



Outcome Indicators for Spatial Planning in England – Framework Report

[Link to publication record in Manchester Research Explorer](#)

Citation for published version (APA):

Wong, C., Rae, A., Baker, M., Hincks, S., Kingston, R., Watkins, C., & Ferrari, E. (2007). Outcome Indicators for Spatial Planning in England – Framework Report. (a report to the Office of the Deputy Prime Minister and the Royal Town Planning Institute). University of Manchester, Centre for Urban Policy Studies.

Citing this paper

Please note that where the full-text provided on Manchester Research Explorer is the Author Accepted Manuscript or Proof version this may differ from the final Published version. If citing, it is advised that you check and use the publisher's definitive version.

General rights

Copyright and moral rights for the publications made accessible in the Research Explorer are retained by the authors and/or other copyright owners and it is a condition of accessing publications that users recognise and abide by the legal requirements associated with these rights.

Takedown policy

If you believe that this document breaches copyright please refer to the University of Manchester's Takedown Procedures [<http://man.ac.uk/04Y6Bo>] or contact uml.scholarlycommunications@manchester.ac.uk providing relevant details, so we can investigate your claim.





Centre for **Urban Policy Studies**



OUTCOME INDICATORS FOR SPATIAL PLANNING IN ENGLAND

Framework Report

**For The Department of
Communities and Local Government and
The Royal Town Planning Institute**

**Centre for Urban Policy Studies
The University of Manchester**

**Department of Town and Regional Planning
The University of Sheffield**

20 June 2007

Contents

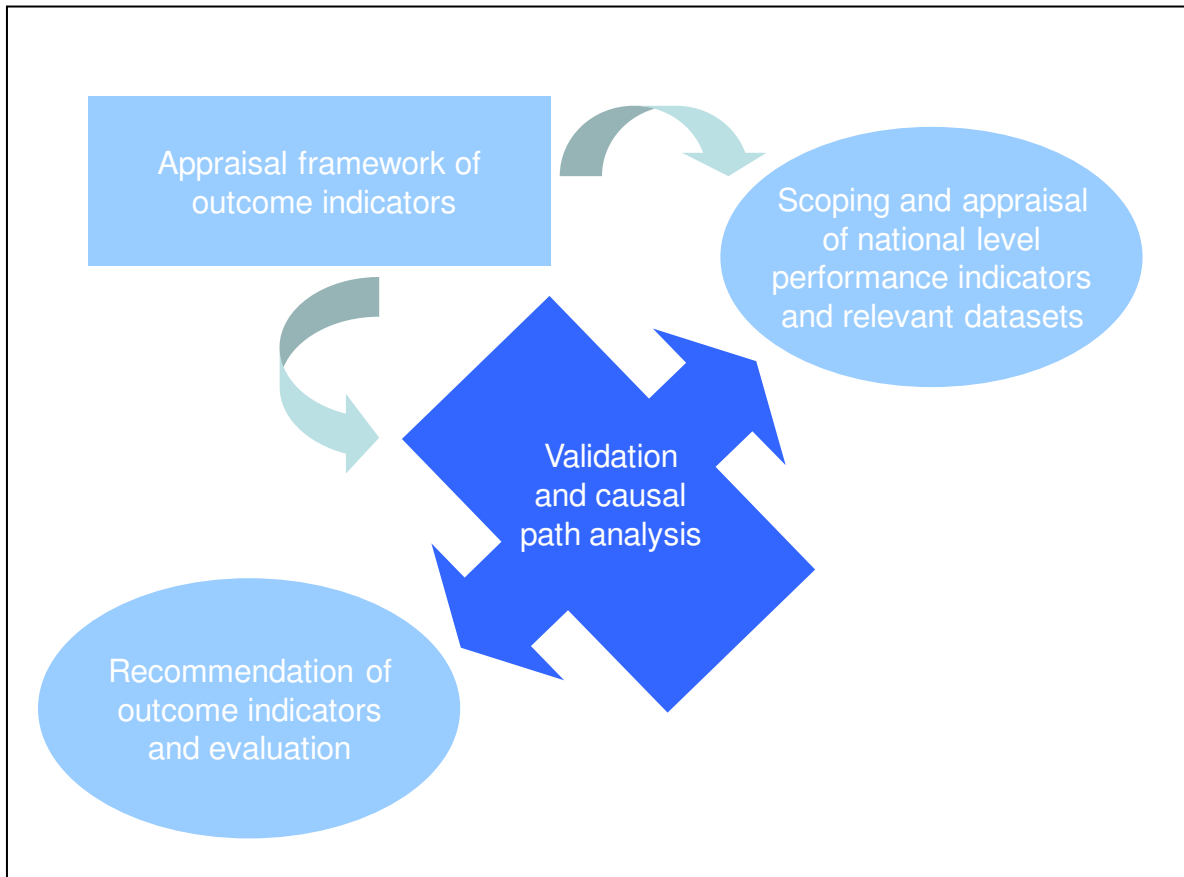
1. Key tasks to be addressed in this Working Paper	3
2. Conceptualising spatial planning and its outcomes	5
3. A review of existing AMR monitoring practice	23
4. Strategic Performance Framework: recommendations	34
5. Indicators Appraisal Framework: some initial ideas	38
Annex 1: Strategic Performance Framework Workshop, RTPI, London, 8 June, 2007	40
Annex 2: The Purpose and Objectives of the Planning System: Sectoral Objectives	43
Annex 3: Spatial Gini Coefficients and Indices of Dissimilarity	50
Annex 4: Data collection methodology of AMR monitoring review	53
Annex 5: Data collection methodology of AMR monitoring review	77

