particularly helpful to potential applicants as will information on the support available. The same point applies to the actual travel plan and its implementation – the travel plan process continues long after determination of the application and the future co-ordination and liaison arrangements need to be spelt out.

Attitudes and support

- 7.6 Some applicants may see the requirement for a travel plan as another imposition by the planning process but the attitude of the local authority will help overcome this viewpoint. A partnership approach stresses the benefits of travel plans for the applicant and future occupiers (e.g. reduction in highway expenditure, less congestion) and the wider benefits such as lower air pollution. Consistent and positive attitudes within the authority supported by educational material (see Appendix B for useful information that could be provided to applicants), support and advice on what is required, and a clear rationale should help develop commitment from the applicant /owner that could translate into more effective legal agreements and more successful travel plans.

Providing a service e.g. travel surveys, mapping

- 7.7 One way of supporting the private sector in the preparation of travel plans is through free or low-cost technical support. This is likely to be more realistic where active TravelWise support is available, the authority is large or through travel plan co-ordinators.
- 7.8 Many authorities help applicants access existing examples of staff survey forms to obtain staff and other travel and movement patterns and attitudes. Several standard versions are available, including those in the travel plan resource pack⁹.
- 7.9 Assistance with questionnaire analysis, including the provision of a mapping facility, will benefit both the authority and applicant/occupier. This service could be offered to applicants either directly by the authority e.g. Lancashire or by Company TravelWise e.g. in Birmingham.
- 7.10 The local authority will benefit from consistent information obtained over time that will support not only the evaluation of the travel plan but also the assessment of its performance in comparison with others. It will provide a growing database on travel characteristics that will support the implementation of the policy, assist in responding to any challenges, and help set targets, including interim targets for speculative developments.

Establishment of travel plan forums or networks

- 7.11 Many local authorities have encouraged or facilitated the creation of travel plan forums or networks, most commonly among existing businesses. These have been set up over both local and citywide areas. In some cases they have developed into separate companies with employees that foster co-operation between companies and facilitate joint-working, strategic liaison and negotiations with public transport operators and transport agencies e.g. in Birmingham. Elsewhere large-scale commuter planners clubs facilitate co-ordination across many employers e.g. Nottingham, Stockley Park and Thames Valley Park.

CASE STUDY: TRAVEL FORUM

Bristol City Council

The city council actively helped set up a citywide travel forum in 1999 and more recently has identified the potential for local area-based travel forums in the local transport plan. The council provides resources as part of its co-operative partnership approach to achieving travel plans. The forums aim to bring adjacent businesses and developers together to achieve lower car use by pooling information and resources, which may help future travel plans e.g. benchmarking information for interim modal split targets. Contributions to support the forum/s are secured through section 106 agreements.

- 7.12 These organisations are useful in supporting both the local authority and the applicant within the planning process e.g. through the provision of supporting data and travel plan expertise. In addition, they help ensure effectiveness of all travel plans by providing opportunities for greater efficiency (less re-invention of the wheel) and co-ordination, and warrant local authority and private sector support and promotion.

Co-ordination to create ‘critical mass’

- 7.13 The effectiveness of travel plans – particularly those of smaller businesses – has been boosted where local authority co-ordination and support has helped them introduce travel plan measures. Such measures include car-sharing databases, internet-based information systems and negotiation of public transport discounts with operators. It should be noted that some of these measures are not suitable for inclusion in either a condition or planning obligation, as indicated in Table 3 (page 62).
- 7.14 The establishment of a travel forum or similar creates a ‘critical mass’ which allows the smaller business to achieve travel plan measures that would be difficult if not impossible on their own. In this context the inclusion of a contribution to the local travel forum (or similar) or to the establishment of such a co-ordinating body is a legitimate travel plan measure that may be secured through the planning process.

KEY ASPECTS OF SUCCESS

- Publication of all key policies, procedures, draft indicative conditions or section 106 agreements, contacts and support in a single user-friendly format;
- Clear allocation of responsibilities to identified officers;
- Offer technical support either on a paid or free basis where practical;
- Establish a network to support the ongoing implementation of the travel plans by occupiers.

CHAPTER 8

The applicant's role

- 8.1 This chapter is explicitly focused on the actions that the applicant should take when seeking planning permission for a development that may require submission of a travel plan. However, much of the other chapters of the guidance will be relevant to understanding the rationale behind the requirement for a travel plan and the likely approach to be taken by a local authority.
- 8.2 Local authorities should be able to provide clear information as to when and why a travel plan is required in advance of any planning application being submitted. The basis of the need for a travel plan is explicitly covered in PPG 13² (see paragraphs 1.2 and 5.9 above), which authorities should have elaborated on in their own policies. It is likely that the need for a travel plan will also become clearer through the transport assessment process. The need for a travel plan should be considered in the same way as that for highway improvements in the past – its function is to manage multi-modal access to the site.

Potential benefits of preparing and implementing a travel plan

- 8.3 There is clear evidence that developers and occupiers benefit from the preparation of travel plans. Many developers and businesses actively pursue a travel plan to address staff commuting and visitor parking issues, whether or not required in relation to a planning application. Recent research concerning effective private sector travel plans⁵ reported the following benefits as mentioned by the companies and other organisations:
- Alleviation of parking pressures;
 - Capacity to expand on 'tight' sites;
 - Savings in the cost of providing and managing car parking spaces;
 - Staff retention and recruitment;
 - Site accessibility;
 - Stress reduction for staff;
 - Time savings;
 - Improved air quality.
- 8.4 Anticipating and preparing a travel plan, where possible and appropriate, in advance of submission of a planning application will also greatly assist the speed of processing the application. It is important to understand the rationale behind the requirement for a travel

plan to ensure it effectively meets its objectives. This information should be available from the local authority.

- 8.5 Many applicants and developers see the travel plan as an extra cost on their development and consider that local authorities might share some of these – such as employment of a travel plan co-ordinator, surveys, and monitoring. In considering and calculating extra costs, applicants need to take into account expenses avoided because of the travel plan, such as highway improvements, car park areas, and car parking zones where concerns arise regarding potential overspill parking.

Submission of a travel plan

- 8.6 Chapter 5 sets out the policy context supporting the requirement for a travel plan in relation to certain planning applications. Most local authorities will have set out broad sustainable transport policies as well as travel plan objectives, including threshold levels where different from PPG13, modal split or modal shift targets and car parking standards.
- 8.7 Most applications where the development does or will generate substantial trip movements, whatever the use, are likely to require a travel plan either with the application or to be submitted and approved subsequently. Where an extension is proposed to an existing development, a travel plan may also be required alongside the application. In addition, dependent on the characteristics of the local area, small developments may also require one if the cumulative impact is likely to give rise to transport issues.
- 8.8 A customised travel plan that creatively addresses the issues associated with a particular development on a specific site is more likely to produce some or all of the benefits listed than the adoption of a standard travel plan or one developed for another scheme. The guidance included in chapters 9 and 10 suggests that it is not necessary to 'reinvent the wheel' but that the travel plan content and the way it is legally secured should flow from the travel plan objectives and desired outcomes.

CASE STUDY: TRAVEL PLAN MEASURES TAILORED TO THE SITE

The British Land Company: Regent's Place, London NW1

The travel plan covers:

- All access to the site, whatever the purpose;
- Information on existing transport services to the site and staff travel patterns;
- Travel plan principles;
- Appointment of a travel plan co-ordinator;
- The establishment of a Transport Forum;
- A range of measures to market the travel plan;
- The establishment of Regent's Place Travel Information Internet site providing tailored information to meet the needs of staff and visitors – www.vicinitee.com
- A travel information booklet and CD Rom card including specific bus, train, walking and cycling services, facilities and routes serving the site;
- A Bicycle Users Group;
- Proposed improvements for all modes as they affect the site;
- Monitoring arrangements.

8.9 Effectiveness of the travel plan increases when 'sticks' and 'carrots' are combined in a comprehensive travel plan – e.g. improvements to public transport included in the travel plan package even if in legal terms they are separately secured. While travel plans may well have revenue implications, many businesses have found that these costs are less than the potential savings or can be minimised by co-ordinating with other companies.

8.10 Transport assessments are important in determining the purpose of a travel plan in relation to a particular planning application. The transport assessment, carried out by the applicant where required, will identify how the travel plan can help address the impact of the proposed development. This will provide the applicant with the information necessary to initiate preparation of a travel plan.

8.11 Best practice advice on transport assessment is due to be published in 2002⁶. It will clarify the process for identifying the following through a predictive assessment of:

- The catchment area and travel needs of projected users;
- The level of accessibility by different transport modes to the proposed development;
- The opportunities for improving accessibility by one or more sustainable modes;
- The generated travel and transport demands;
- The transport and other impacts of meeting these needs and demands; and
- The consequences of any means proposed for ameliorating adverse impacts.

Establishing the form of travel plan

- 8.12 Information on the range of measures that might make up a travel plan is widely available and key headings are listed in Appendix C. These largely relate to staff and visitor travel modes, though business travel and deliveries are included in some cases. While most local authorities are unlikely to expect the inclusion of all elements in a travel plan, there is a growing consensus that certain measures help ensure effectiveness:
- Identification of a travel plan co-ordinator – not necessarily a new appointment but the nomination of someone with overall responsibility for implementation of the travel plan through the whole of the development process;
 - Restraints on car parking, through physical controls, charges and/or management (e.g. permits). The levels of parking both within and off site are a useful indicator of the effectiveness of the travel plan;
 - Travel plans inevitably evolve over time and with different occupiers so scope for adjustment needs to be built into the process. A balance will need to be struck between the certainty of some elements and the need for others to be ongoing and subject to change; and
 - Incorporation of targets for outcomes and sanctions in the event that targets are not achieved. There is an increasing body of knowledge as to the most effective way to achieve particular outcomes and targets can be set with greater confidence.
- 8.13 National guidance on the use of a computer-based evaluation tool⁷ is described in chapter 6. This tool is useful for the evaluation of travel plans by local authorities, but it also is helpful for those preparing the travel plan as it can be used to evaluate the potential effectiveness of a package of travel plan elements.
- 8.14 Where a company is moving to a new site there are likely to be wider opportunities to encourage sustainable transport access. These include opportunities to create physical facilities (e.g. cycling and walking facilities, high quality bus stops) at little if any extra cost, reduce parking provision, and use local recruitment strategies to minimise the need for travel.

