Successful transport decision-making
A project management and stakeholder engagement handbook

Volume 1: Concepts and Tools
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VOLUME 1 - Concepts and Tools

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ISBN: 3-88354-144-3
Printed by: Fastcolour Limited (UK)

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This handbook has been prepared by the consortium of the GUIDEMAPS project: Gaining Understanding of Improved Decision-Making and Participation Strategies.
GUIDEMAPS has been funded by the European Commission under the 5th Framework Programme. The UK Department for Transport has co-financed the printing of this handbook.

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

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

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

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

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

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

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

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

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

The GUIDEMAPS handbook:

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

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

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

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

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

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

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

Does this scenario ring a bell? There are many such examples of cumbersome decision-making processes, all facing similar 'barriers', and it becomes clear that implementing a... well organised project management and stakeholder engagement are both crucial in making successful transport decisions.

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

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

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

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

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

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

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

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

Elected officials may also gain inspiration from the descriptions of the Practice Examples given on the accompanying CD-ROM. These highlight innovative transport projects from cities and regions around Europe, outlining their successes and their failures. They show how local politicians can be crucial to the success of a scheme - and how, conversely, political apathy or disagreement can be major obstacles.
Business and community groups
These include public transport operators, businesses, community leaders, representatives of specialist interest groups, etc. They might have experience of transport projects, but be ready to learn something new; or they could be engaged for the first time in a decision-making process, and be keen to understand it better.

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

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

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

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

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

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

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

1.4 How has this handbook been
developed?
The handbook is the main output of the GUIDEMAPS project,
which was a three-year European research project that ran from
2002-2004. It had eleven partners from seven European
countries, including both ‘old’ and ‘new’ Member States.

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

The handbook also draws on examples of good practice from
twenty Practice Examples in sixteen European cities or sub-
regions. These projects have been grouped into four broad
categories:
- Strategic city-wide schemes;
- Major transport infrastructure projects;
- Major travel demand management schemes; and
- Local neighbourhood schemes.

For each Practice Example, four core areas were explored:
- How decisions were made;
- What barriers and factors for success were encountered in
  the decision-making process;
- How projects were carried out effectively in terms of project
  management; and
- How stakeholders were engaged in a successful way.

These form the basis of the GUIDEMAPS ‘decision-making
concepts’.

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

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

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

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

GUIDEMAPS ‘Practice Example’ sites

1.5 Finding your way around the handbook

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

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

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

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

GUIDEMAPS handbook

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

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

Practice examples

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

GUIDEMAPS library

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

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

www.guidemaps.info

1.6 What is on the CD-ROM?

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1.7 Structure of this handbook

Volume 1 - Concept and tools

Section 2 - Decision-making concept

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

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

Section 3 - Tools

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

These pages also provide details of the different techniques within the group, giving brief details of any unique characteristics and providing links to Volume 2 - Fact sheets and CD-ROM for more information. The layout also includes an 'In Practice' section, which draws directly on the GUIDEMAPS practice examples to illustrate the use of the different techniques. A more detailed description of each 'Tools' page is provided at the beginning of the 'Tools and Techniques' sections.
On the CD-ROM, by clicking on the name of a city in the ‘In Practice’ section of the ‘Tools’ page in the handbook, you can link to more information on the example, including maps and photographs and a full description of the project and the way key decisions were managed. This description also includes more information on the tools and techniques used, any barriers which were encountered and a timeline showing how the project moved between stages.

A more detailed description of the practice example layout is available on the CD-ROM.
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### Section 2 - Decision-making concepts

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2.1 Transport decision-making in Europe

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

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

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

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

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


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

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

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

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

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

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


The benefits of improved project management
Improved project management can help to achieve successful transport decision-making, by:

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

The benefits of stakeholder engagement
Stakeholder engagement can help to:

- Promote local solutions to local challenges;
- Uncover the ‘hidden’ knowledge of the community and identify their needs and key concerns;
- Provide new perspectives on the issues and problems that are revealed;
- Avoid legal action against a project by residents or other people with concerns;
- Reduce costs and delays to a project;
- Identify stakeholder concerns early in the planning process when changes may be easier to make;
- Create productive partnerships between the project team, local community, businesses, government and other stakeholders;
- Empower stakeholders and create a sense of ‘ownership’;
- Improve public acceptance of the project; and
- Create political credibility.
Who is involved in decisions?
In addition to the project team, there is a wide range of people and organisations that have an interest in a particular project and become involved, to varying degrees, in decision-making. These are known collectively as ‘stakeholders’. They may have a professional interest in the project, they may be potential users of a scheme, or their environment or livelihood may be affected in some way by the implementation of the scheme; their opposition may make it very difficult to proceed with the project. Given the broad range of stakeholders involved, they are likely to have conflicting interests; this needs to be recognised and carefully managed as part of the engagement process. Stakeholders can be grouped under three broad categories: government/authorities, businesses/operators and communities/local neighbourhoods. Examples of each are shown in the table below.

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

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

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

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

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

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

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<td>Other National Ministries</td>
<td>Regional and National Businesses</td>
<td>Trade Unions</td>
</tr>
<tr>
<td>Regional Government</td>
<td>Private Financiers</td>
<td>Media</td>
</tr>
<tr>
<td>Local Authorities</td>
<td>Local Business Associations</td>
<td>Local Authority Forums</td>
</tr>
<tr>
<td>Neighbouring Cities</td>
<td>Town Centre Retailers</td>
<td>Local Community Organisations</td>
</tr>
<tr>
<td>Local Transport Authority</td>
<td>Small Businesses</td>
<td>Local Interest Groups</td>
</tr>
<tr>
<td>Other Local Transport Bodies</td>
<td>Transport Operators/providers</td>
<td>Cycle/Walking Groups</td>
</tr>
<tr>
<td>Other Local Authority Bodies</td>
<td>Transport Consultants</td>
<td>Public Transport User Groups</td>
</tr>
<tr>
<td>Politicians</td>
<td></td>
<td>Transport Users</td>
</tr>
<tr>
<td>Other Decision-Makers</td>
<td></td>
<td>Citizens</td>
</tr>
<tr>
<td>Partnership bodies</td>
<td></td>
<td>Visitors</td>
</tr>
<tr>
<td>Project Managers</td>
<td></td>
<td>Citizens in Neighbouring Cities</td>
</tr>
<tr>
<td>Professional Staff</td>
<td></td>
<td>Disabled People</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Landowners</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Transport Staff</td>
</tr>
</tbody>
</table>

Table 1 - Typical stakeholders involved in transport projects
2.2 Stages of the transport decision-making process

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

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

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

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

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

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

These key decision points serve to:
- Check that the project is still appropriate in its current form and that any possible risks are acceptable;
- Confirm its priority relative to other transport projects;
- Confirm the plans for the remainder of the project;
- Check that the project is meeting stakeholders needs; and
- Make a final decision about whether to continue with the project.

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

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

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

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

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

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

Figure 1 - The six stage process
DIFFERENT TYPES OF TRANSPORT DECISION-MAKING PROCESS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Stages in a transport policy/strategy

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

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

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

In practice

The GUIDEMAPS practice examples include five strategies:

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

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

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

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

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

In practice

The GUIDEMAPS practice examples include fifteen transport schemes:

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

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

Interaction between different policies/strategies

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

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

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

Interaction between strategies and schemes

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

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

**Key components**

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

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

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

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

Barriers are of two types:

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

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

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

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

Project management requires the development of various sub-plans, which include defining project goals and objectives, specifying tasks or how goals will be achieved, and what resources are needed, with associated budgets.

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

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

(3) ENGAGEMENT

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

This handbook provides more detailed advice on identifying, avoiding and overcoming barriers affecting management and communication, using project management and engagement tools and techniques. Similar types of barriers are often encountered in different parts of Europe.
Why are barriers important?
A barrier is any obstacle which prevents a project from being implemented, or limits the way in which it can be implemented. Barriers often arise as a result of conflicting interests. In the extreme, such barriers can lead to certain options being excluded and the resulting projects being less effective.