SECTION 1

Key tasks to be addressed in this Report

- 1.1 The aim of the research is to identify a coherent and integrated set of indicators that are able to robustly measure and clearly demonstrate the outcomes of the spatial planning system in England, which in turn provides an accountable framework to enhance the participation and engagement of stakeholders in improving the performance and outcomes of spatial planning. In order to allow a more strategic overview of the different functions served by output and outcome indicators in monitoring spatial planning strategies, the study also reviews the use, value and ownership of the existing AMR core output indicators.
- 1.2 To achieve this, the project will harness existing research and assessment of planning performance and outcome measures and the wide ranging indicator and data sets in the public domain that have relevance for the measurement of spatial planning outcomes. In addition, the proposed outcome indicators have to be established by taking into account the broad and dynamic policy context within which spatial planning operates.
- 1.3 In order to address the key conceptual and methodological issues mentioned above and to take into account the dynamic context of major policy reviews, in particular, the Local Government White Paper, the Planning White Paper and the ongoing Comprehensive Spending Review, a systematic methodological framework (see Figure 1.1) has been developed to guide the research.
- 1.4 This framework report aims to outline the progress made so far in relation to:
 - (1) the development of the Strategic Performance Framework (conceptual framework);
 - (2) a review of existing AMR Monitoring Practice; and
 - (3) an Indicators Appraisal Framework for both outcome and output indicators.

Figure 1.1 Methodological Framework of the Study



SECTION 2

A Strategic Performance Framework: conceptualising spatial planning and its outcomes

- ❑ **Overview**
- ❑ **Conceptualising Spatial Planning and its Outcomes**
- ❑ **Towards a Coherent Indicator Framework**

Overview

- 2.1 This section of the report is concerned with the need to ground the development of a coherent and integrated set of outcome indicators within the relevant conceptual and policy contexts. More specifically, the discussion here seeks to clarify the Strategic Performance Framework (SPF) for the assessment of planning outcomes. There are several important inter-related issues addressed.
- 2.2 First, the research team has sought to clarify the objectives and desired outcomes of the spatial planning system as a whole. This involves conceptualising spatial planning and its outcomes and involves unpacking the relationship between sustainable development and spatial planning and exploring the relationship between objectives and desired outcomes at different (regional and sub-regional) spatial scales. The discussion is informed by a review of existing research on the assessment and performance of planning. This exercise is referred to as Task 1.3 in the research proposal.
- 2.3 Second, the development of the SPF requires that the precise meaning of ‘outcomes’, ‘impact’ and ‘performance’ are clarified. This involves consideration of the nature and function of different types of indicators and the rationale for the existing LDF indicator framework. The relationship between inputs, process, outputs and outcomes of the planning system at multi-spatial levels is also clarified. This discussion takes us towards a coherent indicator framework (see Tasks 1.1 and 1.2 in the proposal). The framework is informed by pragmatic concerns about the nature, coverage and relevance of data in the public domain
- 2.4 The recommendations made in relation to the SPF (in line with Task 1.4) have been informed by desk-based reviews of key policy documents, and of the relevant theoretical literature, in-depth interviews with the project’s expert panel members and discussions with participants in three workshops – one with a range of planning stakeholders and two with AMR practitioners. Additional views have been sought as part of the large-scale survey of AMR practice and the related in-depth interviews with representatives of Government Offices, RPBs and selected counties and local authorities.
- 2.5 The next stage of the project will involve seeking agreement with CLG and RTPi on the features of the Strategic Performance Framework. This will then be used to structure the indicator appraisal work.