What to expect of the local planning authority

- 8.15 Many local authorities take a partnership approach to the achievement of travel plans, providing support and guidance, but as with other planning matters, styles and available support will vary. Elsewhere in this guidance local authorities are encouraged to streamline the process as far as possible, and the following may be available:
- Written policies, guidance and technical information;
 - Pre-application meetings where written information requires further explanation;
 - Support in discussions with a passenger transport executive or transport operators;
 - Assistance in the preparation of the travel plan including support with travel surveys and mapping; and/or

- Assistance with subsequent surveys and/or monitoring.
- 8.16 It is unrealistic to expect total consistency between local planning authorities or even for different planning applications within a single authority. A similar overall approach may be followed but measures and targets will vary depending on scale and nature of development, site, location and existing transport characteristics. As outlined elsewhere in this guidance, different aspects of travel plans may be secured through different legal mechanisms. However it is important to consider the whole travel plan package holistically.

Speeding up the process

- 8.17 Applicants can help the process to be as efficient as possible through:
- Acknowledging the role of travel plans in relation to the planning process as an integral part of providing access and not as an additional activity;
 - Identifying a single contact person with relevant background to formulate the travel plan;
 - Collecting and providing as much information as possible, as soon as possible, on transport characteristics;
 - Ensuring information is collected and presented in standardised form using measures and indicators that are comparable;
 - Consulting local businesses, local travel plan forum/Company TravelWise contacts where these exist – these are likely to offer many potential benefits (information, cost-sharing);
 - Co-ordinating with public transport operators, other businesses /developers regarding joint initiatives e.g. joint travel discount schemes, shared travel plan co-ordinators, joint monitoring;
 - Referring to the local authority's advice (e.g. TravelWise resources if available) and best practice advice (references in Appendix B); and/or
 - Maintaining contact with the local authority, particularly by informing them when development commences and occupation is likely.
- 8.18 Fundamental to the effectiveness of the process will be the way the need for, and implications of, the travel plan have been taken into account in the purchase or costing of the proposals prior to the submission of an application. Availability of information on local authority requirements should greatly assist this pre-application stage. Early discussions with the local authority are recommended in areas of uncertainty.

Speculative and multi-occupied developments

- 8.19 The travel characteristics of occupiers may not be known in such situations or some travel plan measures may not be appropriate to all occupiers. However, there are many effective travel plan measures that may be justified without reference to the detailed travel patterns of the occupiers, including:

- Controls on car parking;
- Nomination of travel plan co-ordinator or responsible person;
- Provision of improved public transport, cycle and pedestrian facilities and services;
- Provision of shuttle buses.

- 8.20 Some or all of these, along with others, may be implemented prior to occupation and therefore can be included in an interim travel plan submitted with the planning application. It is important that as many measures as possible are in place prior to occupation to avoid car-based travel patterns becoming established. These can be supplemented following clarification of the occupier in a full travel plan.
- 8.21 Elsewhere in this guidance it is suggested that interim or aspirational targets may be included in the interim travel plan (see paragraphs 10.30 to 10.36 and diagram 4 on page 60). This may provide 'comfort' to both the local authority and the developer by clarifying at an early stage the scale of change in mode share sought through the travel plan. It is likely that data will be available from the local authority, travel plan forums and other companies that can inform the setting of interim targets.
- 8.22 In the case of several occupiers or where a level of turnover of occupiers is anticipated, consideration might be given to the scope for an umbrella site travel plan (usually administered by a travel plan co-ordinator). Within this there could be subsidiary occupier travel plans, with each new/different occupier required to submit a separate travel plan. Potential occupiers need to be advised of the travel plan requirements, and research suggests that where this has been done the anticipated adverse commercial impact has not materialised. Effective multi-modal access to the site and low levels of congestion can help marketing and recruitment.

KEY ASPECTS OF SUCCESS

- Acknowledging the role and need for travel plans where relevant;
- Being prepared in advance of submission of an application;
- Ensuring the relevant skills and expertise are available;
- Including the need for a travel plan in the forecasted development costs;
- Working with the local authority to achieve mutual benefits.

CHAPTER 9

Effective travel plans

- 9.1 The planning process can help ensure that the travel plan itself is effective, as well as ensure that the travel plan is secured as effectively as possible. This chapter concentrates on the first objective. Chapter 10 addresses the second.

Establish principles early

- 9.2 Before reaching the stage of deciding whether conditions and/or section 106 obligations are most appropriate to secure a travel plan, basic principles must be established to help inform the negotiating framework for the travel plan itself. These should be set out in published guidance covering different types of application, clarifying the broad travel plan objectives and key issues for effectiveness. Once these principles have been determined, which may require scoping meetings in complex or unique cases, they can be translated at a later stage into precise legal mechanisms and a combination of planning conditions and section 106 obligations, using suggestions outlined in chapter 10.
- 9.3 The principles that underpin travel plan negotiations will need to balance the needs and objectives of different parties. The local authority should seek to ensure the performance of the travel plan for a number of years into the future in many circumstances, whereas applicants generally need certainty on key aspects (e.g. responsibilities and financial implications) at the time of determination. There is a greater chance of achieving an effective travel plan by clarifying as many of these issues as possible, including what will happen in the event of default. Key aspects are discussed below.

Travel plan content

- 9.4 A fairly common set of headings for travel plans are now widely used (Appendix C includes a comprehensive list for reference), but a customised package needs to be developed for the particular site and development which are subject of the planning application. Generally an effective travel plan, as identified in other research^{5,10} will include constraints on car parking. These may comprise absolute limits, management regimes, charging and/or the reduction in the ratio of car parking spaces to numbers of employees.
- 9.5 Other measures that, as part of a package, have been shown to be particularly effective in reducing car use⁵ are:
- Financial incentives to staff/users to use public transport and cycles (note that these are unlikely to be secured through the planning system);
 - Dedicated travel plan co-ordinator;
 - Inclusion of targets including targets for modal split or modal shift;

- Positive relationships with local authority and public transport operators.
- 9.6 Where possible clear links should be identified and documented between measures/package of measures and outcomes. There is more chance of defending a challenge to the inclusion of a travel plan requirement/s where there is evidence that the measure/s will be effective.
- 9.7 The local authority needs to be clear what process is going to be used to arrive at a list of travel plan requirements, and ensure they maximise effectiveness. Table 1 on page 49 summarises the key areas where principles need to be established to:
- Ensure consistency and co-ordination within the local authority;
 - Maximise opportunities to secure an effective travel plan;
 - Provide information that will assist the applicant in making commitments; and
 - Optimise the use of the planning system to effectively secure the travel plan.
- 9.8 A methodical consideration of these factors, based on the issues outlined in chapter 4 and up-to-date technical assessments, will help ensure that the travel plan itself is appropriate to the application. Care must be taken that developments are not overburdened and that the effort involved is commensurate with the potential benefits. Smaller developments may need to acknowledge their cumulative impact and scope for joint or co-ordinated measures. The resource implications, together with the opportunities for sharing the task, need to be taken into account.
- 9.9 Once clarity is achieved on what the travel plan aims to achieve and how it will be specified, the format of the travel plan needs consideration, including setting out of the time-frame for action at different stages of the travel plan process. Again it may be desirable to publish general guidance for the more common types of planning application and associated travel plans.

Travel plan documentation

- 9.10 It is important that there is one document that reflects the outcome of the above process and brings together **all** the components of the travel plan. This would set out the package of promotion /marketing, physical measures, behavioural incentives, car parking restraint, public transport infrastructure and enhancement that together are anticipated to be effective in reducing vehicle trips to and from the site and achieve other objectives e.g. improving accessibility. It is most important for all involved to understand and assess their interrelationship and cumulative impact. This comprehensive approach would be taken into account if the travel plan or its elements were challenged.
- 9.11 The question of whether it is drafted and agreed as a single document that is legally sound and enforceable would depend on the mechanisms being used to secure the travel plan. It is unlikely that such a document in its entirety could be legally drafted to form part of a section 106 agreement. However, it could identify the way the travel plan components may be secured in planning law, including identifying what will be through a condition, an agreement or the form of the development.

- 9.12 This comprehensive travel plan document could also usefully include who is responsible for implementing each element (e.g. as between the developer, occupier, local authority, and public transport operators), who is bearing the cost for each component, and timetables for implementation. This travel plan document could also summarise targets, monitoring arrangements and sanctions, notwithstanding that they may be outlined in detail elsewhere. Unless there is a single document that brings all matters together the relationship of different elements will not be clear.

Time frames for travel plan requirements

- 9.13 The time frame surrounding the stages of the travel plan process and implementation of the components must be clear to a) ensure the travel plan is effective; b) allow both the local authority and applicant to have adequate resources in place to complete the process; and c) provide a basis for enforcement if necessary. Milestones that may be specified include:

- *Submission and approval of travel plan:* normally submitted with the planning application in the cases of known-end user. Where exceptions to this are justified (i.e. to reduce delay), submission of the travel plan prior to development commencing may be appropriate. Implementation of relevant travel plan measures prior to occupation is preferable to avoid the development of car-based commuting patterns. In cases of speculative development, an interim travel plan (i.e. including elements that are not dependent on staff/visitor surveys) should be submitted identifying how e.g. the broad modal split targets are to be achieved along with commitment to other travel plan principles. Outstanding details would be submitted (as part of a final travel plan) for approval within six months of occupation. Paragraphs 10.30 to 10.36 cover the approach to speculative development in greater detail.
- *Implementation of travel plan:* there are three approaches to this, depending on the overall strategy:
 1. Specify a timetable for implementation within the travel plan for each element, with reference to occupation; or
 2. Specify the date by which targets must be achieved or sanctions are applied, providing an incentive to implement the travel plan; or
 3. With respect to speculative development, specify as above for approved elements, with remainder within three months of approval (or to approved timetable).
- *Maintenance of ongoing aspects of travel plan:* payments of money in a planning obligation should be time limited and not be required in perpetuity. Non-financial planning obligations can, where appropriate, run with the occupation of the development.
- *Review of travel plan:* An annual review is suggested to maximise effectiveness and allow for modification by agreement where appropriate to respond to changing circumstances especially in complex situations.
- *Monitoring of outputs of travel plan:* specify date/period of first monitoring (could be the date for obtaining the base data) and subsequent dates/periods for monitoring.