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

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

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

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

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

How can barriers be identified?
During the initial stages of planning a transport project, it is important to establish the constraints and context within which the project is designed and implemented:

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

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

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

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

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

### Checklist for avoiding institutional barriers

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

## LEGAL BARRIERS

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

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

### Checklist for avoiding legal barriers

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

## FINANCIAL BARRIERS

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

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

### Checklist for avoiding financial barriers

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

**MANAGEMENT BARRIERS**

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

**Checklist for avoiding management barriers**

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

**COMMUNICATION BARRIERS**

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

**Checklist for avoiding communication barriers**

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

**INSTITUTIONAL BARRIERS**

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

**LEGAL BARRIERS**

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

**FINANCIAL BARRIERS**

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

**MANAGEMENT BARRIERS**

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

**COMMUNICATION BARRIERS**

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

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**How to overcome contextual barriers in practice**

**Institutional and political barriers**

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

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

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

**Legal and communication barriers**

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

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

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

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

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

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

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

2.3.2 Project management in the transport decision-making process

Broad phases in undertaking project management

| (A) SCOPING: |
| (i) Determine project brief and objectives |
| (ii) Identify relevant contextual barriers |
| (iii) Identify specific strategies that need to be prepared |
| (iv) Identify project stages |
| (v) Identify resource requirements |
| (vi) Determine core skill requirements |

| (B) ESTABLISH CORE TEAM: |
| (i) Identify suitable individuals and form project team |
| (ii) Agree organisational structure and procedures |
| (iii) Resource project team |

| (C) DETAILED PREPARATION: |
| (i) Prepare specific plans/strategies |
| (ii) Estimate detailed resource requirements |
| (iii) Determine potential risks and barriers |

| (D) RUNNING THE PROJECT: |
| (i) Manage the process |
| (ii) Monitor input, process and outcomes |
| (iii) Overcome barriers |
| (iv) Carry out project assessment |

Figure 4 - Project management approach
(i) Determine project brief and objectives
The starting point is to determine the scope of the project and to turn broad goals and aspirations into a set of specific objectives and targets. This involves being clear about why the project is being established and what it seeks to achieve for various stakeholder groups. Where appropriate, this includes taking account of other projects (i.e. strategies or schemes) that are related in some way to this one.

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

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

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

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

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

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

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

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

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

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

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

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

(i) Identify suitable individuals and form project team

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

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

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

(ii) Agree organisational structure and procedures

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

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

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

(iii) Resource project team

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

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

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

(C) DETAILED PREPARATION

(i) Prepare specific plans/strategies

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

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

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

(ii) Estimate detailed resource requirements

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

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

(iii) Determine potential risks and barriers

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

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

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

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

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**D) RUNNING THE PROJECT**

**(i) Manage the process**

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

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

**(ii) Monitor input, process and outcomes**

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

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

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

**(iii) Overcome barriers**

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

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

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

**(iv) Carry out project assessment**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Illustration of good practice

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

Part of the City Council’s engagement strategy involved:

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

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

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

This method of feedback demonstrated the transparency of the engagement process to stakeholders. Finally, they prepared and issued their Local Plan.
Engagement in the transport decision-making process

Questions to be addressed by an engagement strategy

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

Why?
Why is the engagement process being undertaken?
How will it influence the strategy/scheme?

Who?
Who should be involved in the decision-making process?
How can such people be identified?

How?
How will engagement be undertaken?
What tools and techniques should be used?

When?
When should different activities take place?
When is it not appropriate to engage?

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

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

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

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

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

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

It is essential that a preliminary set of stakeholders is identified at an early stage, to help contribute to the engagement strategy. Communicating with stakeholders from the early planning of engagement activities can be very effective. Stakeholders may have a certain way they would like to be consulted. Knowing this from the outset can avoid disappointment from low participation levels at planned activities and also not ‘wasting’ any unnecessary resources (i.e. time and costs).

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

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

Once stakeholders have been identified, it is then important to establish ‘How’ and ‘When’ they should become a part of the transport decision-making process.
How to engage?
In the past, the major emphasis in the engagement process was on simply informing stakeholders about what the project team intended to do, and the decisions that they had reached. However, as stakeholders are becoming more actively interested and influential in decision-making, there is a movement towards a more proactive exchange of information and viewpoints, through the greater use of interactive engagement tools and techniques.

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

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

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

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

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

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

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

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

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

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

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

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

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

Figure 5 - Elements of good transport decision-making
Any decision-making process is likely to encounter difficulties or changing circumstances during its lifetime, no matter how carefully the project has been planned from the start. The key to successfully dealing with such challenges is to adopt a flexible and responsive approach to project management during all stages of the process.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

---

**ASSESSMENT**

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

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

---

**VIEWS & FEEDBACK**

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

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

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

---

**Checklist for project management**

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

---

**Checklist for engagement**

- Is the decision-making process clear and has this been communicated to stakeholders?
- How will the engagement techniques proposed ensure feedback is received from stakeholders?
- Is there a plan for how feedback is to be provided to stakeholders at various stages of the process?
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Section 3

3 Introduction to Tools

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**Introduction to Tools**

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

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

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

- Project Management; and
- Engagement.

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

### Project Management Tools

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

### Engagement Tools

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

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

**What is the management of contentious issues?**

- **Aims**
  - Managing public opinion is a key aspect of transport planning and is a major factor in determining the public’s perception of the project. The issues that the public is concerned about can be a major influence on their decision-making process. The techniques associated with this tool are also outlined here.

- **Useful hints**
  - The techniques outlined in this section are applicable to a variety of situations where public opinion needs to be managed. The techniques can be used to help manage public opinion during the planning process, and to help manage public opinion during the implementation phase of the project.

**In practice**

In the GUIDEMAPS project we have worked with twenty Practice Examples in sixteen European cities or sub-regions. Here we share details of the experiences that a particular city or sub-region has had in working with this tool. Information about these examples is provided in more detail on the GUIDEMAPS CD-Rom in the ‘Practice Example Summaries’. The techniques outlined in this section are applicable to a variety of situations where public opinion needs to be managed. The techniques can be used to help manage public opinion during the planning process, and to help manage public opinion during the implementation phase of the project.

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In Volume 2 - ‘Fact sheets’

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

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

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

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On the CD-ROM... Practice Examples

By clicking on the name of a city in the 'In Practice' section of the 'Tools' page in the handbook, you can link to more information on the example, including maps and photographs and a full description of the project and the way key decisions were managed. This description also includes more information on the tools and techniques used, any barriers which were encountered and a timeline showing how the project moved between stages.
What are project management tools?
The ‘Project Management Tools’ in this handbook are a few of the many tools designed to provide guidance for managing and achieving a successful transport decision-making process.

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

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

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

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

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

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

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

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

Figure 6 - Project management approach and related ‘Tools’
Selection of project management tools and fact sheets

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

Many books have been written on project management, and this handbook does not pretend to be fully comprehensive. Rather, it concentrates on those project management tools that have been found to be particularly relevant by the GUIDEMAPS project partners to the development and implementation of transport strategies and schemes. In particular, the handbook focuses on those tools which help to avoid or overcome barriers that may be encountered during one or more stages of the transport decision-making process.

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

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

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

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

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

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

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

Aims

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

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

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

Useful hints

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

Preparation for Project Management

Case Study: Brno, Czech Republic

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

Case Study: Essex, England

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

Case Study: Madrid, Spain

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

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

An example of a work plan from Madrid, Spain.
Potential problems

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

- From the start, the work plan should attempt to list all potential problems and categorise them into those that might be avoided and those which will need to be overcome.

- Even the best prepared work plan will fail to identify all potential problems, but the plan should contain a clear strategy showing how the project will deal with unforeseen barriers.

- Some unforeseen barriers will not be easy to overcome without a radical re-think of the project. A good work plan will be responsive to unforeseen problems and be flexible enough to accommodate any necessary changes.

- Transport projects usually take time to implement, and for the larger ones, changes in key elements such as the political/institutional, legislative or financial situation, will inevitably occur over time. Problems will sometimes occur because changes in circumstances have not been recognised in time. A work plan should identify and benchmark the existing political, legal and financial situation and establish a review process for each key element.

- There might be several partners responsible for delivering a project. Not only should the work plan identify respective roles and responsibilities, but it should ensure that each partner is explicitly signed up to the plan.

- Once a work plan is completed and before it is implemented, it should be rigorously tested against various scenarios designed to anticipate potential barriers, to assess the plan’s responsiveness and ability to accommodate changing circumstances.
## T2: Establishing the project management team

### Who are the staff involved in the transport management team?

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

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

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

### In practice

#### Ile de France, France

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

#### Madrid, Spain

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

### Aims

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

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

### Useful hints

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

#### Graz, Austria

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

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

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

- There are two aspects to project management, one is to manage the process, which is a largely administrative task. The other is more technical, managing resources, dealing with contractors etc. Projects can fail if they are too obsessed with process, but barriers will occur where projects are focused on technical issues ignoring process.

- Crucial to the success of a project is ensuring that the role of the project manager is clearly defined. Where a wide range of competencies are required, consideration should be given to splitting the role.

- A frequent cause of problems is lack of clarity as to the role and responsibilities of the project group and the roles and respective responsibilities of the various members within the group. Therefore:
  a) The role of the project group must be clearly spelt out from the beginning. What level of decision-making does it have? Is its remit wider than just managing the project? Does it have a role in championing the project? If so, are all the group equally committed to the project?
  b) If external bodies are represented, will there be potential conflicts of interest by being a member of the project management team?
  c) It is, therefore, important that the interests and level of commitment of each member of the project management team are clearly understood at the beginning of the project, and agreement reached on the degree of collective ownership and responsibility.