Conceptualising Spatial Planning and Its Outcomes

- 2.6 Since planning is a place shaping and space mediating mechanism, it is important to consider what the objectives of the spatial planning system in England are, and what are seen as the desirable outcomes. There are also questions of how to, and who should,

establish the relative importance between different competing objectives. By pooling key ideas from recent research, including policy and theoretical literature, the discussion here aims to pin down the nature and purpose of spatial planning and the concepts of sustainable development (the linkages of social, economic and environment and their tensions) and sustainable communities, and how these are related to the actual delivery of planning.

Definitional Issues and the Objectives of Spatial Planning

- 2.7 There are various perceptions of the scope of planning. At one level planning might be conceived as a set of relatively narrow statutory functions. Alternatively the recent Barker Review was concerned with the activities of Land Use Planning and their effects of economic competitiveness (Barker, 2006). This project is, however, concerned with the broader set of activities referred to as ‘spatial planning’.
- 2.8 There have been numerous attempts to define spatial planning. The RTPI’s New Vision for Planning defines spatial planning as ‘critical thinking about space and places as the basis for action or intervention’ (RTPI, 2007). A recent RTPI commissioned research project (UCL and Deloitte, 2007: 1) suggests that: “Spatial Planning is the practice of space shaping and delivery at the local and regional levels that aims to:
- Enable a vision for future regions and places that is based on evidence, local distinctiveness and community derived objectives;
 - Translate the vision into a set of policies, priorities, programmes and land allocations together with the public resources to deliver them
 - Create a framework for private investment and regeneration that promotes economic, environmental and social well being for the area
 - Coordinate and deliver the public sector components of the vision with other agencies and processes”
- 2.9 This definition implies that the planning system is now more than ever concerned with promoting the role of planning as a coordinator, integrator and mediator of the spatial dimensions of wider policy streams. The focus is thus now with addressing the factors that influence the nature of the places we live in and what is referred to as their ‘liveability’ (ODPM, 2006). This is further endorsed by the government’s place shaping agenda (HM Government, 2006; 2007) and reinforced by the Lyons Review’s assertion that the spatial planning system should be at the centre of this agenda.
- 2.10 This broader role represents an explicit extension of the scope of planning beyond its traditional focus on mediation, management and monitoring land use and physical change within localities. Spatial planning’s goal is thus to support ‘sustainable development’ and to help create ‘sustainable communities’. This requires achieving a range of social, economic and environmental objectives that are set out in detail in a number of key policy documents, in particular, PPS1 Delivering Sustainable Development states that,
- ‘Spatial planning goes beyond traditional land use planning to bring together and integrate policies for the development and use of land with other policies and programmes which influence the nature of places and how they can function.’ (ODPM, 2005, para. 30)
- 2.11 While sustainable development is seen as a unifying, long-term concept, it is also too holistic and vague to be operational (Campbell, 1996). There are important inter-relations and competitive tensions between the demand for environmental protection, economic development and social equity in both general and sector specific terms.

Campbell (1996) argues that these cannot be resolved unless the idealistic notion of the sustainable past and associated vague holism of policy objectives are replaced with an alternative formulation of desired outcomes. His proposed formulations include viewing sustainable development in progressive (incremental) and long-term reproduction terms, as well as distinguishing it in specific and general terms. This means that planning performs the role of managing and resolving conflicts and to promote creative solutions to achieve the vision of sustainable development. In this context, this project is concerned with assessing the outcome of spatial planning against the objectives set out in key policy statements rather than the more idealised notion of sustainable development. It is recognised that Spatial Planning delivered through a wide variety of processes, tools, activities and decisions that seek to actively shape the nature of places, how they function and how they interact with other places.