Monitoring generally should be undertaken for five years in complex applications, though this will depend on whether targets have been specified and what timescales are allowed to reach the targets (see below).

- *Travel plan meets targets*: Specify when target must be achieved. A two-stage approach for modal split targets is suggested (both can have sanctions) with the first at three years and second at five years.
- *Remedial works/sanctions if the travel plan is not performing*: If remedial works (e.g. car parking controls, enhanced public transport, further works) are included, specify the timescale within which period these must be implemented. If payments have been specified in the event of non-achievement of the target/outcomes, specify when this payment must be made (see also chapter 11).

Setting targets

- 9.14 The term targets is used in relation to travel plans to cover any measurable aim that will be monitored and is considered by the local authority to be an important indicator of the travel plan's effectiveness. Vehicle trip reduction is a common target as is the observed level of car parking adjacent to the site (after introduction of restraints).
- 9.15 As set out in PPG13 'travel plans should have measurable outputs, which might relate to targets in the local transport plan...' Until targets have been developed for local areas, care must be taken in applying authority wide targets to specific applications although they are helpful indicators. Where a traffic reduction target has been set out in policy plans for a large geographic area (e.g. county) the same target should not automatically be used in respect of a single development as local transport characteristics may indicate that this target is under-ambitious, unrealistic and/or unachievable.
- 9.16 Modal split or modal shift targets provide a basis for measuring the effectiveness of a travel plan in terms of its impact on the levels of actual travel modes used in accessing a development site. The former are better for speculative developments and the latter for existing occupiers. They both need to reflect the scope for improvement over the current situation, on a local basis. It is a measure of performance, not just the achievement of a physical measure. If selected carefully, their inclusion increases the potential for the travel plan being effective. Research⁵ into 20 travel plan best practice case studies in the UK indicated that, on average, there were at least 14 fewer cars arriving per 100 staff, representing a reduction of at least 18% in the proportion of commuter journeys being made as a car driver. The guidance based on this research suggests that modal shift targets between 10% and 20% reduction in employee car use over three years is reasonable.
- 9.17 Targets need to take account of individual site characteristics as well as policy, using whatever data is available (travel surveys, Census, TRICS) and also taking account of what is achieved on sites within the local area. Where applicants have undertaken a transport assessment, comprehensive and up-to-date information on local traffic and transport characteristics should be available to support targets.
- 9.18 The science of setting targets is inexact and current practice has not yet been standardised in respect of key factors (e.g. timescales, indicators used) although technical guidance is available. The bulk of research and guidance is for setting targets and associated timescales in respect of single driver commuting, rather than for targets for increasing public transport

use or other indicators. Therefore, employee car use per 100 employees may be a more useful indicator, especially where payments or other sanctions are at issue.

- 9.19 The setting of targets may also be a victim of the confusion that may develop in negotiations between *modal share*, *modal split*, *modal shift*, *trip reduction* and other variations on possible indicators (such as vehicle movements per 100 employees), as well as inconsistencies in the use of percentages. Appendix D sets out the terminology and may help avoid unnecessary misunderstandings.
- 9.20 Agreement of modal split or modal shift targets are often one of the most difficult areas of the travel plan negotiation in the planning process. The owner of the site is being asked to commit to achieving outcomes over which s/he does not have total control (in the sense that the actual choice of travel mode is made by employees or visitors). Furthermore, the owner may be faced with sanctions/payments if the modal split or modal shift targets are not achieved within the specified timescale. If the planning process is to be effective, the setting of modal split or modal shift targets must be transparent, realistic and justified.

KEY ASPECTS OF SUCCESS

- A clear framework and principles for negotiation of travel plan (see table 1 below);
- Ensuring the travel plan clearly addresses development issues;
- Discussion with applicant as soon as possible including where possible pre-application;
- Clarifying documentation of travel plan package;
- Ensuring that a comprehensive travel plan document is prepared that considers all the aspects holistically including their interaction;
- Confirming the timetable sought for implementation of elements of the travel plan;
- Setting realistic and justified targets/outcomes;
- Seeking a travel plan that is self-enforcing;
- Establishing monitoring arrangements where relevant.

Table 1: A checklist for negotiating effective travel plans: issues to be clarified

Objectives	<ul style="list-style-type: none"> • <i>Explicit relationship to policy documentation, parking policies and the transport assessment process;</i> • <i>Avoid conflict with other policies/objectives (e.g. regeneration).</i>
Content	<ul style="list-style-type: none"> • <i>Is development speculative or for a known end-user?</i> • <i>Degree of confidence that particular measures will achieve objectives/targets (taking into account research on effectiveness);</i> • <i>Whether to specify travel plan outcomes/targets;</i> • <i>Appropriate arrangements for monitoring;</i> • <i>Inclusion of remedies/sanctions and possible payments.</i>
Responsibilities	<ul style="list-style-type: none"> • <i>What are the responsibilities for the applicant /owner/occupants/public transport operators?</i> • <i>Whether there is a need to address changing occupiers and circumstance over time;</i> • <i>Clarify responsibilities where nesting/hierarchy of travel plans.</i>
Financial implications	<ul style="list-style-type: none"> • <i>The appropriate scale, timing and certainty of financial implications for the applicant, including bonds and payments for default;</i> • <i>The management implications for the applicant – the experience of TravelWise and other businesses in the area may also inform this choice.</i>
Local authority role	<ul style="list-style-type: none"> • <i>Whether the authority should play a direct role in the delivery of some of the travel plan measures e.g. receiving contributions for enhanced public transport, enhancement of bus, cycling and walking routes serving the site, overseeing of monitoring arrangements;</i> • <i>What support can the authority offer e.g. provision of technical support; assisting in analysing survey results; facilitating travel plan networks, co-ordination of smaller development to achieve critical mass for some measures; co-ordination of enhanced public transport?</i>
Linkages/third parties	<ul style="list-style-type: none"> • <i>Whether to involve third parties e.g. Company TravelWise, public transport companies, commuter transport clubs, other travel forums in the vicinity.</i>
Timetable of requirements	<ul style="list-style-type: none"> • <i>What required as ‘one-off’?</i> • <i>What will be on-going obligations (for all relevant parties)?</i> • <i>What required before development begins?</i> • <i>What required before occupation?</i> • <i>What required in each of first five years? (e.g. target met, reviews)</i> • <i>What is the approval process if not part of planning application?</i> • <i>Stages and timetable set out in relation to occupation?</i> • <i>Anything beyond five years?</i>
Monitoring and enforcement	<ul style="list-style-type: none"> • <i>Targets and outcomes? Interim targets?</i> • <i>Arrangements for monitoring;</i> • <i>Monitoring related to targets/outcomes;</i> • <i>Timetable and who responsible for any remedial works or payments (including clawback arrangements and bond repayments);</i> • <i>The form of sanctions if targets not met or default on travel plan implementation.</i>
Anticipated legal mechanisms	<ul style="list-style-type: none"> • <i>Speculative, multi-occupation etc may require particular mechanism</i> • <i>Elements secured through condition/planning obligation?</i> • <i>Linkage of remedies/sanctions to targets/outcomes.</i>

CHAPTER 10

Effective legal mechanisms

10.1 The current policy framework is set out in PPG13, paragraph 91, which 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.’

10.2 Planning obligations offer greater flexibility than conditions in that the planning obligations can involve payment of monies to the local authority and allow more complex arrangements. In addition the planning obligation is often preferable as it is achieved through negotiation and agreement with the developer, whereas a condition is generally imposed unilaterally.

10.3 The decision as to whether a travel plan should be secured by conditions or planning obligations should be taken with great care. Conditions in planning permissions should comply with the policy guidance in Circular 11/95: *The Use of Conditions in Planning Permissions*, and should meet the tests of being:

- (a) necessary;
- (b) relevant to planning;
- (c) relevant to the development to be permitted;
- (d) enforceable;
- (e) precise, and
- (f) reasonable in all other respects.

10.4 Planning obligations that secure travel plans should comply with the policy advice in Circular No. 1/97: *Planning Obligations* and should, for example, only be sought where they are necessary to make a proposal acceptable in land-use planning terms. Planning obligations must be drafted so as to comply with Section 106 (1) of the *Town and Country Planning Act 1990* and may therefore only:

- (a) restrict the development or use of the land in any specified way;
- (b) require specified operations or activities to be carried out in, on, under or over the land;
- (c) require the land to be used in any specified way; or
- (d) require a sum or sums to be paid to the authority on a specified date or dates or periodically.

10.5 Thus certain positively worded covenants, such as ‘The Developer shall submit a draft travel plan to the Council for its approval’, may not be effective if they are outside the scope of the four types of obligation permitted by Section 106(1). However, conditions are

not constrained in the same way and a similarly worded condition can be legally effective – although there may be other reasons why planning obligations should be preferred over conditions (see below). Experience shows that it may often be the case that planning obligations concerning travel plans will have to be worded negatively. Appendix F and G include indicative wording that amplifies on this point.

**NEGATIVE WORDING OF PLANNING OBLIGATIONS IS
GENERALLY MORE EFFECTIVE, E.G.**

‘Development shall not be commenced until a travel plan has been submitted to and approved in writing by the Council’.

- 10.6 Conditions can never be used to secure payments of money. Section 106 provides that planning obligations can secure payment of money but only to the local planning authority. Payments to third parties, e.g. public transport operators, can in practice be secured by requiring payment to be made to the local planning authority and the authority agreeing to pass the payment on to the third party. Alternatively an obligation to pay a specified sum to the authority can be made conditional on the developer failing to pay the equivalent sum direct to the third party. One example relates to the securing of a shuttle bus or works bus (see box below) and another example is the securing of a travel plan coordinator as indicated in Appendix H.

EXAMPLE OF CONDITIONAL FINANCIAL PLANNING OBLIGATION

The Developer shall pay to the Council the sum of £[] index linked (the ‘Bus Payment’) on the anniversary hereof for the following [10] years unless in the 12 months preceding the date hereof it shall have provided or procured the Shuttle Bus/Works Bus Service.

The Bus Payment shall not be spent otherwise than upon the provision or procurement of the Shuttle Bus/Works Bus Service.