- The development, decision-making and implementation stages of a project might require different management skills. A good work plan will recognise this and ensure that there is sufficient flexibility to ensure that the correct leadership is in place for each stage of a project, and that continuity is maintained.
**What is resource management?**

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

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

- **Time**
- **Skills**
- **Costs**

**Aims**

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

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

**Useful hints**

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

**In practice**

**Gävle, Sweden**

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

**Brno, Czech Republic**

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

**Madrid, Spain**

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

The clear division of responsibilities, the fact that the management team for the project (MINTRA) was quite small and had effective power for decision-taking and the overall political support of all political parties allowed a fast planning and implementation of the new underground line. Unexpected problems during construction work were solved within a 24 hours timeframe in order to keep to the scheduled timetable.
Time management is an essential part of good project management. It is required for the project as a whole, as well as for the individual elements of the project, which include the decision-making framework and the engagement activities. Time management needs to take account of the fact that a delay to what might appear to be a minor task may have a significant impact on the overall progress of the project. For example, where legislation is required to gain permission for a scheme, but the inputs to this process have not been provided in time, a substantial delay might result.

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

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

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

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

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

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

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

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

- One of the biggest barriers to effectively managing resources is the failure to ensure that all the necessary resources are identified at the outset of the project and are constantly monitored. Many project management tools will monitor costs and critical dates, but ignore the skills element. Transport projects, in particular, can run into difficulties through the inability to anticipate and recruit the right skills at the right time.

- Key partners in a project will bring with them a range of resources, not all of which will be immediately obvious. At the start of the project it is good practice to audit and agree the range, extent and timing of the resources a partner is able to commit to a project.

- Formal project management tools and computer software are available to help manage resources. However, to avoid the tools themselves adding barriers, ensure that they are fit for the purpose, and that the 'in-house' preferred project management tools are not uncritically used on every project without rigorously testing their suitability. Where a project management tool has been frequently and successfully used in the past, it is not uncommon to attempt to develop the new project to fit the tool.

- Over-long and unstructured meetings are a common waste of scarce resources and result in the unproductive use of professional skills. Mandatory attendance at badly organised meetings will cause resentment, creating internal barriers. It is, therefore, sensible to review the format and frequency of project meetings to ensure that they are focused and well structured meetings, with only essential personnel attending.
**What is an engagement strategy?**

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

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

**Aims**

An engagement strategy has the following aims:

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

**Useful hints**

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

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**In practice**

**Surrey, England**

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

**Essex, England**

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

**Brno, Czech Republic**

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

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

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

The new section of ring road in Brno.
Preparing an engagement strategy
An engagement strategy is a management document that brings together the information that will inform the project team and others as to the objectives and approach for the engagement activities.

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

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

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

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

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

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

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

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

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

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

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

Aims
A good media strategy aims to:

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

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

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

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

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

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

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

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

Overall, the Gävle campaigns attracted enormous media interest - including at the national level - and today, 20% of all trips in the city are done by bike.
Press releases and news conferences
When designing a media strategy, it is important to plan how you will release information to the media. This applies both to general information on the progress of the project and to any breaking news stories. The main tools for delivering new information directly to news media are press releases and news conferences. Press releases and news conferences must be carefully managed to ensure that they deliver the information in a way that allows journalists to use it effectively as a source for an interesting news story. This information provides the raw material on which a news story can be based. Both these tools are targeted at the news sections of the media and are only appropriate where there is new information that has not previously been published. It is essential that the information provided is accurate, timely and interesting.

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

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

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

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

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

- To avoid communication problems between the project and the media, it is advisable to make early contact with the media, and to try and consult the media in shaping the strategy to ensure that information is issued in a timely and media friendly format.

- A media strategy that is not properly resourced is more likely to encounter barriers than overcome them. Resources include adequate funding to run campaigns or disseminate information, but also to ensure that the project has the services of someone skilled in dealing with the media.

- The media will rarely be interested in technical information, so make sure that any press release has an ‘angle’ that will attract the attention of the media. Failure to provide an interesting angle, could result in the media putting its own spin on a story.

- Opponents of schemes will also use the media, so the media strategy should be clear on when to respond to adverse criticism. Being drawn into a protracted argument through the media is more likely to create barriers than overcome them.

- It is not always necessary to respond to every bit of criticism, or to have the last word. Where opponents are making wild and unsubstantiated claims, be careful on when and how you respond. By replying to outrageous criticisms, it will frequently appear to give substance to them. Problems can be avoided by ignoring such claims, and making it clear that you do not feel they are worthy of comment.
In practice

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

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

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

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

Useful hints

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

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

The most common used marketing tools are listed below:

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

Aims
A marketing strategy should aim to:
- Provide information about a project;
- Gather political support for a project;
- Gather public support for a project;
- Reduce political and public opposition against the project;
- Increase public awareness about a project;
- Improve the image of a project; and
- Influence the public in favour of sustainable transport projects.

Graz, Austria
Marketing materials produced for the Graz speed limit restrictions.
Institutional marketing

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

Information and image campaigns

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

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

Awareness campaigns

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

Individualised marketing

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

Potential problems

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

- Many projects might require significant changes in stakeholder behaviour. To avoid creating barriers it is, therefore, essential to get the ‘tone’ of the marketing strategy right. People generally do not like being told what to do or what is good for them; therefore, a marketing campaign that is too strident will cause barriers, as will a campaign that seems to talk down to stakeholders.

- While a good marketing campaign will concentrate on the positive aspects of a project, barriers can sometimes be avoided if the strategy is open about any negative effects. By recognising the dis-benefits of a scheme, the marketing campaign can take the initiative and direct the debate on how to mitigate any adverse impacts.

- A good marketing strategy will be concerned with control over the flow of information, identifying who gets what information at what time and in which format. However, barriers will occur if stakeholders feel that information is being withheld or manipulated.

- It is important to include the decision-makers in the marketing strategy, and link it to the political process. Barriers will occur where the decision-makers are continually having to respond to events, especially where they have not been given adequate advance information about potential problems or shifts in public perception.

- Before undertaking any project, market research should be undertaken to get a firm idea of public perceptions and in this way identify potential barriers at an early stage in the project planning process.
T7: Managing stakeholder involvement

Who are the stakeholders?

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

Here, we consider several key groups:

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

Aims

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

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

Useful hints

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

In practice

Erfurt, Germany

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

Maribor, Slovenia

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

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

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

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

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

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

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

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

- A commitment should be given to provide consistent and transparent information to all stakeholders throughout the life of the project. One of the biggest causes of problems is when, after bringing together various stakeholders through the engagement process, there is no follow-up and the flow of information and sense of involvement ceases.
- Stakeholders are vital sources of information, and should always be encouraged to participate in a project, even where they are fundamentally opposed to it. Furthermore, any project can be improved through a process of critical analysis. Projects that fail to respond to criticism can become really unpopular, creating major opposition.
- Breakdown in communication between the project team and the decision-makers is a frequent cause of problems. It can lead to a lack of political support for the project, or an unwillingness to face up to the opposition. Even where decision-makers are represented on the project management team, do not assume that the project has the full support of the decision-making body as a whole. These people should be regularly engaged as the project progresses to ensure continued support.
- The agendas of the stakeholders will not always be the same as that of the project management team. Understanding what motivates the stakeholders is a major step towards overcoming external barriers. Bringing the groups together, using various engagement tools like visioning exercises, will help to illustrate opposing views and can engender greater understanding between stakeholders of their respective points of view.
T8: Managing contentious issues

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

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

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

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

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

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

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

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

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

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

Identifying issues that require engagement

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

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

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

Managing outputs

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

Third party negotiation and mediation

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

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

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

Potential problems

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

- Difficult issues rarely disappear if they are not addressed. Failure to identify and respond to issues will only store up problems for the future, and inevitably lead to barriers that become more difficult to overcome.
- Be clear about those issues you can address and those you cannot. Some issues cannot be resolved, and some external actors will take issue with a project as a point of principle, so you are unlikely to be able to resolve their opposition. Be direct when unable to respond positively, and don’t prevaricate.
- The difficulties of dealing with contentious issues where there are strong feelings should never be underestimated; not everyone has the requisite skills or resolution to confront such difficult situations. Make sure that the person responsible for addressing issues is able to act firmly, but with understanding. A feeble response to a contentious issue will only heighten the barrier.
- Make sure from the beginning that the work plan has allocated adequate resources for managing and mitigating concerns. Make sure that the mitigation is appropriate to the problem; inadequate or inappropriate mitigation measures are a fundamental cause of barriers.
- Ensure that the engagement process identifies all potential issues, and is responsive to issues as they arise. But, at the same time, the engagement process should try and provide a balanced overview and should not become dominated by a narrow set of interests.
**T9: Overcoming barriers**

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

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

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

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

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

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

**In practice**

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

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

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

The Brighton station site.
CONTEXTUAL FACTORS

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

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

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

PROCESS BARRIERS

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

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

Potential problems

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

Avoiding barriers

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

Overcoming barriers

- Rigorous tracking of progress to identify barriers early on. An early warning system should result in a quicker and more efficient solution to overcome the barriers.
- Ensure that you have identified the real cause of the barrier, as otherwise efforts to resolve the problem will have been wasted.
- It is not always possible to achieve complete consensus, but having better informed stakeholders is more likely result in the acceptance of compromise solutions.
- Set aside a contingency budget to deal with barriers as they arise.
T10: Project monitoring

How to monitor projects

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

The key elements of project monitoring comprise:

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

Outcome monitoring and evaluation are described in tool T11.