- 2.12 In practice this remains a challenging task. The goals of spatial planning and its impacts are by their nature broad, varied and complex. Spatial planning is not just about an identifiable set of policies and this project is not concerned merely with the outcomes of policy. Rather it is concerned with the role of a broad set of spatial planning activities in influencing place making outcomes.
- 2.13 Even if we were to focus on the direct outcome of planning policy, it is impossible to isolate effects or to assess the counterfactual (policy-off) situation (Morrison and Pearce, 2000). It is difficult to establish a benchmark for comparison. This means that it becomes very important to devise a methodology that can monitor the effect of planning on change. In addition, of course, spatial planning does not operate in isolation of other public policies. While spatial planning provides a framework to achieve the objectives of sustainable development, its delivery is heavily reliant upon the actions of a plurality of actors and agencies across different operationally independent policy sectors. This horizontal axis of interaction is then intersected by the vertical complexity of activities across different tiers of government. The implementation of the spatial objectives contained within planning policy is not only highly dependent upon the coordinating role of central government, but also local discretion over the interpretation of such policy guidance and the resources and action of developers and other stakeholders. Furthermore, all the foregoing assumes that there is some degree of consistency between broad policy objectives (and governance structures associated with their delivery) across different sectoral interests. The reality is that there remain complex relationships between policies, and even high-level policy outcomes may be contradictory (for example, policies on expansion of infrastructure for air travel versus policies for reducing carbon emissions).
- 2.14 The challenge of isolating the impacts of planning is best summed up by Roger Tym and Partners' report (2002) for the House of Commons Select Committee on planning competitiveness and productivity. From an economic point of view, planning is an instrument to rectify market failures by delivering public goods and infrastructure; internalising negative and maximising positive externalities; optimising global outcomes for society such as community development and natural resources planning; and distributing resources in an equitable manner. However, based on a review of research literature they found that (House of Commons, 2003: 6):
- there is little reliable data available;
 - it is difficult to distinguish the impact of planning from the impact of many other influences;
 - benefits of planning are especially hard to pin down;
 - there are social and economic costs and benefits from planning aside from the economic ones, and these are very important but even more difficult to quantify; and

- it is in any event difficult to put one's finger on the consequences of individual planning decisions or plan allocations.
- 2.15 As argued by Wong et al. (2006), the spatial planning indicator monitoring framework tends to be very good at picking up issues that can be best monitored through numbers. For instance, through the monitoring exercise, the North West Regional Assembly has found that some local planning authorities have a significant over-provision of dwelling stock in relation to the targets in Regional Planning Guidance. This type of monitoring highlights the need to explore the reasons for failure to implement planning policies. It also suggests that the policy itself may need to be reviewed to take into account of changing situations.
- 2.16 The monitoring approaches adopted so far have not been good at picking up policy outcomes that are less opaque. They have also been ineffective where spatial policy is more about protecting the positives of existing assets and/or mitigating the negative impacts brought by development (see also Roger Tym and Partners, 2002: para. 3.2). This view finds support from several participants in the Stakeholder Workshop (see Annex 1). The Workshop discussion highlighted the fact that regulatory planning functions, designed to protect the environment or defend urban vitality, actually contribute to quality of life and the quality of places but this is often forgotten or overlooked.

The Desired Outcomes of 'Spatial' Planning

- 2.17 Since the 1990s a range of policy documents, including both newer PPSs and older, but still extant, PPGs, have revealed, although not always explicitly, the broader objectives of the planning system. In many cases, sectoral guidance is quite detailed and often more obviously relevant to the development of 'output' rather than 'outcome' indicators. The over-arching role of the planning system in contributing to the government's sustainable development objectives is, however, a common theme of all guidance since at least the late 1990s and this has recently been given even greater emphasis by the new statutory requirements of section 39 of the PCPA 2004.
- 2.18 PPS1 states that 'planning should facilitate and promote sustainable and inclusive patterns of urban and rural development by:
- (1) making suitable land available for development in line with economic, social and environmental objectives to improve people's quality of life;
 - (2) contributing to sustainable economic development;
 - (3) protecting and enhancing the natural and historic environment, the quality and character of the countryside, and existing communities;
 - (4) ensuring high quality development through good and inclusive design, and the efficient use of resources; and
 - (5) ensuring that development supports existing communities and contributes to the creation of safe, sustainable, liveable and mixed communities with good access to jobs and key services for all members of the community.' (para. 5)
- 2.19 A number of key themes (here interpreted as desired outcomes) have emerged from our review of national policy statements on various aspects of the operation of the planning system, both generally and sectorally (see Annex 2 for further details of sectoral objectives). These key themes can be re-grouped under the five key objectives stated in PPS1 to provide a framework of desired outcome of sustainable development (see Box 2.1).

- 2.20 These key themes are further reinforced in the 2007 Planning White Paper that ‘our vision is for a planning system which supports vibrant, healthy sustainable communities, promotes the UK’s international competitiveness, and enables the infrastructure which is vital to our quality of life to be provided, in a way that is integrated with the delivery of other sustainable development objectives, and ensures that local communities and members of the public can make their views heard’ (HM Government, 2007: para. 1.3).