- 10.7 Legal agreements can also be made subject to section 278 of the Highways Act 1980 as amended. Such agreements can provide for payments of money to a highway authority proposing to execute any works that they are authorised to do by or under any enactment to execute.
- 10.8 Experience tends to suggest that if travel plans follow the ‘minimalist’ approach (see paragraph 10.12) planning conditions can be sufficient. It tends to become more appropriate to use planning obligations the more elaborate the travel plan becomes or the more rigorous the requirements of the travel plan. Travel plans following the ‘outcomes’ approach (see paragraph 10.25) will almost invariably have to be secured by means of a planning obligation.
- 10.9 This chapter and the associated Appendices F, G and H aim to provide suggestions for phrasing some key conditions and planning obligations. Independent legal advice needs to be sought when drafting such documents as detailed wording would need to be tailored to each individual case and the local authority must be satisfied that all the other factors are in place to support the precise wording of any condition or planning obligation.

Approaches for securing the travel plan

- 10.10 Potential approaches for securing the travel plan can be broadly grouped into three categories, as set out below and summarised in Table 2. The ‘measures’ and ‘outcomes’ categories indicate the emphasis of the approach but are not suggested as being mutually exclusive.
- A ‘minimalist’ approach where a travel plan is required as a standard condition, similar to a condition for landscaping, as part of the overall practice of the authority;
 - A ‘measures’ approach which specifies implementation of particular measures, which can be backed-up by identified remedies /sanctions (i.e. additional measures or related payments) in the event targets or outcomes are not achieved;
 - An ‘outcomes’ approach that specifies outcomes or targets that can also be strengthened with sanctions if these are not met. (The setting of targets is covered in chapter 9 above).
- 10.11 The inclusion of specified remedies and sanctions facilitates enforcement, as discussed in detail in chapter 11.

Table 2: SUMMARY OF APPROACHES TO SECURING TRAVEL PLANS

Approach	Likely scale/land use of proposal	Travel characteristics of proposal	What to measure (basis of enforcement)	How to secure	Other relevant factors
MINIMALIST	Small scale; Not complex; Known end-user.	Minimal relative travel impact; Where part of an overall approach to raise awareness of non-car modes of access.	Compliance with condition.	Condition.	May rely on third parties e.g. Company TravelWise or similar to follow through.
MEASURES	Office schemes in inner urban and edge-of-centre areas; Known end-users; Smaller schemes contributing to cumulative impact; Hospitals; Schools and other known end-users.	Where modest modal shift acceptable; Where difficult to influence travel behaviour; Where high confidence that measures will achieve modal shift targets. (With remedies) Where high peaks of traffic generation and a substantial modal shift required; Where effectiveness of travel plan depends on particular measure e.g. car parking restraints.	Compliance with condition/section 106 obligation; Plus verified implementation of specified measures; Can also incorporate outcomes/targets.	Possibly simple condition but more likely a section 106 obligation; Plus condition/section 106 obligation securing specific key elements. (With remedies) Generally section 106 obligation; Plus incorporate remedies if measures are not implemented and/or outcomes/targets not achieved.*	Travel plan may be prepared in partnership between local planning authority and applicant, or solely by the applicant. Would be suitable for evaluation tool to indicate likely outcomes.
OUTCOMES	Large retail or leisure; Mixed/use and multi-occupied; Hospitals; Schools; Large office schemes in edge-of-centre or rural locations	Where travel patterns unknown (e.g. speculative schemes) or changeable; Where overspill car parking an issue; Where low confidence in the effectiveness of measures. (With sanctions) Where the achievement of outcomes/targets is a factor in the acceptability of the proposed use.	Achievement of specified outcomes/targets e.g. level of observed car parking, modal shift. Verified implementation of any measures also included.	Generally section 106 obligation. (With sanctions) As above, plus incorporate sanctions if outcomes/targets are not achieved.*	Involves integration of targets/outcomes and monitoring arrangements; May include measures; Generally more flexible.

*If remedies/sanctions are financial, section 106 appropriate

Minimalist approach

10.12 This approach may be appropriate where:

- The application is small scale, not complex, or for a known end user;
- The transport implications are not substantial but important;
- It is part of an overall approach to raise awareness of non-car modes of access; and/or
- The local authority establishes a TravelWise Company.

CASE STUDY: MINIMALIST APPROACH

Company TravelWise in Birmingham

Birmingham requires, through a planning condition, all applicants for all uses, except residential, where the proposal will result in 50+ employees to join their Company TravelWise scheme. This entails the company pledging to promote sustainable transport and undertaking a package of measures jointly evolved with Company TravelWise in return for which substantial public transport benefits are provided. A 10% reduction in car use was the aim, though not specified in the condition.

The Company TravelWise in Birmingham is well established, with the local authority, passenger transport executive and transport operators as partners, providing a support network, in Spring 2002, for about 70 voluntary and 100 planning-led travel packages that encourage businesses to move away from car dependency. This particular form of scheme and the way it is operated appears unique but effective.

A travel plan co-ordinator monitors and works in partnership with the company on a long-term basis to promote sustainable transport, including encouragement and support for use of public transport, and elements of a travel plan.

10.13 This approach involves a simple condition relating to a travel plan as a standard condition (like landscape and other conditions) as part of the overall practice of the authority. There are no specific travel plan requirements (except for any other condition that may relate to sustainable transport) or inclusion of sanctions in the event of default. The example of Birmingham uses a unique condition related to the Birmingham Company TravelWise scheme.

10.14 Once the condition has been satisfied and the travel plan submitted and approved, the authority is not in a position to ensure that the travel plan is effectively implemented or adjusted for changes in travel conditions or occupation where a further planning permission is not required.

10.15 The effectiveness of this approach relies on the attitude of the developer and positive participation and encouragement by the local authority and/or active involvement by third parties such as public transport operators. This mechanism has the greatest risk of being ineffective but is the quickest to put into effect by the local planning authority and can be relevant in many situations.

Measures approach

- 10.16 A more effective approach in many circumstances is embodied in what can be termed the **measures** approach wherein the overall commitment to a travel plan is accompanied by a commitment to key elements of the travel plan. These could range from car parking management and physical works such as cycle routes and parking, to a travel plan co-ordinator, the provision of public transport improvements or a shuttle-bus.
- 10.17 By identifying measures at the time of determination (even if they take place five years hence) the applicant is given more certainty, though the local authority implicitly accepts that the measures may not fully achieve any of the desired modal split or modal shift outcomes.
- 10.18 However, as confidence grows as to the likely effectiveness of particular measures/packages of measures, this approach will offer greater reliability where these measures are agreed in predictable circumstances.
- 10.19 The reference to a travel plan in the condition or section 106 obligation could list one or more specific measures that have some special status and/or are of key importance (see Appendix F).

CASE STUDY: MEASURES APPROACH (WITHOUT REMEDIES)

Regent's Place – Camden

The London Borough of Camden required a travel plan as part of a staged process for a large multi-use complex including initially a known end-user and subsequently part speculative development. The developers, British Land, submitted a travel plan including a wide range of actions/measures, which was approved and is now implemented.

The travel plan was secured through a section 106 agreement, though transport improvements and financial contributions were outside the travel plan. The travel plan was secured largely through 'best endeavours', with the emphasis on developing a long-term partnership approach to improving sustainable access to the site.

Although initially the applicant was concerned about the impact on tenants, responsibilities were established through the section 106 for the overall site management company as well as individual occupiers. The management company has established an overall package of published and real time transport information, parking control and a travel forum. Together with occupiers they monitor effectiveness. Success appears to be related to the pro-active approach of Camden and the active involvement of the company travel plan co-ordinator.

- 10.20 Where it is necessary for particular measures to be implemented before occupation of the development, the agreed travel plan would need to be defined and drafted so that it (or specified elements of it) can be implemented before occupation and it is clear when implementation has been achieved (as this determines the ability to occupy the development). Alternatively the travel plan could be implemented in accordance with an agreed timetable. It is unlikely that a condition would be practicable except in very simple cases.

- 10.21 If a condition is not appropriate to secure the travel plan, a section 106 planning obligation could commit the applicant to implement the travel plan in accordance with an agreed timetable as set out in a schedule. It could also be augmented as mentioned above to limit car parking.
- 10.22 There will be cases where, even in the case of a known occupier, the travel plan has not been fully agreed at the time of determination for a variety of reasons. In this case another stage needs to be introduced prior to the clause on implementation, and the wording for implementation needs to be amended, as set out in Appendix F. As mentioned in chapter 9, a deferred submission of the travel plan detracts from the local authority's ability to secure certain elements. It also risks a delay in the travel plan implementation that may allow a pattern of car use to become established in new developments.
- 10.23 The **measures** approach can be augmented by a condition or section 106 obligation to limit or control car parking, which enhances the potential effectiveness by introducing an element of self-enforcement. The approach can also be strengthened by the requirement for annual reviews/monitoring that will identify whether the package of measures is 'successful' in relation to agreed targets or outcomes.
- 10.24 The **measures** approach is most effective where reviews/monitoring are directly linked with agreed targets or outcomes **and** where failure to meet the targets/outcomes must be remedied by the owner/tenant. This may be achieved through a section 106 agreement by requirements for further specified actions and/or payments to pursue additional defined measures (e.g. a controlled parking zone to limit off-site parking) that may be more effective. In cases where the achievement of outcomes is crucial to the acceptability of the proposal, bonds may be appropriate to secure funding in advance for the anticipated costs of agreed remedies.

Outcomes approach

- 10.25 There may be situations where measures (with or without remedies) might appear an appropriate approach but there may be low confidence in the effectiveness of measures due to, for example, changing circumstances or lack of information about variables. In this case it may be preferable to use the **outcomes** approach, allowing for flexibility in the choice of measures. Similarly, if securing particular measures proves to be difficult (e.g. the public transport operator is unwilling to commit) the **outcomes** approach may allow the investigation of other solutions to achieve a modal shift or modal split target.
- 10.26 In the **outcomes** approach the focus is on securing the performance of the travel plan e.g. ensuring that modal split targets are met or other specified outcome related to travel mode change. In this case the applicant/developer is required to commit to achieving specified targets/outcomes and agrees to sanctions being applied if the targets are not met. The form of possible sanctions is considered in chapter 11.
- 10.27 While this approach avoids the need to judge in advance whether or not a package of measures will achieve a specified target or other outcome, the emphasis on the target requires that its calculation must be based on sound data and reasonable assumptions. Similarly, the sanctions need to be justified and proportionate. Where there is confidence in the targets and sanctions, this approach holds the greatest potential for ensuring an effective travel plan, though 'measures with remedies' may offer the best combination of certainty and effectiveness.