Aims

Project monitoring serves the following purposes:

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

Useful hints

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

In practice

Gävle, Sweden

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

Göteborg, Sweden

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

Graz, Austria

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

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

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

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

Measuring indicators

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

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

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

Tracking progress

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

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

Potential problems

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

- Monitoring systems should not become so complex that they require considerable resources to support them, or produce so much data that it becomes difficult to quickly gauge the status of a project. Checks should be made to ensure that the monitoring is contributing to the successful implementation of the scheme, and is not monitoring for monitoring sake.

- It will probably be mandatory to monitor certain key indicators, such as finances to avoid fraud, or it might be a requirement of a grant or other sources of funding. However, it is important that, in order to identify emerging barriers, the scope of the evaluation goes beyond the mandatory.

- It is unlikely that the indicators used by some key stakeholders to judge a project's success would be the same as those used by financiers or politicians. The engagement process should therefore be used to help develop appropriate indicators.

- Projects tend to accumulate masses of information; it is, therefore, important that the results of the monitoring are disseminated in an accessible format. Failure to publish up-to-date information in a format that is readily understood is a frequent cause of barriers, when suspicious stakeholders perceive that key information is deliberately being kept from them.

- The need to meet key targets can mean that opportunities are missed where these lie outside previously agreed outputs. All monitoring criteria should be regularly re-evaluated to ensure the performance indicators remain relevant and are shared.
In practice

Prague, Czech Republic

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

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

Erfurt, Germany

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

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

How to assess project outcomes

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

Two types of methods are involved:

- Measuring outcome indicators
- Post-implementation evaluation

Aims

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

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

Useful hints

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

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Measuring outcome indicators
The relevant outcome indicators depend on the type of project and the objectives that have been set for it; for example:
 to reduce car use, to increase cycle use, or to reduce air pollution. Most projects require three types of outcome indicators, relating to:
- Perceptions and attitudes of users and other affected groups (e.g. service quality, personal safety);
- Travel behaviour (e.g. trip frequency, modal split); and
- Aggregate, system-level indicators (e.g. traffic congestion, road accidents, air quality).
Where appropriate, this information will need to be disaggregated by person type or area, in order to identify the distribution of impacts, both positive and negative, among the population.

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

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

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

**Stage 2:** The identification of the overall (dis)benefits of the scheme; this requires:
- The attribution of causation to the various outcomes (e.g. how much of the growth in bus use can be attributed to the introduction of new bus lanes?), by looking at the outputs of the scheme and other related changes in the area over the same period; and
- Judgement about the net benefits of the scheme.

**Stage 3:** A comparison of costs and benefits, either using multi-criteria or cost-benefit approaches.
3.2 Introduction to engagement tools

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

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

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

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

<table>
<thead>
<tr>
<th><strong>Time frame available</strong></th>
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<tbody>
<tr>
<td>Some decisions can be made in a few months. Others can take longer. Consideration should be given to how much time is available when you are preparing your engagement strategy and identifying the appropriate engagement activities that will be used in the decision-making process.</td>
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<td>(See Project management T3: Managing resources and T4: Engagement strategy).</td>
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<tr>
<th><strong>Resources available</strong></th>
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<tr>
<td>Stakeholder engagement not only needs time, it also requires financial resources and skilled people for each tool or technique. When preparing an engagement strategy, a detailed timeline for engagement activities needs to be prepared that reflects the overall work plan for the transport project.</td>
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<tr>
<td>(See Project management T1: Preparing for project management and T3: Managing resources).</td>
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<thead>
<tr>
<th><strong>Stakeholder groups</strong></th>
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<tr>
<td>Different approaches to engagement are required for different stakeholder groups, for example, people from linguistically and culturally diverse backgrounds, different genders, people with disabilities, older and young people.</td>
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<tr>
<td>(See Project management T4: Engagement strategy and Engagement T19: ‘Hard to reach’ groups).</td>
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<tr>
<th><strong>Specific experiences</strong></th>
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<tr>
<td>Particular techniques cannot be applied without expert knowledge. The necessary knowledge must therefore either be gained from further training of staff, or external consultants should be used. This maybe is the case e.g. in ‘Planning for Real’ events, or with regard to the establishment of internet websites or web based forums.</td>
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<tr>
<td>(See Project management T2: Establishing the project management team and T3: Managing resources).</td>
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<tr>
<th><strong>Adaptability and flexibility of the engagement techniques</strong></th>
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<tr>
<td>If an engagement technique has been successful in one project, it does not automatically ensure its success in another. Both the projects and stakeholders you are trying to engage will differ. Also be open to innovative or new methods. However, sometimes the most effective methods are the more traditional methods.</td>
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<tr>
<td>(See Project management T4: Engagement strategy).</td>
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<tr>
<th><strong>Analysis of the effort and output</strong></th>
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<tr>
<td>An analysis should be undertaken by the management team of what the expectations of the engagement process should be and what activities should be planned to achieve these key stakeholder outputs. It is important when considering the selection of techniques for engaging with stakeholders, that there is a clear understanding of how the outputs of engagement will be used in the decision-making process of the project.</td>
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<td>(See Project management T8: Managing contentious issues).</td>
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<tr>
<th><strong>Understanding of values and culture of stakeholders</strong></th>
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<td>In many cases the general views of stakeholders will be known in advance. Therefore be clear about what you expect of the engagement process when choosing the most appropriate technique. Some issues generate the active involvement of some hundreds of people, while other issues can be resolved by getting the key stakeholders together.</td>
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<td>(See Project management T8: Managing contentious issues).</td>
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<tr>
<th><strong>Technical complexity</strong></th>
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<tr>
<td>Some issues are relatively easy for stakeholders to understand, while others are extremely complex and difficult. Technically complex issues require a careful selection of the appropriate technique. Remember to choose a technique that will allow you to communicate the key messages of your project to stakeholders and for stakeholders to be BEST able to provide feedback.</td>
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<td>(See Project management T4: Engagement strategy).</td>
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Engagement tools

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

**Information giving and gathering**

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<td>FS38: A letter</td>
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<tr>
<td>FS39: Posters, notices and signs</td>
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<td>FS40: Leaflet and brochure</td>
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<td>FS41: Fact sheet</td>
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<td>FS42: Newsletter</td>
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<td>FS43: Technical report</td>
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<th>T13: Telephone and broadcasting</th>
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<td>FS44: Telephone techniques</td>
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<td>FS45: Local radio and television shows</td>
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<th>T14: Internet</th>
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<td>FS46: Internet techniques</td>
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<td>FS47: Web based forums</td>
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<th>T15: Surveying individuals</th>
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<td>FS48: Questionnaire surveys</td>
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<td>FS49: Key person interviews</td>
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**Interactive engagement**

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<th>T16: Information events</th>
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<tr>
<td>FS50: Exhibition</td>
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<td>FS51: Information centre</td>
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<th>T17: Engaging selected stakeholder groups</th>
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<td>FS55: Community visits and study tours</td>
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<td>FS56: Focus group</td>
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<td>FS57: Workshop</td>
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<td>FS58: Citizen juries</td>
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<td>FS59: Technical working party</td>
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<th>T18: Engaging large groups</th>
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<tbody>
<tr>
<td>FS60: Stakeholder conference</td>
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<td>FS61: Transport visioning event</td>
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<td>FS62: Weekend event</td>
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<td>FS63: Planning for Real ™</td>
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<td>FS64: Open space event</td>
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**Engaging hard to reach groups**

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<tr>
<th>T19: Engaging ‘hard to reach’ groups</th>
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<tbody>
<tr>
<td>FS65: Ethnic minorities</td>
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<td>FS66: Impaired people</td>
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<td>FS67: Young people and the elderly</td>
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<td>FS68: People with low literacy levels</td>
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<td>FS69: Apathetic people</td>
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**Choosing an engagement technique**