Box 2.1 Key themes emerged from national policy statements

- (1) making suitable land available for development in line with economic, social and environmental objectives to improve people’s quality of life:
 - ensuring the appropriate location of development
 - encouraging an appropriate mix of development
 - ensuring appropriate land supply and availability for various uses and activities
 - increasing the supply of housing
 - steering development towards ‘brownfield’ land
- (2) contributing to sustainable economic development:
 - encouraging economic growth
 - increasing competition, consumer choice and competitiveness
 - contributing to urban renewal
 - contributing to a rural renaissance
 - reducing the need to travel
 - improving our local and national infrastructure
- (3) protecting and enhancing the natural and historic environment, the quality and character of the countryside, and existing communities:
 - protecting ‘greenfield land’ from unnecessary development
 - preventing urban sprawl
 - environmental protection (natural and built/historic)
 - enhancing biodiversity
 - improving landscape and environmental quality
 - responding to climate change
- (4) ensuring high quality development through good and inclusive design, and the efficient use of resources:
 - enhancing the quality of places
 - high quality design
 - energy reduction
 - promoting sustainable modes of travel
 - contributing to other national strategies (e.g. waste, renewable energy)
- (5) ensuring that development supports existing communities and contributes to the creation of safe, sustainable, liveable and mixed communities with good access to jobs and key services for all members of the community
 - creation of sustainable communities
 - enhancing the quality of life
 - meeting the needs of the community
 - provision of local services
 - social inclusion
 - accessibility

- 2.21 It is important to point out that the objectives of sustainable development and the key themes emergent from national policy statements are generic and universal, but ‘non-spatial’. If we also adopt indicators that are aspatial, there is a danger that one cannot truly differentiate the performance of the government’s macro-economic policy outcomes (e.g. measured by GVA per capita) from the more planning related outcomes of reducing regional inequality. Since statutory spatial plans only exist at the regional and sub-regional level, this raises the issue of whether it is meaningful to devise indicators to measure the outcomes of spatial planning at the national level, without knowing what exact spatial outcomes are deemed as desirable nationally. As a recent review of literature on planning and economic competitiveness suggests, ‘planning restraint in congested areas might function as a form of covert regional policy..... Recent work from the Treasury and the DTI has noted that there are currently severe regional productivity imbalances, and continued planning constraint in some areas may assist in the rectification of these imbalances’ (Roger Tym and Partners, 2002: para 2.48). This suggests that where there is an absence of explicit national spatial policies, the outcomes of planning policies at the local and regional levels can still alter the national spatial landscape and some forms of ‘spatial’ indicators will be needed to gauge these spatial distribution issues.
- 2.22 There are different ways to gauge the outcomes of spatial planning. One option is to devise indicators measuring overall spatial disparities (e.g. spatial Gini coefficients, indices of dissimilarity – see Annex 3) of socio-economic and environmental change across England. An alternative is to monitor national outcomes of spatial planning by focusing the collective outcomes achieved within each region. It is also possible to combine these approaches. The implementation of the first of these options requires decisions about the basic spatial unit of measurement: regions, functional areas (e.g. travel to work areas), districts, wards or super output areas. The choice of spatial unit to implement such measurement will be largely constrained by the availability of data, although changes in data collection processes could partly overcome this. The alternative relies on a structure within which the RPB, the LPBs and other key stakeholders work together to join up their policies within the spatial framework and to monitor the spatial outcomes of their planning policies.

The Importance of Process and Inputs on Planning Performance

- 2.23 The extent to which these goals might be achieved is dependent of the ‘process’ effectiveness of the system. The new spatial planning system represents a shift from the old ‘plan-present-defend’ approach to one that places more emphasis on partnership working and consensus building (RTPI, 2007). The participants in the three project workshops highlighted the extent to which this requires greater focus on the overarching vision for plans and planning. This means that that effective plans that contribute to wider outcomes need to be assessed, in part at least, on their ability to be flexible and adaptable. Process efficiency is seen as being central to delivering the outcomes consistent with visions of sustainable communities and greater ‘liveability’. Improved process efficiency, however, will require a change in culture and will take time to emerge.
- 2.24 This will not easy to measure. Public Service Agreement (PSA) targets agreed between CLG and the Treasury clearly represent very specific, high-level statements of expected outputs and outcomes. PSA 6 is the only such target that specifically relates to the (statutory) planning system, although it is plain to see that most of CLG’s other PSA targets represent outcomes that the planning system is expected to jointly or in part contribute towards. Most PSAs embody expectations of process as well as outcome; for example in their search for ‘effectiveness’, ‘efficiency’ and ‘delivery’. Relevant PSAs

and other high level targets are shown in Box 2.2. Some workshop participants (see Annex 1) have suggested that process efficiency needs to be measured using data on perceptions.