CASE STUDY: OUTCOMES APPROACH (WITH SANCTIONS)

Howbery Park – Oxfordshire

Oxfordshire County Council raised concerns over the level of car trip generation associated with the speculative and phased expansion and development (three new B1 buildings) of an ex-government research station located in a rural area. The travel plan was crucial to the acceptability of the scheme.

A section 106 agreement between all parties secured a number of travel plan measures including parking limits, a shuttle-bus and cycle/pedestrian facilities, but focused on outcomes by setting out targets. Agreed targets specified a 20% reduction in the proportion of drivers to overall 'person trips' over five years (monitored at two stages). Scaled payments at both monitoring stages are specified in the section 106 agreement to relate to the degree of success in achieving targets, with no payment if the target is achieved.

The developer contributed to the cost of monitoring.

- 10.28 In the **outcomes** approach some measures will be agreed and secured, but the applicant may 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 targets. This makes it suitable for multi-occupied sites 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 – while also reasonable – to provide an incentive. Chapter 11 covers some of the issues involved in setting modal split (or similar) targets and sanctions realistically.
- 10.29 It is more difficult to suggest generalised mechanisms for this approach as there is less experience of its use and it is likely to be somewhat more complicated to devise, normally involving a set of obligations within a section 106 agreement.

Speculative development, multi-occupation and future occupiers

- 10.30 Any of the above approaches and their variations may be used in cases where the future occupier is unknown or may change, or where several different occupiers (unknown and known) occupy a development. However, additional conditions/planning obligations may be required to take on board the need for a staged process and to clarify responsibilities if more than one travel plan is operating on the same site. The stages involve:
- A preliminary or interim travel plan agreed before the planning application is determined, to specify measures to be implemented before development and occupation as far as possible and includes a framework and timetable for the final travel plan;
 - A final travel plan prepared and implemented soon after occupation but in accordance with the framework, based on surveys of the operating development.

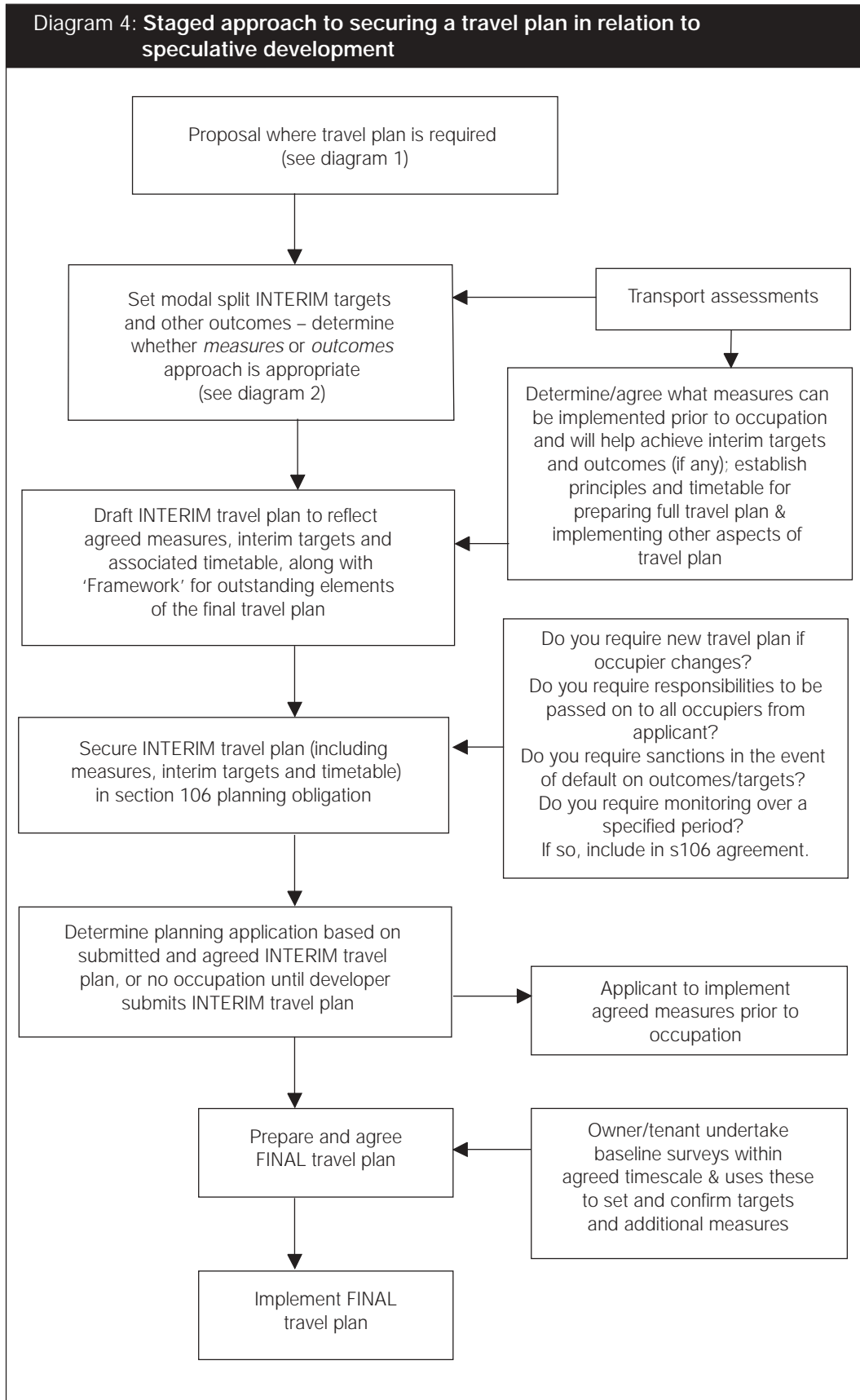
- 10.31 The preliminary or interim travel plan sets out all travel plan commitments that are **not** dependent on a survey of the occupiers' employees /visitors/ deliveries and which can be implemented before development (e.g. infrastructure) and/or before occupation. The latter may include car parking spaces, public transport improvements, shuttle buses to other public transport facilities, cycling and pedestrian facilities including those in the buildings such as changing and shower areas, interim modal split targets, monitoring and review arrangements. The interim travel plan would also include a framework specification to guide the content and timetable for carrying out surveys and preparing the final travel plan.
- 10.32 There is scope for the inclusion of interim modal split targets in the interim travel plan, to give greater certainty to all parties and to minimise disagreements when the final travel plan is submitted. There is an increasing 'pool' of available information on which to base interim targets, which could later be augmented by travel surveys:
- The local authority's policy on mode targets and car parking;
 - Travel characteristics of similar organisations in similar locations;
 - Experience of travel plans in similar organisations/locations;
 - Transport assessments.
- 10.33 The agreement of a final travel plan with the initial occupier, based on the framework specification, would be undertaken as soon as possible after occupation but generally no later than six months. It would focus on detailed elements derived from surveys and other base data and include confirmation of targets and outcomes. Immediate (e.g. within three months of approval) implementation of any further measures maximises their effectiveness. Appendix G sets out an approach to section 106 obligations that might provide the basis for securing travel plans in these cases.
- 10.34 Where the staged approach is adopted it is important that as many details as possible are agreed within the interim travel plan. This will help set the context for the final travel plan (submitted at a later stage) and will help reduce the likelihood of disagreements. Similarly, research has shown that travel plans are most effective when measures are in place **before** employees move to the site, so that sustainable travel choices are easier to make from the outset, and therefore the mechanism must ensure as much as possible is in place before occupation.
- 10.35 Where a **measures** approach has been taken and where it is anticipated that future occupiers will have quite different travel characteristics, a new travel plan could be required for each new occupier. A section 106 agreement will usually be required; an example of indicative wording is included in Appendix G.

CASE STUDY: SPECULATIVE DEVELOPMENTS*Chineham Business Park – Basingstoke and Deane*

Basingstoke and Deane Borough Council applied the staged approach at Chineham Business Park, a large-scale speculative development comprising three office blocks. The travel plan was secured through a section 106 agreement. Initially a 'preliminary' travel plan statement was agreed prior to the commencement of development, with a view that a more detailed plan would be produced six months after first occupation of the buildings.

The statement was required to address local transport problems; set out objectives for achievement and promotion of public transport; and include a timetable and work programme for the production and development of a detailed travel plan. Specific measures included the provision of a shuttle bus service to Basingstoke Rail Station, management of car share programmes, promotion of teleworking amongst tenants, and provision for increased walking and cycling to the site. Procedures for implementing, monitoring, reviewing and updating measures are established.

- 10.36 In cases where there are a number of separate occupiers of a different nature there is likely to be the need for a 'nesting' of travel plans – an 'umbrella' travel plan for the entire site administered by an agent of the developer/site manager, and a requirement for each occupier and new occupiers to prepare and implement subsidiary travel plans as appropriate to their particular use and travel characteristics.



Effective legal mechanisms for aspects of the travel plan

10.37 Within these broad approaches there may be the need to secure elements of the travel plan through a specific legal reference over and above any reference to a travel plan. This chapter aims to set out some criteria, indicating which may be most effective and considering some of the issues raised within the current legislative framework.

10.38 In the most straightforward cases it may be established that only conditions are to be used to secure the travel plan and its elements. A decision needs to be made as to whether any travel plan element might be best:

- Specifically mentioned in a separate condition, along the lines outlined in PPG13 (paragraph 82) – the most effective mechanism; or
- Specifically mentioned in the condition referring to the travel plan.

A more explicit reference in the condition will add certainty as to what is required and therefore should be considered in relation to key elements of the travel plan if they are not separately conditioned.

10.39 Where it is intended to secure some of the travel plan elements through a planning agreement, a decision will need to be taken as to the most effective mechanism for particular elements of the travel plan:

- *Condition*: including those items listed in PPG13, paragraph 82, though in some circumstances inclusion as a section 106 agreement could be more effective; or
- *Separate section 106 reference*: most effective for absolute limitations and targets, specific ‘one-off’ financial contributions, measures with significant ongoing financial implications, commitments involving third parties.