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

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

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

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

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

- Who am I trying to engage with: a general audience, or a targeted group of stakeholders?
- At which of the six stages am I trying to engage stakeholders in the transport decision-making process?
- Is my transport project a strategy or a scheme?
- Am I looking for a one-off form of engagement, or one that is better suited to an on-going engagement process, throughout the life of the project?
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<tr>
<td><strong>Who to engage?</strong></td>
<td>Wider audience</td>
<td>Targeted audience</td>
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<td>Formal decision taking</td>
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<td>Implementation plan</td>
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<td>Monitoring and evaluation</td>
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<td><strong>Type of Project?</strong></td>
<td>Strategy</td>
<td>Scheme</td>
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<td><strong>Duration of engagement</strong></td>
<td>Restricted</td>
<td>Continuous</td>
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**NOTE:** To be most effective, Engagement Tools should be used in conjunction with the development and implementation of a Media Strategy (Tool T5, FS15-FS17) and a Marketing Strategy (Tool T6, FS18-FS21).
**T12: Printed public information materials**

**Printed public information materials**

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

Key types of printed documents include:

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

**Aims**

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

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

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

**Useful hints**

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

**In practice**

**Ile de France, France**

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

**Panorama, Greece**

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

**Saarbrücken, Germany**

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

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

An example of a document produced for the marketing campaign in Saarbrücken.
Choosing which type of document to use

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

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

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

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

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

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

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

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

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

How to avoid or overcome potential problems
- Technical information can create its own problems of understanding, but equally important ‘talking down’ to the community can be taken as insulting. Getting the ‘tone’ of the language right is essential.
- The straightforward use of non-technical, jargon free language is often more difficult than it seems, especially when drafted by experts who are used to writing in a particular form of language. It is good practice to have all printed material independently reviewed by outside persons from the target communities, to ensure ‘readability’ and that the contents or language are not likely to inadvertently create barriers.
- If the intention is to achieve full coverage of an area, ensure the reliability of the delivery service and undertake random checks on delivery; check that posters have not been removed or defaced.
- The biggest barrier to communicating through the printed word is often getting the recipient to pick up the document in the first place. Most letters and leaflets will be competing with a lot of other mail arriving through the letterbox. When using paper to communicate, there is a tendency to fill too much of the space with words; short, sharp, catchy communications are more likely to be picked up and read.
T13: Telephone and broadcasting

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

The methods most commonly used in transport projects are:

- Telephone techniques
- Local radio and television shows

Aims

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

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

Useful hints

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

**In practice**

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

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

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

Radio show for Mendel Square project in Brno.
When to use these tools
These tools are particularly useful for providing information to the public and obtaining feedback about a project, issue or event. These can be used as an effective alternative to written materials and face-to-face techniques.

How to avoid or overcome potential problems

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

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

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

The methods most commonly used in transport projects are:

- Internet techniques
- Web-based forums

In practice

Maribor, Slovenia

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

Ile de France, France

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

Köln, Germany

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

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

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

Aims

Internet techniques can be used to:

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

Useful hints

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

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

How to avoid or overcome potential problems

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

Features of the internet

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<tr>
<th>Internet techniques</th>
<th>Web-based forums</th>
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<tr>
<td><strong>Information pages</strong></td>
<td><strong>Chat rooms and discussion forums</strong></td>
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<tr>
<td>These should contain concise, relevant and up-to-date information about the project</td>
<td>These provide the opportunity for the public to share</td>
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<td></td>
<td>information, ideas and discuss concerns in ‘real time’</td>
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<tr>
<td><strong>News pages</strong></td>
<td><strong>Questionnaires</strong></td>
</tr>
<tr>
<td>Provides up-to-date news about project progress, specific issues or events</td>
<td>Questionnaires can be downloaded as a word or pdf</td>
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<td></td>
<td>document, completed and returned via email or post, or</td>
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<tr>
<td></td>
<td>can be completed online and submitted</td>
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<tr>
<td><strong>Reports and other key documents</strong></td>
<td><strong>Public message boards</strong></td>
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<tr>
<td>Provide reports and plans in a form which can easily be downloaded, as a pdf or word document (preferably both)</td>
<td>Stakeholders can post questions and ideas on a message board on the website</td>
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<td><strong>Booking service</strong></td>
<td><strong>On-line feedback</strong></td>
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<tr>
<td>Stakeholders can use an online booking form to secure their place at an engagement event</td>
<td>Feedback or comment forms can be completed by the public and submitted to the project team over the internet</td>
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Surveying individuals

Direct engagement with selected individuals can be used to elicit detailed opinions and responses from a wide range of key stakeholders. Unlike public meetings, participants have the opportunity to express their views and concerns without being subject to peer group pressures, or worries about the need to be articulate. Larger scale surveys also provide the opportunity to canvass the views of a random sample of the public and other bigger stakeholder groups.

- Questionnaire surveys
- Key person interviews

Aims

Surveying individuals can be useful to:

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

Useful hints

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

In practice

Bochum, Germany

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

Brno, Czech Republic

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

Essex, England

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

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

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

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

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

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

How to avoid or overcome potential problems

- While individual engagement can be an important aid to overcoming barriers, if the process is seen to be too selective and exclusive, then this can become the cause of additional barriers.

- The quality of response and level of individual engagement can differ according to circumstances, even when the same tool is used. For example, responses to the same questionnaire may differ between a pre-arranged interview, and less personal forms of contact, such as stopping people in the street, or sending an unsolicited questionnaire through the post.

- It is important to ensure that responses are representative; not everyone has the time or expertise to complete a lengthy questionnaire. For example, face-to-face interviews in a particular street at a particular time is unlikely to provide a representative sample.

- Make sure that the questionnaire is well organised and individual questions are clear and unambiguous. A balance has to be struck between making the questionnaire too simple and over-structured, thereby making it difficult for respondents to deal adequately with complex issues, and having many open-ended questions, as the latter will be more difficult to analyse and draw any conclusions from.

- Ensure that participants receive informed feedback. Be clear from the outset as to how you are going to deal with difficult or conflicting opinions. Be open with participants as to when and why their views cannot be accepted.

Questionnaire surveys

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

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

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

Key person interviews

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

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

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

A checklist for the questionnaire

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

A checklist for personal interviews

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

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

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

**Aims**

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

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

**Useful hints**

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

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

**In practice**

**Göteborg, Sweden**

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

**Erfurt, Germany**

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

**Essex, England**

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

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

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

Stakeholder event for A120 in Essex.
**Exhibition**

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

**Information centre**

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

**Information session and briefing**

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

**Public meeting**

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

**Topical events**

An interesting and fun form of engaging with stakeholders is to set up an information stand, exhibition or information caravan at a local event. These local events could include fetes, band days, market days and road shows, and would usually involve a member of the project team booking a ‘stall or piece of land’ at such an event. The main focus of this type of event would be to encourage stakeholders to read the information, have discussions with a facilitator from the project team, and get involved in the project, by providing feedback on the project.
T17: Engaging selected stakeholder groups

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

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

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

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

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

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

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

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

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

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

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

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

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

Citizen juries
A range of expert witnesses is called and representative groups of citizens deliberate on the soundness of the arguments presented, question witnesses, and reach an overall view on the proposed scheme or strategy. Citizens’ juries have been used extensively in the US, Germany and Austria, and more recently in the UK and Australia.

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

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

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

- To avoid creating barriers by appearing to be exclusive it should always be explicitly stated in the engagement strategy how and when smaller groups will be engaged, and how this fits in with the wider engagement process.
- While discussions within the smaller groups should normally be kept confidential to encourage the free expression of views, the group should aim to publish regular communiqués to engender a sense of transparency.
- The weight given to the views expressed by these smaller groups is usually substantial. It is therefore essential that in selecting participants, the group represents the widest possible range of views and as far as possible is impartial.
- Engaging with stakeholders is an ideal way of involving those who might not have the experience or confidence to participate in larger events. It is therefore important to ensure that barriers do not occur within the group with a small number of vocal individuals dominating the debate. How to deal with ‘difficult’ group members needs to be established in advance.
- Because the smaller groups will usually be independent it is therefore often difficult to anticipate the outcome of the engagement process, and the results might be hostile or embarrassing for the project. It is therefore important for the engagement strategy to address in advance the possibility of negative results from these groups.
T18: Engaging large groups

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

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

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

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

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

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

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

Surrey, England
Surrey County Council initiated the Transport Consultative Forum as a continuation of the approach to improve transport planning in Guildford. A local clergyman was approached to chair the Forum. He had experience of chairing working groups and was perceived as independent. Members of the Forum comprised environmental and business groups, transport operators and notable local individuals. The group concentrated on visioning using the method of scenario planning. The Forum has been accredited with success in improving the acceptability for bus lanes in Guildford. However, some members of the forum were dissatisfied with Surrey County Council for not taking forward all of the ideas generated by the Forum.
When to use these tools

Holding a large event is an effective way of bringing together and directly engaging with large numbers of stakeholders to identify general areas of concern and gauge the reaction to various options. It offers the opportunity for every stakeholder to engage with the process.