BOX 2.2 Relevant PSAs and other high-level targets

PSA1 Tackle social exclusion and deliver neighbourhood renewal, working with departments to help them meet their PSA floor targets, in particular narrowing the gap in health, education, crime, worklessness, housing and liveability outcomes between the most deprived areas and the rest of England, with measurable improvement by 2010.

PSA2 Make sustainable improvements in the economic performance of all English regions by 2008, and over the long term reduce the persistent gap in growth rates between the regions, demonstrating progress by 2006, joint with the Department of Trade and Industry and HM Treasury, including by establishing Elected Regional Assemblies in regions which vote in a referendum to have one.

PSA4 By 2008, improve the effectiveness and efficiency of local government in leading and delivering services to all communities.

PSA5 Achieve a better balance between housing availability and the demand for housing, including improving affordability, in all English regions while protecting valuable countryside around our towns, cities and in the green belt and the sustainability of towns and cities.

PSA6 The planning system to deliver sustainable development outcomes at national, regional and local levels through efficient and high quality planning and development management processes, including through achievement of best value standards for planning by 2008.

PSA8 Lead the delivery of cleaner, safer and greener public spaces and improvement of the quality of the built environment in deprived areas and across the country, with measurable improvement by 2008.

Source: Treasury

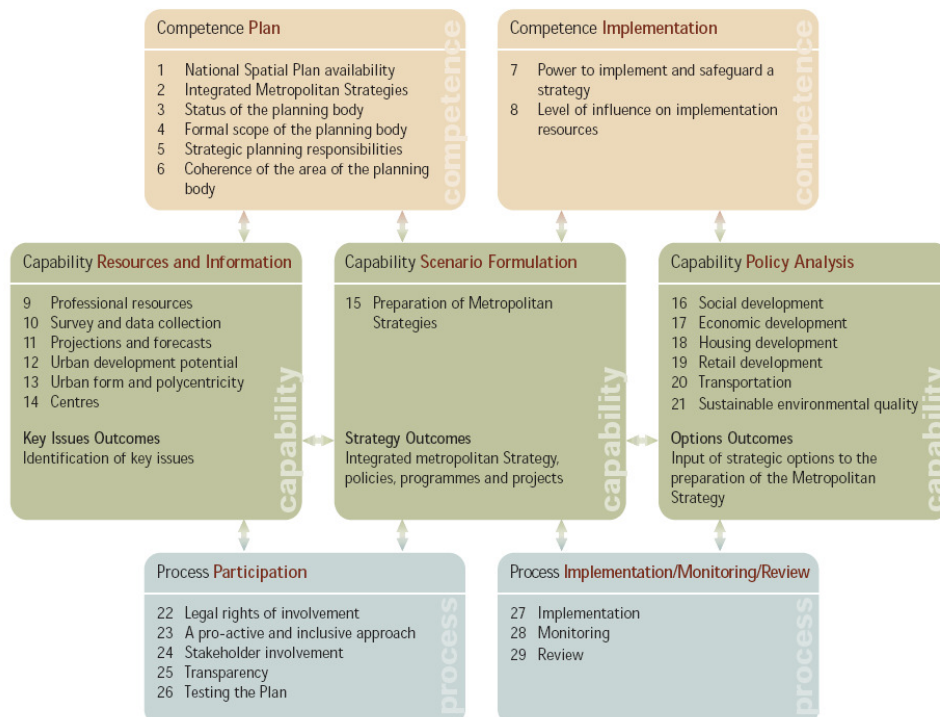
- 2.25 There is considerable research evidence that the processes, skills and capacity within LPAs will have a significant impact on planning outcomes. A recent study of the value of planning obligations developed a quantitative model that showed that number and value of obligations secured was less strongly influenced by the state of the local economy or local land and property markets than expected (see University of Sheffield with Halcrow, 2006). Rather, policy efficacy was strongly correlated to the efficiency of the LPA as measured by Best Value Indicators. The 'effective' LPAs also tended to have a designated Planning Obligations specialist and to have invested in the development of effective internal processes (such as IT-based monitoring systems). Policy efficacy, of course, also makes a significant difference to development outcomes.
- 2.26 The importance of process has also fed in to several attempts to explore the economic effects of planning policies on property market outcomes (see Bramley, 1998; Jackson and Watkins, 2007). For example, Jackson and Watkins' study of the retail property market uses survey data to construct qualitative measures of planning officers' attitudes towards new development. The indicators are composites of responses to a series of 'attitudinal' questions and were constructed using factor analysis and were then incorporated into an econometric model. The measures differentiate between policies