10.40 Conditions and planning obligations are constrained as outlined in paragraphs 10.1 to 10.6 above. As a general rule central government guidance advises that if there is a choice between imposing conditions and entering into a planning obligation, the imposition of a condition is preferable because it allows an appeal to be made (DoE Circular 1/97, *Planning obligations*).

10.41 Table 3 suggests options *in general terms* for appropriate and effective mechanisms that secure specific aspects of the travel plan. There will be some that cannot be secured through the planning system, such as financial incentives to individuals. The table also highlights issues to take into account when determining whether to use a planning condition or section 106 agreement. The detail must derive from a careful judgement of the proportionality and relationship to the specific proposal. It will often be the case that planning obligations concerning travel plans will have to be worded negatively in order to meet the tests set out in legislation. Suggested phrasing has been included in Appendix H for several travel plan elements that have been highlighted in this and other guidance as potentially effective.

10.42 As discussed in paragraph 9.10 above, it is desirable in relation to possible enforcement to have an overarching document that contains all the travel plan and related measures

(however secured) that contribute to achieving sustainable access to the site. This document could indicate, along with other information such as timescales and responsibilities, how each element is secured (or not) through the planning system.

Table 3: Legal mechanisms for securing specific travel plan elements

Travel plan element	Condition	Planning obligation
Appointment of a travel plan co-ordinator	Unlikely to be suitable	Suitable, if negative. (See example in Appendix H)
Major contributions to public transport infrastructure	Unlikely to be suitable	Suitable
Park and ride contributions	Unlikely to be suitable	Suitable
Cycling infrastructure	If small in scale and on-site e.g. cycle routes, parking and changing facilities	Suitable
Bicycle club/user group	Unlikely to be suitable	Unlikely to be suitable
Pedestrian infrastructure	If small in scale and on-site e.g. safe routes	Suitable
Providing (private) works bus or shuttle to station	Unsuitable	Suitable – see example in Appendix H
Financing extra or enhanced public transport service	Unlikely to be suitable	Through payments to the council
Subsidised fares/discounts	Unlikely to be suitable	Unlikely to be suitable if involves positive obligation to provide payments to employees on the site
Car parking provision, including no. of spaces, size and those for disabled people	Suitable	Suitable
Car parking zone	Unlikely to be suitable	Suitable e.g. payments of costs
Management of car parking spaces	Possibly, where physical measures can be specified as part of the scheme	Suitable
Working practices e.g. teleworking	Unlikely to be suitable	Unlikely to be suitable
Car sharing	No, except for establishment of data base	Unlikely to be suitable
Promotion/marketing of non-car modes of transport	Unlikely to be suitable	Unlikely to be suitable
Publication of public transport information	Possibly	Suitable
Incorporation of bonds	Unlikely to be suitable	Suitable – amounts to relate to defined costs of remedies
Requirement for payments if targets not met or travel plan not implemented	Unlikely to be suitable	Suitable – payments specified and relate to enhancement of sustainable transport; clarify timetable for meeting targets
Monitoring and review	Possibly	Suitable – see Appendix H
Contribution to setting up travel plan forum	Unlikely to be suitable	Suitable
Commitment to carry out surveys/collect other data	Unlikely to be suitable	Suitable if linked to financial payments in case of default in carrying out the survey

CHAPTER 11

Monitoring and enforcement

- 11.1 For the integrity of the travel plan process to be secured, it is essential that the implementation of the process be monitored and that, should any failure to achieve agreed levels of implementation be identified, the means should be available to enforce implementation. The enforcement mechanisms available should ideally be such as to ensure that the agreed implementation occurs without the need to resort to actual enforcement action.

Monitoring

- 11.2 Monitoring of the travel plan over time allows its effectiveness – as measured against defined indicators – to be assessed. Defined indicators might include:
- Vehicle trip reduction;
 - Single occupancy vehicle trip reduction;
 - Increase in modal share or change in modal split (or degree of modal shift) between travel modes;
 - Level of car parking on site;
 - Level of car parking (resulting from the development) in surrounding areas.
- 11.3 The purpose of monitoring may include one or more of the following objectives:
- To ensure that the development accords with the terms of the planning permission; and/or
 - To measure the effectiveness of travel plan, and to ensure it remains relevant over time; and/or
 - To facilitate enforcement action where outcomes/targets are not achieved.
- 11.4 Although the concept of monitoring seems straightforward and often a travel plan requirement, with considerable guidance on monitoring available⁹ recent research in the UK^{3, 5} has shown that there is a dearth of experience on monitoring the effectiveness of the travel plan. It may not be carried out at all or it is done in a way that does not allow an assessment of effectiveness to be made. For this reason it has been suggested in chapter 10 that conditions and planning obligations need to include greater detail of monitoring requirements and arrangements, with emphasis on:
- Clarity and consistency as to the indicator used;

- Ensuring repeat surveys that are comparable;
 - Avoiding distorted figures;
 - Ability to relate cars parked to staff counts; and
 - Ways of verifying data.
- 11.5 Whether carried out by the developer/occupier, local authority or an independent consultant, the planning process (through condition and planning obligations) will need to specify:
- What will be measured;
 - When and how it will be measured;
 - Who will undertake the work/bear the cost; and
 - What will be done with the data.
- 11.6 There is scope for greater co-ordination and partnership between businesses and local authorities concerning monitoring arrangements, including the use of shared resources, technical support, and information.
- 11.7 The need for monitoring flows from the need for a travel plan and many local authorities place responsibility for monitoring on the developer. Nevertheless, it may not always be desirable to rely on the applicant's data, perhaps because it is collected for some other purpose, is difficult to compare over time, or it is not sufficiently robust where sanctions or remedies have been specified. Ways to overcome this include:
- Agreement that the applicant /developer contribute finance for, say, five years for local authority or independent monitoring arrangements (indicative wording is included in Appendix H);
 - Agreement that the applicant /developer meet the costs of an independent validation of the developer's data using a mutually acceptable consultant.

What to monitor?

- 11.8 One aspect of monitoring tracks compliance with conditions or planning obligations, often as part of a system that would apply to any planning consent. In relation to travel plans it may be difficult to establish whether compliance has taken place, particularly where trip reduction/modal share indicators are involved. In the latter cases monitoring initially involves the collection of base data to provide a baseline against which future monitoring data can be compared, and then regular collection of comparable data over an agreed time period to measure the change in defined indicators.
- 11.9 Outcomes such as observed levels of car parking are commonly part of travel plans. Although numbers of cars may be relatively easy to measure, care should be taken to ensure that data can be broken down into categories such as single occupancy commuter cars, shared occupancy commuter cars and visitors' cars. Where counting cars off-site there is likely to be a need for a means of verifying that the vehicle is connected to the use of the development site.

- 11.10 Where targets have been specified, monitoring needs to be related to the targets or outcomes identified. Monitoring is the only reliable method for establishing whether a travel plan is effectively achieving its objectives – if outcomes are not rigorously checked the travel plan may become nothing more than a token.

How to monitor

- 11.11 Generally speaking, monitoring information should seek to be:
- Objective;
 - Accurate;
 - Comparable (both with previous monitoring of that travel plan and with monitoring of other travel plans);
 - Related to regular time periods, with monitoring/review dates set from the beginning;
 - Widely available.
- 11.12 Monitoring arrangements, for a specific travel plan, should ensure the acquisition of all relevant data needed to determine whether the specific plan is being appropriately implemented. Such data might normally be expected to include (as a minimum requirement):
- Numbers and availability of car parking spaces:
 - On-site;
 - In adjacent local area.
 - Numbers of person-trips to/from the site:
 - In single occupancy vehicle;
 - By travel mode;
 - By time of day;
 - By journey purpose.

Review

- 11.13 Monitoring information allows the travel plan to be reviewed in terms of its effectiveness, as travel plans generally need to evolve over time as circumstances change. Monitoring information also allows for the review of travel plan policies and their revision in light of actual performance.

- 11.14 As part of any review of the implementation of measures, an estimate will need to be made of how far the implemented measures have contributed to the achievement of the modal split or modal shift targets, which the measures were originally intended to achieve. The outcome of the review would be a key input to developing and setting future modal split or shift targets. Use of the recently developed evaluation tool (see page 30 above) might also assist in the review process.

Enforcement and sanctions

- 11.15 Targets/outcomes, and/or agreed measures to achieve outcomes, may be specified with or without sanctions. If without sanctions, there may be little incentive (other than benefits perceived by the applicant) for fully implementing an agreed travel plan, and enforcement may be difficult and costly.
- 11.16 Sanctions ensure that any failure to deliver agreed measures and/or outcomes can be remedied; but they should not be seen as a penalty. Sanctions can take a number of forms:
- Payments to the local authority to implement previously agreed measures;
 - Specified works that are expected to remedy the failure to achieve agreed outcomes e.g. reduction of car parking spaces;
 - Specified payment to the local authority to meet the cost of taking action to achieve the agreed outcome e.g. the implementation of a car parking zone around the development; and/or
 - Specified change in the way the site/development is used in order to achieve previously agreed outcomes e.g. the prevention of occupation of part of the development until a specified element of the travel plan has been implemented.
- 11.17 Inclusion of sanctions also provides an incentive to the applicant to achieve the agreed outcomes. As mentioned in chapter 10 above, one local authority has introduced two sets of targets with associated sanctions (one at three years and one at five years) to avoid an 'all or nothing' situation at five years and encourage early implementation of the travel plan measures.
- 11.18 However, the scale of any sanction must meet the tests for a planning obligation contained in circular 1/97, and therefore the choice of sanctions or calculation of payments may be a critical issue. The key to a reasonable sanction is that it is related to the scale of the failure in performance, its degree of importance to the acceptability of the application (suggesting a sliding scale of sanctions) and to the nature of the remedy necessary to meet the target.
- 11.19 Where payments are included in legal documentation, these should relate to the costs of physical works, remedial action or to the costs of improved provision of public transport services. Where other sanctions are included, quantifiable evidence of their likely benefits should support the level of sanction. For example, if further reductions in car parking spaces are the sanction, the number of spaces lost needs to be related to the likely percentage reduction of car trips.

- 11.20 Where payments are included as sanctions (or the sanctions provide for additional works that will cost an identified amount), there is the possibility of securing the monies ‘up-front’ in the form of returnable bonds. The bond mechanism is complicated, both legally and in terms of administration, and in relation to this particular field, untested. It is suggested, therefore, that bonds should only be used, if they can be achieved, where there is a high likelihood that targets will not be met, and where the non-achievement of the target (or non-compliance with limits or measures) will result in unacceptable consequences for the transport network and an unacceptable initial application without an effective travel plan.