How to avoid or overcome potential problems

No matter how well attended there is no guarantee that such events will be representative of all stakeholder views, and to avoid barriers large engagement events should only be one part of the engagement process. The following therefore should be taken into consideration:

- Unlike many of the other tools for engaging with stakeholders, large events are more prone to a group dynamic which can distort the outcomes. Barriers will occur if one interest/viewpoint is allowed to dominate the event. The larger the event the more difficult it can be to hear all competing agendas, so enough time must be allowed to ensure everyone can participate fully.

- Such events can be costly and require adequate resourcing, not just for the event itself but to ensure feedback and follow up sessions. Barriers will occur if it is not made explicit from the beginning, how the information obtained will be used, how it will be fed back to stakeholders and how the event fits into a continuous process of engagement.

- Because of the longer timescale involved it is essential that barriers are not created through participants being uncomfortable, or their reasonable needs not being met. Proper planning will ensure that all participants can access the venue and media use for the event, and for example; adequate refreshments are provided.

- In planning the event it should be remembered that staff will need to be on hand with sufficient knowledge of the project to answer any reasonable questions. Inadequately staffed events lead to frustration and inevitably create barriers through misunderstandings.

- Before undertaking an event that encourages ‘blue sky’ thinking be sure that there is enough flexibility in the project to allow for radical/innovative ideas to be developed.

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**Stakeholder conference**

A conference is an excellent opportunity for stakeholders to learn more about a particular transport issue and use the new skills in solving real projects. The agenda for the event could include presentations by transport professionals on current transport issues, such as how to ‘re-allocate road space to reduce speeding’. Then a project team member will give an overview of a relevant project and stakeholders will have an opportunity (possibly in groups) to reduce speed in their area, by re-allocating road space. This is a good way of stakeholder engagement for controversial projects, by empowering and involving stakeholders.

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**Transport visioning event**

A transport visioning event would usually be a half day event, and involve between 20 to 60 people. The basis of the event will be to discuss all relevant issues of a particular transport project, from identifying the strengths and weaknesses of a particular area, to highlighting the issues with that area, to identifying possible solutions (no matter how visionary those solutions are). This is a good method to promote stakeholder awareness and encourage ‘out-of-the-box’ thinking.

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**Weekend event**

A weekend engagement event is probably one of the most extensive engagement techniques and involves inviting a range stakeholders to a weekend long discussion and workshop on a particular project. The weekend timeframe usually provides the opportunity to work through detailed aspects of the transport project process, from problem identification through to solution generation. The weekend event uses many techniques discussed in this handbook, such as workshops and exhibitions, and can usually form the major part of the engagement strategy for the project.

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**Planning for Real™**

Planning for Real uses simple models as a focus for people to put forward and prioritise ideas on how their area can be improved. It is a highly visible, hands-on community development and empowerment tool, which people of all abilities and backgrounds find easy and enjoyable to engage in.

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**Open space event**

Open space events provide a highly democratic framework for enabling any group of people to create their own programme of discussions on almost any theme without much preparation. They are particularly useful for dealing with general policy issues, for generating enthusiasm and for dealing with urgent issues needing quick action.
Aims
A positive strategy of engaging ‘hard to reach’ groups can help to achieve the following aims:

- To encourage the active engagement and involvement of all types of stakeholder, and to make sure that their views are incorporated into the project decision-making process;
- To assist people in articulating issues about the project that concern them, as representatives of the different types of affected groups;
- To formulate proposals that address the particular needs of various disadvantaged groups of people;
- To ensure that their views are considered in the formal decision-making process, thereby reducing potential opposition at a later stage;
- To empower minority groups; and
- To promote a transparent engagement process.

Useful hints
Consider the following when engaging ‘hard to reach’ groups:

- Give careful consideration to the demographic profile of different parts of the study area;
- Prepare a strategy that engages groups with the whole project process and focuses on the outcomes;
- Identify ‘hard to reach’ groups from the outset of a project, and consider how to reach and engage them effectively;
- There are many organisations that represent the interests of ‘hard to reach’ groups, such as ‘Voluntary Action Group’. These can be a valuable source of information on how to engage such groups;
- Apart from assisting in directly involving hard to reach groups, such organisations could be used to disseminate information to their members; and
- When arranging an event, always remember to check for any special requirements, such as food or access. This can be done on the event reservation slip.

In Practice
Göteborg, Sweden
Innovative tools were developed as part of the car pool project in Göteborg to encourage the whole population (in particular hard to reach groups) to participate. The knocking door campaign, where all households in a certain area were visited, and testing days to convince the population of the validity of behavioural change are two methods adopted.

As a result, the share of participating and interested citizens in the car pool projects was higher than in other similar projects. Personal contact and a proactive engagement process were viewed as the major factors which contributed to success.

Brno, Czech Republic
In preparation of a strategy for the revitalisation of Mandal Square in Brno, consideration was given to involving young people.

Young people were involved in the revitalisation because they would be the main users of the improvement scheme in future years. Young citizens were unable to provide detailed suggestions on possible improvements because they were too young; however, they were able to show by means of sketches how they could see the square in the future. A good example of this is a sketch showing trees and birds that shows the project team that green natural square would be preferred.

An example of engagement with young people for the future vision for Mendel Square.
Ethnic minorities
Ethnic minority groups share common cultural traditions and living patterns which may differ from those of the predominant population, who may be unaware of many of their differing concerns and requirements. A demographic profile of the study area would help to alert the project team to the presence of particular ethnic minority groups. Consideration should be given to language and cultural factors unique to that group.

Impaired people
This group includes people with visual, hearing, physical or mental impairments. It is very important to engage directly with these various groups, since many transport projects aim to improve their accessibility. Consideration should be given to using special techniques such as braille, recorded messages and cartoon-based messages; always remember to make venues accessible for wheelchair users.

Young people and the elderly
Younger and older generations are often neglected in stakeholder engagement activities; however they usually have much information of value to share. Older generations often have a better understanding of local conditions, while the younger generation is likely to have new and interesting ideas; the latter also represent the main transport users in the future. Consideration could be given to using drawings and sketches to involve the young.

People with low literacy levels
Account should be taken of the varying literacy levels and technical knowledge of people in the area affected by the project. Written engagement materials should be available in other forms, making greater use of cartoons and graphics; key information should also be provided in audio form, perhaps via a telephone hotline. In general, use the minimum of technical terms and phrases, and try to keep the language as simple as possible.

Apathetic people
People who lack an interest in becoming involved in transport projects are probably the most difficult to include in the stakeholder engagement process, yet they may become vocal once the project has been implemented. This includes people who won't take part in surveys or attend events. Consider making materials colourful, interesting and attractive, and promote and market the benefits of being involved in the project.

How to avoid or overcome potential problems
In developing an engagement strategy it is important to identify the reasons why certain groups are ‘hard to reach’. The following should be taken into account to avoid or overcome potential problems:

- ‘Hard to reach’ groups are rarely homogeneous and can include a rich and varied range of sub-cultures. Treating them as a single group can potentially lead to problems and additional barriers.
- It is important to be clear whether you are trying to obtain a group view or the personal experience of different affected individuals. Community and voluntary groups are essential stakeholders in the engagement process, but they are not a substitute for gaining an individual insight into the issues facing ‘hard to reach’ groups, as they might have their own political agendas.
- Many might claim to speak for a disadvantaged community, but in reality few people can do so. It is essential to be aware of possible sub-groups and potential tensions within larger groups before engaging with them.
- Getting the language right is essential for engaging successfully with different communities. One barrier for ethnic communities can be language, and even within a small area there might be several different languages and dialects. Getting the tone as well as the meaning right is essential to avoid creating barriers by appearing to patronise some groups.
- Some of the most effective tools for engaging with ‘hard to reach’ groups will include those used for engaging with relatively small groups, such as focus groups and community visioning exercises, where the participants are targeted and personally invited. But, avoid the impression that there are two processes being undertaken, with different degrees of attention: one for hard to reach groups and the other for the rest of the community.
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Section 4 - Glossary and bibliography