designed to regulate markets and those intended to stimulate or create a setting for private sector investment. The results suggest that in many LPA areas the demand-side effects of a proactive stance towards development outweighed the expected inflationary ‘price’ effects of supply-side constraints. The authors argue that proactive spatial planning policies can help secure market investment in projects that have social and economic benefits even when market fundamentals are not particularly supportive. Some authorities have successfully overcome significant economic and physical land market constraints. These outcomes, of course, only become apparent when survey-based attitudinal/process indicators are consulted. At the very least it suggests that there is importance in including some attitude-based process measures in determining the outcomes of Spatial Planning. Several respondents to the AMR survey suggest that attitudinal data can be used to gauge perceptions of the outcomes policies designed to protect the green space.

2.27 In the European benchmarking project of effective metropolitan spatial planning (METREX, 2006: 5), the competence, capability and process activities of spatial planners are seen as important elements of delivery changes (see Figure 2.1). This is also clear in the evidence received by the House of Commons Select Committee (2003) over the relationship between planning and economic competitiveness. This led to the conclusion that ‘the concerns expressed were almost entirely about day-to-day operational issues such as delays, direct costs to firms, and uncertainly’ (p.7) and that ‘the best local authorities already run their planning departments in proactive, responsive ways and if the resources are put into place, such approaches can be adopted by others’ (p.12). The Effective Practice in Spatial Planning (UCL and Deloitte, 2007) report suggests that some outcomes may be process driven in nature. Hence, its recommendations have been strongly focused on the development of joint communication strategy between different partners and across different policy sectors. This clearly suggests that inputs and process activities should be taken into account to develop a more holistic strategic performance framework of spatial planning.

Figure 2.1

THE PRACTICE BENCHMARKS AND THEIR RELATIONSHIPS SUMMARISED BY COMPETENCE CAPABILITY AND PROCESS



Regional and Sub-Regional Outcomes

- 2.28 There will inevitably be tensions between the desired outcomes of the spatial planning system as a whole and the differential outcomes that may occur at regional and sub-regional levels. At times the vertical integration of policy objectives and interventions is imperfect. These imperfect relationships may arguably even contribute to spatially uneven outcomes.
- 2.29 The need to integrate policies spatially has been discussed extensively. The RTPI (2007), for instance, has argued that Local Development Frameworks and Sustainable Communities Strategies should come together in the form of ‘integrated strategies’, sharing delivery mechanisms (through LAAs), leading to a shared set of outcomes. Hence, there is likely to be a high degree of commonality between ‘planning’ and ‘sustainable community’ outputs, outcomes and specific practice recommendations include developing a shared evidence base (where spatial planning, in particular, is seen to provide the spatial element to data and analysis that informs strategy) and joint monitoring for SCS, LDF and LAA, particularly on shared outcomes.
- 2.30 It is recognised that establishing some agreement on the desired outcomes of spatial planning needs to play an important part in such relationships (RTPI, 2007). There are three significant issues. First, outputs are contractually specified in Local Area Agreements, and the planning system is expected to contribute to the delivery of these. The document provides a very long list of the areas in which planning makes a contribution to LAA outcomes, including the provision of facilities; infrastructure; design; accessibility to jobs and services; the involvement of communities and stakeholders, etc. Second, Sustainable Communities outcomes are central to Sustainable Communities Strategies (SCSs), which LSPs have statutory responsibility for. Planning is expected to be centrally involved in delivering sustainable communities outcomes. Third, Spatial Planning outcomes, including social, environmental and economic outcomes, need to be reflected in SCSs.
- 2.31 The differentials between outcomes, of course, occur at a variety of spatial scales and this has practical implications for reaching agreement about the form that the desired outcomes of planning might take. At the Local Authority level, Monk and Whitehead (1999) have illustrated that differences in local planning regimes and market outcomes can lead to housing-led migration flows between neighbouring authorities and that these exacerbate local house price differentials. This is indicative of a more general problem that arises from the mismatch between economically functional market areas and local authority areas. The main concern is that administrative areas tend to be used as the spatial entities to deliver planning policy and initiatives, but they do not define functional entities such as housing and labour market areas or river catchment areas (see Wong et al., 2006). The movement of investment, pollutants, traffic and population means that it is increasingly difficult to handle spatial planning and economic development issues within a tightly bounded local or even regional planning framework. The relationship between LA boundaries and functional areas is highly variable. Some LAs will be over-bounded and others under-bounded. Furthermore, functional areas are not easy to define and the methods that have been employed to delineate them (in the housing and labour market contexts in particular) are highly contested.
- 2.32 As a result, in the absence of datasets that cover functional economic areas, the ideal would be to collate information at sub-district (e.g., neighbourhood), local authority and regional level. The consideration of data at different spatial scales is the only way to be certain that important differences in outcomes are not obscured by excessive spatial aggregation. In practice, the paucity of local data does not allow this option and the