Overall enforceability

- 11.21 Sanctions contribute to the ability to enforce but other factors – as outlined in previous sections – are also important:
- Explicit policy and guidance on travel plan requirements;
 - A comprehensive travel plan that shows how effectiveness is likely to be achieved in relation to the specific site;
 - Technical rigour, for example in setting targets and outcomes.

KEY ASPECTS OF SUCCESS

- Establishing an effective and up to date database;
- Ensuring an explicit monitoring framework and associated resources;
- Building in a review process based on monitoring;
- Justifying sanctions clearly;
- Linking payments to the achievement of agreed outcomes;
- Supporting the planning process with clear policy, technical rigour, evidence that the travel plan will be effective and, in some cases, sanctions.

CHAPTER 12

How to move forward

- 12.1 Many local authorities will already be employing elements of this guidance and many will have instituted changes in order to make better use of the planning system in securing travel plans. Whatever stage an authority is at, there is likely to be room for improvement.
- 12.2 It is clear from the research undertaken⁴ that there is considerable scope for more effective use of the planning process in securing travel plans, particularly in terms of increasing the number of authorities actively engaged. This guidance should provide a useful tool to guide a review of current practice and identify weaknesses as well as help other authorities initiate action.
- 12.3 As an initial step all authorities should review how far their current practices reflect best practice. The following key questions should be considered:
- The degree of importance of changing travel patterns and behaviour in the local authority area?
 - Is the approach to the securing of travel plans pro-active and how can it be more so?
 - Are transport and planning policies and plans explicit in the need for and the specific requirement of travel plans – are they consistent?
 - Have the requirements of the authority been made clear and explicit publicly?
 - Are the systems and procedures in place that ensure that applicants and all relevant officers understand what should happen and can effectively implement the policy?
 - Are the resources in terms of skills and information available to ensure effective action?
 - Have effective communications been established with relevant external agencies e.g. other local authorities, transport operators?
 - Have monitoring and review mechanisms been established?
- 12.4 Given the policy set out in PPG 13 all authorities should be currently taking action to address this issue. Priority should be given to establishing effective policies and procedures in relation to the major applications where the transport assessment indicates a requirement for a travel plan to address multi-modal access to the site.
- 12.5 In areas of economic problems and social deprivation the securing of travel plans can aid the improvement of access by non-car modes and a partnership approach may be appropriate. In areas of economic buoyancy the priority is likely to be again addressing access by non-car modes but also in order to reduce the pressure on the road network.

- 12.6 Critical to success will be ownership by members and officers of the policy and practice. Training for both is likely to be crucial in developing this understanding and ownership as well as ensuring the right skills are available. This training will also need to be kept up-to-date as the field is developing fast.
- 12.7 Sound information on the current problems, the impact of travel plans implemented so far and good monitoring information over time on effectiveness will greatly assist members, officers, applicants and occupiers to see the rationale and benefits of actively pursuing the requirement and provision of travel plans. It will also provide an effective response to any challenge to the process.

APPENDIX A

Summary of research findings

The study⁴ was carried out in late 2001 and involved desktop research of earlier studies, a review of the legislation, an initial questionnaire survey of 174 local authorities, and an in-depth study of ten case study authorities – Basingstoke and Deane Borough Council, Birmingham City Council, Bristol City Council, London Borough of Camden, Eastleigh Borough Council, Lancashire County Council, Oxfordshire County Council, Sheffield City Council, Stoke-on-Trent City Council, and Surrey County Council.

The initial survey research identified a considerable variation in the use of the planning system, but overall a very limited range of experience. Of the responses 76% of authorities had experience of 10 or less travel plans, the majority were in relation to known-end user applications. Most authorities used the floorspace thresholds contained in PPG 13 although some had adopted more stringent levels using other factors. The key barriers highlighted were the availability of relevant information and resources.

Travel plans had been developed covering most land uses but only to a very limited extent for residential. Most travel plans included only some elements of managing access to the site excluding particularly matters involving financial contributions. Views were split over whether to use section 106 or planning conditions to secure travel plans. The majority of authorities used a combination of both for different elements of a package of measures both within and outside a defined travel plan. Fewer than half had specific policies relating to travel plans and only 25% had produced relevant supplementary guidance.

The ten case study authorities were selected to cover a range of different types of authorities, localities and experience. This research, involving interviews with local authorities, transport operators, developers and occupiers, confirmed that experience was still limited, and few travel plans had been in operation long enough to reach firm conclusions about their effectiveness, particularly around identifying targets, the monitoring process and enforcement. Nevertheless, they provided substantial information on authorities' practical experience of the different approaches used, the problems experienced and examples of best practice. The research has identified the areas crucial to the success of travel plans and best practice.

A number of key legal issues arose from the study – which legal mechanism is best for the purposes of a travel plan; whether all elements of an effective travel plan can be secured within the legal framework; whether different travel plan measures should be secured by separate planning conditions and section 106 agreements; how to identify targets; how to take account of matters such as multi-occupancy, phased schemes, and successor occupiers; and how to secure effective financial sanctions and enforcement.

The other main issues that arose were – the effectiveness of this process in achieving the overall objectives of PPG 13; the efficiency of current policies, processes and practises; the enforceability of the actions and procedures; and where the responsibilities should lie. Current practice demonstrated cautiousness in the use of modal split targets and sanctions,

and inadequate arrangements for monitoring and review. This partly related to the desire to work in partnership with applicants.

From the research, there is growing acceptance of the legitimacy of using travel plans to manage multi-modal access to sites. But different approaches are needed related to both the size and complexity of the application, and how critical the travel plan is to the application and transport objectives. Both planning conditions and legal agreements can be appropriate depending on the total travel plan package. The key to an effective travel plan is a combination of carrot and stick – clear objectives, control of car parking, improved non-car access, and monitoring and financial sanctions in relation to targets. So far travel plans delivered through the planning process do not appear to have effectively covered all these elements.

Clarity of objectives of the travel plan was critical. Authorities that had stated clearly and publicly their policy objectives and had good internal and cross authority liaison appeared to have had most success in developing satisfactory travel plans. There was limited progress in judging the effectiveness or likely effectiveness of travel plans partly resulting from inadequate monitoring processes, but also due to the absence of evaluation techniques and the limited time travel plans have been operating.

The case study authorities used both conditions and section 106 agreements to secure travel plans but the preference was for section 106. There was general acceptance of the need to use legal agreements where developments were large, complex or speculative and where there was a desire to proceed on a partnership basis. Planning conditions seemed to be more suited to smaller and simpler schemes. Both raised the issue of enforcement and how to ensure the measures are implemented in the event of non-compliance.

From the private sector perspective the key issues were consistency, the availability of local authority requirements in advance of submitting an application and efficiency in determination. The key elements of efficiency included clear relationships between different levels of authorities, provision of advice, publication of policies, standard conditions and agreements, implementation of a development team approach for complex applications, and explicit linkages with transport objectives and transport assessments.

The research report and appendices are obtainable free from the Department for Transport, or can be viewed at www.local-transport.dft.gov.uk/travelplans/index.htm

APPENDIX B

Other guidance and key references

1. *Guidance on Full Local Transport Plans*, Department of the Environment, Transport and the Regions, March 2000
2. *Planning Policy Guidance Note 13 (PPG 13) on Transport*, Department of the Environment, Transport and the Regions, March 2001
3. *Take-up and Effectiveness of Travel Plans and Travel Awareness Campaigns*, Department of the Environment, Transport and the Regions, 2001
4. *Using the planning process to secure travel plans Research Report and Appendices to research report*, Office of the Deputy Prime Minister and Department for Transport, July 2002
5. *Making travel plans work; Research Report*, Department for Transport, July 2002
6. *Transport Assessment: A Good Practice Guide for Development Proposals*, Office of the Deputy Prime Minister (2002, forthcoming)
7. *Workplace travel plan evaluation tool – Guidance on the assessment of travel plans*, Department for Transport, July 2002
8. *A Guide to Development Related Travel Plans*, Surrey County Council, 2002
9. *A travel plan resource pack for employers*, Energy Efficiency Best Practice Programme, 2000. (Available free from AEA Technology tel: 0800 585794.) (Due to be updated in 2002)
10. *Schools travel strategies and plans – a case studies report*, Department of the Environment, Transport and the Regions, 1999
11. *School Travel Resource Pack*, Department for Transport, Local Government and the Regions, updated 2001
12. *A safer journey to school*, Transport 2000, 1999 (Available free from DfES tel: 0845 602 2260)
13. *Schools travel strategies and plans – a best practice guide for local authorities*, Department of the Environment, Transport and the Regions, 1999
14. *Travel Plans. A Guide for Developers*, General Information Report 84, Energy Efficiency Best Practice Programme, 2001
15. *A guide on how to set up and run travel plan networks*, General Information Report, Energy Efficiency Best Practice Programme, 2001
16. *Department for Transport travel plan web-site:*
www.local-transport.dft.gov.uk/travelplans/index.htm

APPENDIX C

‘Ideal’ travel plan components

Note: The choice of elements must work together as a package – elements and the way they are structured could undermine or increase the success of others. Some may be more effective than others in certain situations. More information is available in documents included in Appendix B.

- **Setting objectives and targets**

Clarify scope and objectives of the travel plan;

Clarify specific, measurable, achievable, realistic and time-bound targets.

- **Measures to promote and facilitate public transport use, including:**

Physical works to provide routes, bus lanes, convenient bus stops, stations etc;

Negotiating with operators to achieve service/route improvements, discounts on tickets and on-site promotion;

Shuttle buses to stations/other key destinations (free, dedicated);

Works buses;

Financial incentives*.

- **Measures to reduce car use**

Car parking restraint, charges and management (e.g. allocation of parking spaces through limited permits);

Restraint on off-site parking where necessary;

Promotion of car sharing (e.g. matching service, guaranteed ride home, priority parking for sharers);

Use of pooled company cars and vans, taxis;

Financial incentives (e.g. for not driving, for giving up a parking space)*.