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### Glossary

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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</thead>
<tbody>
<tr>
<td><strong>Aim</strong></td>
<td>The purpose and/or benefit of using a tool or technique described in this handbook, as part of a transport related project</td>
</tr>
<tr>
<td><strong>Apathetic people</strong></td>
<td>Individuals or groups who are reluctant to take an interest in a transport project or to become involved in the engagement process</td>
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<tr>
<td><strong>Assessment</strong></td>
<td>Judgement of project performance against milestones and required outputs, at various points during the transport decision-making process or after project implementation</td>
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<td><strong>Authority</strong></td>
<td>An organisation or institution which has an influence over the project decision-making process</td>
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<td><strong>Awareness campaign</strong></td>
<td>A technique used to raise public awareness of problems associated with road traffic, and to encourage the use of cleaner and more sustainable transport modes</td>
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<tr>
<td><strong>Barrier</strong></td>
<td>Any obstacle which delays or prevents a project being implemented, or limits the ways it can be implemented</td>
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<tr>
<td><strong>Capacity building</strong></td>
<td>The process of developing the skills of an organisation or group of people, to enable them to more effectively contribute to the engagement process, or to manage local projects</td>
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<tr>
<td><strong>Citizens Jury</strong></td>
<td>A series of hearings about a proposed transport policy or strategy, to which a small number of inhabitants of a city or neighbourhood are invited to attend and participate in discussions, before being asked to make recommendations</td>
</tr>
<tr>
<td><strong>CIVITAS</strong></td>
<td>An initiative incorporating urban transport demonstration projects, co-funded by the European Commission, DG TREN, which seeks to achieve a shift towards cleaner and more sustainable modes of transport by implementing a series of measures</td>
</tr>
<tr>
<td><strong>Community visit/study tour</strong></td>
<td>Local residents and other stakeholders are invited to join a guide to travel around the study area, or to visit another area where similar measures to the ones proposed have already been introduced</td>
</tr>
<tr>
<td><strong>Contentious issues</strong></td>
<td>Issues where there is a lack of consensus concerning the implementation of a project, with strongly held views on both sides</td>
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<tr>
<td><strong>Contextual barrier</strong></td>
<td>Any institutional, legal or financial obstacle which can prevent or delay a project, or lead to a major modification in its design or timing, or the cancellation of the project</td>
</tr>
<tr>
<td><strong>Decision maker</strong></td>
<td>An individual who is in a position to take or strongly influence a decision about the progress or outcome of the project</td>
</tr>
<tr>
<td><strong>Decision-making concepts</strong></td>
<td>A set of principles and procedures associated with the transport decision-making process, covering the project stages, various barriers, project management and engagement tools, and the elements of good decision-making</td>
</tr>
<tr>
<td><strong>Elected officials</strong></td>
<td>Individuals elected by the local population, as part of the political process, to represent their interests and contribute to the project decision taking process</td>
</tr>
<tr>
<td><strong>Engagement</strong></td>
<td>The process of identifying stakeholder groups and incorporating their concerns, needs and values at appropriate points in the transport decision-making process</td>
</tr>
<tr>
<td><strong>Engagement strategy</strong></td>
<td>A document that defines the objectives of stakeholder engagement and the specific activities that will be undertaken at each stage of the project to engage relevant stakeholders in the transport decision-making process</td>
</tr>
<tr>
<td><strong>Ethnic minorities</strong></td>
<td>Minority groups of people who share the same cultural traditions and characteristics, which differ from the predominant population</td>
</tr>
<tr>
<td><strong>Expert advisor</strong></td>
<td>An individual or group of people invited to assist the project team because of their specialist knowledge, skills and/or experience of a particular subject or project</td>
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</tr>
<tr>
<td><strong>External consultant</strong></td>
<td>An individual from outside the project team or organisation who is contracted to undertake a specific task relating to project management or engagement</td>
</tr>
<tr>
<td><strong>Facilitator</strong></td>
<td>An individual who helps to guide discussion among a group of stakeholders</td>
</tr>
<tr>
<td><strong>Fact sheet</strong></td>
<td>Detailed practical advice on how to plan and apply a particular project management or engagement technique within the transport decision-making process. Each tool in the handbook has associated fact sheets, presented in Volume 2, describing particular sub-tools, or techniques, in greater detail</td>
</tr>
<tr>
<td><strong>Feature article</strong></td>
<td>An extended description of a transport project, or a particular aspect of it, in a newspaper or magazine, typically written to expand on other news coverage</td>
</tr>
<tr>
<td><strong>Focus</strong></td>
<td>An understanding of what is required of the project at every stage of the process, the identification of priorities, and the concentration of resource and effort on these key priorities</td>
</tr>
<tr>
<td><strong>Focus group</strong></td>
<td>A technique in which a small group of people, usually previously unknown to one another, are invited to discuss specific topics or issues relevant to a particular transport project, led by a facilitator</td>
</tr>
<tr>
<td><strong>Formal decision taking</strong></td>
<td>The procedure by which the preferred option is decided by the responsible institution, following any legally determined processes</td>
</tr>
<tr>
<td><strong>Hard to reach groups</strong></td>
<td>Groups who are likely to be affected by a transport project, but have traditionally been difficult to contact and engage in the decision-making process; for example, impaired people, young people and those with low literacy levels</td>
</tr>
<tr>
<td><strong>Impaired people</strong></td>
<td>Those members of the community who suffer a disability or impairment which limits their capabilities; e.g. those who are blind or partially sighted, and those who are hard of hearing</td>
</tr>
<tr>
<td><strong>Implementation</strong></td>
<td>The process of putting into practice the strategy or scheme, including any construction works and system operations</td>
</tr>
<tr>
<td><strong>Inclusion and accessibility</strong></td>
<td>Ensuring that all stakeholders are aware of and able to participate in the decision-making process, and that the diversity of stakeholders and opinions are fairly represented</td>
</tr>
<tr>
<td><strong>Indicator</strong></td>
<td>A defined piece of data (usually quantitative) that is used to monitor progress in achieving a particular objective or target</td>
</tr>
<tr>
<td><strong>Individualised marketing</strong></td>
<td>A type of campaign targeted at specific individuals and groups in an area, using personal contact and customised information. The key aim is to encourage a change in behaviour resulting in the use of cleaner and more sustainable transport modes</td>
</tr>
<tr>
<td><strong>Information centre</strong></td>
<td>An office established by the project team, with regular opening hours, which distributes information and responds to enquiries</td>
</tr>
<tr>
<td><strong>Information event</strong></td>
<td>This includes several techniques involving organised events designed to disseminate information about a project</td>
</tr>
<tr>
<td><strong>Information management</strong></td>
<td>Process of identifying, obtaining, processing, storing and exchanging all types of information needed during a project</td>
</tr>
<tr>
<td>Glossary</td>
<td>Description</td>
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<tr>
<td>Institutional marketing</td>
<td>A focused campaign targeting decision-makers and public authorities. The key aim is to influence these groups and win their support</td>
</tr>
<tr>
<td>Interactive engagement</td>
<td>A range of techniques that enable stakeholder groups to engage in an interactive manner with the project team and other stakeholder groups; some techniques are more suited to dealing with issues relating to strategies or policies, and others with transport schemes</td>
</tr>
<tr>
<td>Internet</td>
<td>Technology to enable the dissemination of information and two-way communication via the World Wide Web and email</td>
</tr>
<tr>
<td>Leaflet and brochure</td>
<td>A short, printed document typically used to deliver a simple message to a large number of people</td>
</tr>
<tr>
<td>Marketing strategy</td>
<td>Defines the activities which will be undertaken to promote support for a project, both in terms of its implementation and subsequent use</td>
</tr>
<tr>
<td>Media</td>
<td>Includes organisations whose function is to provide information to the public or defined professional groups; the media covers television, newspapers, the professional press, news agencies, radio stations and internet news sites</td>
</tr>
<tr>
<td>Media strategy</td>
<td>Defines the activities which will be undertaken at various stages in the transport decision-making process, and how they will be managed, to ensure effective use of the media</td>
</tr>
<tr>
<td>Monitoring</td>
<td>An on-going measurement of progress, through the collection of new data and/or collation of existing data sources</td>
</tr>
<tr>
<td>Newsletter</td>
<td>A document (printed or electronic) which is produced regularly, providing current information on how a project is progressing</td>
</tr>
<tr>
<td>Open space event</td>
<td>An informally structured event, in which individuals and groups can debate issues and options in the context of an evolving agenda</td>
</tr>
<tr>
<td>Opponents</td>
<td>Those who object to a transport project and seek to prevent its implementation, or to modify the strategy or scheme</td>
</tr>
<tr>
<td>Option assessment</td>
<td>An appraisal of how suggested options meet the stated objectives and targets</td>
</tr>
<tr>
<td>Option generation</td>
<td>The development of alternative strategies or schemes representing different ways of meeting the project objectives</td>
</tr>
<tr>
<td>Organisational structure</td>
<td>Defines the roles and responsibilities and the management hierarchy for the project team, and its relationships with other key organisations</td>
</tr>
<tr>
<td>Outcome indicators</td>
<td>Measure the impacts, benefits and changes that are experienced by different stakeholder groups, during or after the implementation of a project</td>
</tr>
<tr>
<td>Planning for Real™</td>
<td>The local community uses three dimensional models to identify problems and to suggest ways of addressing them through an appropriate scheme or schemes</td>
</tr>
<tr>
<td>Post implementation evaluation</td>
<td>Based on data on final output and outcome indicators, this involves the assessment of how successful the project has been in meeting its objectives, in a cost effective manner</td>
</tr>
<tr>
<td>Potential problems</td>
<td>Discussed under each tool, these review barriers which could in the future cause delays, major modifications, or the cancellation of a project, if not anticipated and addressed</td>
</tr>
<tr>
<td><strong>Practice examples</strong></td>
<td>Examples of good practice from the European cities or regions involved in GUIDEMAPS, on the ways in which various tools and techniques have been used, the barriers that were encountered and how they were overcome. ‘In practice’ examples are provided in the tools section of the handbook, and full details of each site are provided on the CD-ROM</td>
</tr>
<tr>
<td><strong>Press pack</strong></td>
<td>A collection of information about a project, issue or decision which is provided for the media</td>
</tr>
<tr>
<td><strong>Printed public information materials</strong></td>
<td>Documents produced to inform or to encourage involvement in a project; e.g. a letter, poster, leaflet, fact sheet, newsletter or technical report</td>
</tr>
<tr>
<td><strong>Problem definition</strong></td>
<td>The process of identifying problems and issues, and defining the objectives that the project is intended to address</td>
</tr>
<tr>
<td><strong>Process barrier</strong></td>
<td>Any management or communication barrier which could cause delays, major modifications, or the cancellation of a project</td>
</tr>
<tr>
<td><strong>Project champion</strong></td>
<td>An individual in a position of influence who has taken a special interest in a project and uses this position to lobby for and advance the planning and implementation of the project</td>
</tr>
<tr>
<td><strong>Project management</strong></td>
<td>Tools that can assist in the overall planning, coordination and undertaking of a project, ensuring that tasks are completed on time and within resource constraints</td>
</tr>
<tr>
<td><strong>Project manager</strong></td>
<td>The person responsible for the coordination of a project, ensuring that tasks are completed on time and within resource constraints</td>
</tr>
<tr>
<td><strong>Project team</strong></td>
<td>Comprising the group of people who are assigned to work together to plan, design and implement a specific project</td>
</tr>
<tr>
<td><strong>Public meeting</strong></td>
<td>A traditional engagement technique that involves inviting the public to a meeting where they are informed about a transport project and are invited to give their views</td>
</tr>
<tr>
<td><strong>Resources</strong></td>
<td>The range of inputs, such as money and staff time, that is required at different stages to enable the project to be carried out</td>
</tr>
<tr>
<td><strong>Responsiveness</strong></td>
<td>The ability to quickly identify various kinds of problems that might arise, and to have in place procedures to react appropriately</td>
</tr>
<tr>
<td><strong>Special interest groups</strong></td>
<td>Includes organisations that represent particular interests (e.g. minority population groups, environmental issues), and who feel that the project is likely to affect their members or concerns</td>
</tr>
<tr>
<td><strong>Stages in the transport decision-making process</strong></td>
<td>Six sequential stages that characterise the main steps in a typical transport decision-making process, recognising that in practice the process is not usually a simple, linear one. These stages represent specific periods during which predefined types of work take place on a project</td>
</tr>
<tr>
<td><strong>Stakeholder</strong></td>
<td>Any individual, group or organisation affected by a proposed project, or who can affect a project and its implementation. This term includes the general public, as well as a wide range of other groups (e.g. businesses, public authorities and special interest groups)</td>
</tr>
<tr>
<td><strong>Stakeholder conference</strong></td>
<td>A large scale, formal engagement event focused on providing stakeholders with information on solving issues that affect them</td>
</tr>
<tr>
<td><strong>Stakeholder engagement</strong></td>
<td>The involvement of individuals, groups and organisations, to varying degrees, in aspects of the transport decision-making process, through a variety of tools</td>
</tr>
<tr>
<td><strong>Technical working party</strong></td>
<td>A meeting of technical professionals, designed to provide direction for a particular project, or on-going technical advice on specific issues</td>
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<tr>
<td><strong>Third party negotiation and mediation</strong></td>
<td>A technique used to seek agreement and compromise between two (or more) opposing interests</td>
</tr>
<tr>
<td><strong>Tools</strong></td>
<td>A group of related techniques for project management or engagement, designed to address a particular issue</td>
</tr>
<tr>
<td><strong>Topical events</strong></td>
<td>A technique for engaging the local community in a project or issue, by installing a project stall or stand where it will be seen by the community, e.g. on a market day or at a local fete</td>
</tr>
<tr>
<td><strong>Tracking progress</strong></td>
<td>The monitoring of the progress of a project against resource allocations (inputs) and output milestones set out in the work plan</td>
</tr>
<tr>
<td><strong>Transport decision-making process</strong></td>
<td>The whole process involved in planning, designing and implementing a transport project (strategy or scheme), including the aspects relating to decision taking</td>
</tr>
<tr>
<td><strong>Transport scheme</strong></td>
<td>A transport project involving the introduction of a new physical measure (e.g. light rail scheme, traffic calming scheme), or a new management measure (e.g. limited access zone); typically part of a wider transport strategy</td>
</tr>
<tr>
<td><strong>Transport strategy</strong></td>
<td>The formulation of a detailed plan to achieve a given set of policy objectives, either covering all transport modes, or selected modes (e.g. cycling strategy), usually resulting in the recommendation of a set of schemes</td>
</tr>
<tr>
<td><strong>Transport visioning event</strong></td>
<td>Combines various techniques, such as workshops, focus groups and exhibitions, to enable stakeholders to prepare a vision for their local area to solve particular transport-related problems or to help set objectives for a project</td>
</tr>
<tr>
<td><strong>Web based forums</strong></td>
<td>A dedicated web page associated with a project where stakeholders can view information, engage in online discussion with other stakeholders and the project team can provide feedback</td>
</tr>
<tr>
<td><strong>Weekend event</strong></td>
<td>A one or two day engagement event, designed to encourage the sharing and exchanging of detailed information about a specific project</td>
</tr>
<tr>
<td><strong>Work plan</strong></td>
<td>A document setting out a detailed and realistic series of actions to be undertaken, with an indication of resource use and time scales, against which progress can be measured</td>
</tr>
<tr>
<td><strong>Workshop</strong></td>
<td>An engagement event used to address a particular topic or activity and usually involves brainstorming or discussion to achieve a certain task or outcome</td>
</tr>
<tr>
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<tr>
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<th>Website Link</th>
<th>Description</th>
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<tr>
<td><a href="http://www.communityplanning.net">http://www.communityplanning.net</a></td>
<td>The Community Planning Website.</td>
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The following University and research institutes from both the public and private sectors have been involved in developing this handbook as consortium partners of the GUIDEMAPS project:

- RWTH-ISB (Project Coordinator)
  Institut für Stadtbauwesen und Stadtverkehr
  RWTH Aachen (D)
- UoW-TSG
  Transport Studies Group
  University of Westminster, London (UK)
- Boku-ITS
  Institut für Verkehrswesen
  Universität für Bodenkultur Wien (A)
- Socialdata
  Institut für Verkehrs- und Infrastrukturforschung GmbH, München (D)
- PTRC
  PTRC Education and Research Services Ltd (UK)
- DREIF/DIT
  Groupe Études et Stratégies des Transports
  Division des Infrastructures et des Transports, Paris (F)
- AUTh
  Aristotle University of Thessaloniki (GR)
- CDV
  Centrum dopravního výzkumu, Brno (CZ)
- MMB
  Magistrat města Brna (CZ)
- SENER
  Ingeniería y Sistemas S.A., Madrid (E)
- CRTM
  Consorcio Regional de Transportes de Madrid (E)

The following cities, counties, authorities and other organisations have been involved in the GUIDEMAPS project either as scientific subcontractor or as Practice Example:

- City of Bochum (D)
- City of Brighton & Hove (UK)
- City of Cologne (D)
- City of Erfurt (D)
- City of Gävle (S)
- City of Göteborg (S)
- City of Graz (A)
- City of Panorama (GR)
- Essex County Council (UK)
- Surrey County Council (UK)
- Saarbahn GmbH, Saarbrücken (D)
- Cycling Network Maribor (SLO)
- International Council for Local Environmental Initiatives, Freiburg (D)
- University of Maribor
  Faculty of Civil Engineering (SLO)
Successful transport decision-making
A project management and stakeholder engagement handbook
is designed to provide an easy to read, yet detailed guide to the latest
research into decision-making and engagement processes in transport
planning.

The handbook has been developed to support the decision-makers
involved in local and regional transport planning in Europe. It is
primarily aimed at transport professionals working in local authorities
or transport companies, but it is also relevant to all stakeholders
involved in the decision-making, engagement and project management
process: elected officials, community leaders, transport operators or
financiers, campaign groups, NGOs and interested citizens.

The handbook is based on research undertaken during the three
year European research project “Gaining Understanding of Improved
Decision-Making and Participation Strategies” – or GUIDEMAPS
for short – which involved 11 Partners from 7 European countries,
including two new member states. It is a practical guide drawn from
20 Practice Examples in 16 European cities, with useful advice on
how to apply the lessons learned.

© GUIDEMAPS consortium 2004
ISBN: 3-88354-144-3 (2 volumes)
Volume 1: Concepts and Tools
Volume 2: Fact Sheets

GUIDEMAPS has been funded by the European Commission
under the 5th Framework Programme. The UK Department for
Transport has co-financed the printing of this handbook.