- **Measures to promote and facilitate cycling**

Safe cycle paths and secure parking;

Bicycle user groups (BUGs);

Pool bikes;

Changing facilities/showers;

Financial incentives (e.g. mileage allowance)*.

- **Measures to promote and facilitate walking**

Improved walking access;

On-site security and pedestrian route improvements.

- **Promotion of practices/facilities that reduce the need for travel**

Flexible working practices e.g. teleworking/ home working;

Local recruitment;

Teleconferencing;

Compressed working week;

On-site facilities for eating, shopping etc.

- **Monitoring and review mechanisms**
Clarify indicators i.e. the elements that will be monitored to assess whether targets have been achieved;
Clarify monitoring and review arrangements.

- **Travel plan co-ordinators and associated support**
Steering groups;
Working groups;
Links to other (e.g. umbrella) travel plans/travel plan forums/TravelWise.

- **Provision of travel information**
Dedicated web site;
Leaflets, site-specific travel information, displays, simplified timetables;
Targeted promotion;
Personalised journey planners.

- **Marketing**
Communication with staff;
Focus groups;
Branding/slogans;
Events.

**Note that financial incentives to individuals cannot be included in a planning agreement for legal reasons.*

APPENDIX D

Indicators for modal change

A number of similar terms are in current use as indicators of modal change. One or more of these may be used to guide travel surveys, as the basis for setting targets and/or for identifying measures to be monitored. However, the mathematical basis for each is different and care needs to be taken in making comparisons as between travel plans and when specifying in guidance and policy documents. In addition, some are more difficult to measure than others and this will affect monitoring arrangements.

MODAL SHARE: the absolute 'share' (expressed as a percentage) or proportion of all person/trips using each mode of transport (e.g. car driver, car passenger, public transport, cycling, walking). This information is usually derived from a travel survey of employees which is needed as a baseline for any travel plan, along with the total number of employees. Where employees and visitors share access/car park, monitoring techniques need to take this into account.

MODAL SPLIT: same as modal share, i.e. the split of all trips as between different transport modes.

MODAL SHIFT: the *change* in modal share for a particular mode of transport, which relates any increase or decrease to overall trips but not to employee numbers.

CAR/EMPLOYEE RATIO: Number of employee cars that travel (commute) to the site for every 100 employees. This takes account of car sharing and allows comparison of the effectiveness of individual measures and with the performance of other travel plans.

CHANGE IN LEVELS OF ONE PARTICULAR TRANSPORT MODE: which may not necessarily represent a change in modal share as the total number of trips or numbers of employees may also have changed. These can be converted into other indicators that take account of these other factors, but are also used on their own.

- **CAR TRIP REDUCTION** (used in relation to car commuting): Often used to refer to reduction in % of car driver trips to and from the site (can include van trips). This could also be used to refer to absolute reduction.
- **SOV TRIP REDUCTION** (used in relation to car commuting): Often used to refer to reduction in % of in single occupancy vehicles accessing the site, though could also be used to refer to absolute reduction.
- **VEHICLE KM TRAVELLED BY EMPLOYEES:** Reflects wider impact of car travel over longer journeys.
- **USE OF PUBLIC TRANSPORT:** Could be given as modal share of public transport or absolute numbers using bus/rail.

APPENDIX E

Extracts from PPG13 Transport

Paragraph 89:

‘The Government considers that travel plans should be submitted alongside planning applications which are likely to have significant transport implications, including those for:

- all major developments comprising jobs, shopping, leisure and services (using the same thresholds as set out in annex D);
- smaller developments comprising jobs, shopping, leisure and services which would generate significant amounts of travel in, or near to, air quality management areas, and in other locations where there are local initiatives or targets set out in the development plan or local transport plan for the reduction of road traffic, or the promotion of public transport, walking and cycling. This particularly applies to offices, industry, health and education uses;
- new and expanded school facilities which should be accompanied by a school travel plan which promotes safe cycle and walking routes, restricts parking and car access at and around schools, and includes on-site changing and cycle storage facilities; and
- where a travel plan would help address a particular local traffic problem associated with a planning application, which might otherwise have to be refused on local traffic grounds.

However, unacceptable development should never be permitted because of the existence of a travel plan.’

ANNEX D: MAXIMUM PARKING STANDARDS

'This table should be read in conjunction with the text on parking in paragraphs 49 to 56.

USE	NATIONAL MAXIMUM PARKING STANDARD 1 space per square metre(m ²) of gross floorspace unless otherwise stated	THRESHOLD FROM AND ABOVE WHICH STANDARD APPLIES (gross floorspace)
Food retail	1 space per 14m ²	1000m ²
Non food retail	1 space per 20m ²	1000m ²
Cinemas and conference facilities	1 space per 5 seats	1000m ²
D2 (other than cinemas, conference facilities and stadia)	1 space per 22m ²	1000m ²
B1 including offices	1 space per 30m ²	2500m ²
Higher and further education	1 space per 2 staff + 1 space per 15 students (see note 1)	2500m ²
Stadia	1 space per 15 seats (see note 2)	1500 seats

NOTES:

1. The standard for students relates to the total number of students attending an educational establishment, rather than full-time equivalent figures.
2. For stadia, sufficient coach parking should be provided to the satisfaction of the local authority and treated separately from car parking. Coach parking should be designed and managed so that it will not be used for car parking.
3. Parking for disabled people should be additional to the maximum parking standards. Development proposals should provide adequate parking for disabled motorists, in terms of numbers and design (see Traffic Advice Leaflet 5/95, Parking for Disabled People).
4. For mixed use development, the gross floorspace given over to each use should be used to calculate the overall total maximum parking figure. For land uses not covered in these standards, the most stringent regional or local standards should apply.'

APPENDIX F

Indicative phrasing for conditions and planning obligations – non-speculative proposals

The detailed texts of the conditions and clauses in Appendices F-H are not necessarily recommended. Rather they are intended to demonstrate some of the general approaches that can be considered when drafting. Independent legal advice should be sought in relation to specific implementation. What follows is for guidance only.

Where the travel plan has been submitted with the planning application and agreed by the local authority:

Condition/section 106 obligation:

No part of the development shall be occupied prior to implementation of the approved travel plan [or implementation of those parts identified in the approved travel plan as capable of being implemented prior to occupation]. Those parts of the approved travel plan that are identified therein as being capable of implementation after occupation shall be implemented in accordance with the timetable contained therein and shall continue to be implemented as long as any part of the development is occupied.

Where the travel plan has not been agreed at the time of determination of the planning application but information for preparing the travel plan is available.

Condition/section 106 obligation:

The development shall not be commenced until a travel plan has been submitted to and approved in writing by the Council, such travel plan to include [list of required elements] together with a timetable for the implementation of each such element.

No part of the development shall be occupied prior to implementation of the Approved Travel Plan [or implementation of those parts identified in the Approved Travel Plan as capable of being implemented prior to occupation]. Those parts of the Approved Travel Plan that are identified therein as being capable of implementation after occupation shall be implemented in accordance with the timetable contained therein and shall continue to be implemented as long as any part of the development is occupied.

This assumes that Approved Travel Plan is a defined term.

Note: May include requirement to inform the Council when development commences.

This assumes that the contents of the travel plan are themselves within the scope of section 106(1) of the Town and Country Planning Act 1990.

APPENDIX G

Indicative approach for planning obligations – speculative proposals

The detailed texts of the conditions and clauses in Appendices F-H are not necessarily recommended. Rather they are intended to demonstrate some of the general approaches that can be considered when drafting. Independent legal advice should be sought in relation to specific implementation. What follows is for guidance only.

Staged approach: adopted because the final travel plan cannot be agreed at the time of determination of the planning application

Planning obligations can achieve a staged process:

- Stage 1: no occupation until developer submits interim travel plan (covering key elements for the final travel plan and proposals for surveys) and the interim plan has been approved by the council
- Stage 2: first occupier carries out surveys within agreed timescale (or makes a financial payment in default)
- Stage 3: submission and approval of final travel plan to agreed timescale
- Stage 4: implementation of final travel plan or financial payment if final travel plan not implemented

Future occupiers

Section 106 obligation:

In the event that the Site is occupied by a New Occupier within [5] years from the date hereof the New Occupier shall pay the sum of £[X] (the 'Sum') to the Council on the second, third, fourth, fifth and sixth anniversaries of the first occupation by the New Occupier unless it shall have submitted a Travel Plan to the Council for its approval and shall have implemented the provisions of the Travel Plan in accordance with the timetable set out therein in the previous 12 month period.

This assumes that the terms Site, New Occupier, Travel Plan, Implemented and Council are all defined elsewhere in the agreement. It also assumes that the obligations in the Travel Plan and the timetable for their compliance are drafted sufficiently precisely for it to be clear whether the obligations have been Implemented.

APPENDIX H

Indicative phrasing for particular travel plan elements

The detailed texts of the conditions and clauses in Appendices F-H are not necessarily recommended. Rather they are intended to demonstrate some of the general approaches than can be considered when drafting. Independent legal advice should be sought in relation to specific implementation. What follows is for guidance only.

Travel plan co-ordinator

The Developer shall pay to the Council the sum of £[] (the ‘Sum’) on the first day of [month] each year for the first [10] years from the date hereof unless by the first day of [2 months preceding the first mentioned month] the Developer has appointed a Travel Plan Co-ordinator and has supplied to the Council written details of the name, office, address and telephone number of the said person.

The Sum shall not be spent otherwise than upon measures that could have been performed by a Travel Plan Co-ordinator [or that will otherwise reduce vehicle trips to the Site and/or encourage walking, cycling and the use of public transport].

This assumes that the term Travel Plan Co-ordinator is defined so as to describe that person’s functions.

Shuttle bus/works bus service

The Developer shall pay to the Council the sum of £[] index linked (the ‘Bus Payment’) on the anniversary hereof for the following [10] years unless in the 12 months preceding the date hereof it shall have provided or procured the Shuttle Bus/Works Bus Service.

The Bus Payment shall not be spent otherwise than upon the provision or procurement of the Shuttle Bus/Works Bus Service.

This assumes that the terms Shuttle Bus Service or Works Bus Service have been defined.

Monitoring

The Developer shall pay to the Council the sum of £[] (the ‘Monitoring Payment’) on the anniversary hereof for the following [] years.

The Monitoring Payment shall not be spent otherwise than upon the monitoring of the developer’s compliance with the terms of this agreement.