move towards ideal indicators in these cases frequently can only be facilitated by large scale investment in national data collection infrastructure and further embedding of data collection in routine practice. This may involve a difficult process of disentangling data assembly from the administrative unit geographies used for service delivery to a more meaningfully socially and economically constructed units that relate to the communities or neighbourhoods and market areas that are subject to change.

- 2.33 One solution, endorsed by AMR and Stakeholder Workshop participants, is that planning outcomes ought to be examined at different spatial levels for different issues (see section 3 for further details). There are also limitations associated with relying on administrative areas as the unit of measurement. In addition, there are sectoral policies that focus on network planning, the most obvious example being transport strategy. It is thus important to measure the spatial outcomes created by the interactive effect of these strategies. The spatial processes of change and the socio-economic and environmental driving forces do not stop at administrative boundaries.

Towards a Coherent Indicator Framework

- 2.34 This sub-section aims to first clarify the current usage and rationale of different types of indicators in the policy process and their compatibility to shed light on ways of providing a set of clear and consistent definitions for the monitoring of planning policies. It will then explore the inter-connection and linkages between different types of indicators. Some proposals are then made with respect to how different types of indicators should be structured and analysed to yield a robust evidence base for spatial planning policy-making.

Nature and Function of Different Types of Indicators

- 2.35 The review of policy documents shows that different monitoring frameworks adopt slightly different terminology to describe the purpose of different types of indicators. It is thus not surprising to find that there is some confusion over the meaning and exact nature of particular types of indicators, and in turn how the indicators should be analysed to inform policy intelligence. There is, therefore, a need to provide clarification of the definition of different types of indicators used in monitoring spatial planning policy, as well as adopting this definition consistently across different policy documents (at least planning related policy documents).
- 2.36 The objectives-targets-indicators approach adopted in the Monitoring Regional Planning Guidance on Targets and Indicators (ODPM, 2002a) emphasises the linkage of key objectives, policies, targets and output indicators. Process delivery indicators and targets are used to gauge the implementation of planning policies. In addition, contextual indicators should be used to help measure outcomes and in assisting the understanding of the evolving context in which the RPG strategy operates, though there is a lack of clear guidance of what outcomes mean and how they should be measured.
- 2.37 For a long time, criticism of policy monitoring has focused on the development of intermediate output measures (such as hectares of derelict land improved, number of new houses built) rather than the impact and effectiveness of policy in meeting policy goals (Burton and Boddy, 1995; National Audit Office, 1990). There has been a concern about the missing link between inputs, outputs and outcomes/impacts (the outcomes for different groups or areas) of policy performance. Another important signal projected from the government's monitoring guidelines is the increasing emphasis on the longer-term horizon of outcome and impact measurement as evident in the 2006 Local Government White Paper and the 2007 Planning for a Sustainable

Future White Paper. There seems to be a realisation that the focus on monitoring outputs in the late 1980s and 1990s failed to provide a clear picture of policy achievement and there is a need to expand the scope of evaluation to allow the monitoring of trends and changes (EC, 2000a; SEU, 2000). Hence, the concepts of baseline and contextual indicators are frequently mentioned as a basis for more rigorous evaluation of progress and change (EC, 2000; DTLR, 2002; ODPM, 2003b).

- 2.38 The operational monitoring framework proposed by the European Commission (2000) to assess the new programme of structural assistance includes the development of indicators to measure inputs, outputs, results and impacts (see Box 2.3). This classification scheme is comparable to the one used in the monitoring of RPG, with the exception of the inclusion of input and result indicators. Since the monitoring of the RPG focuses on policy (whereas the focus of the EC framework is on programmes), there is less emphasis on input indicators as the core planning strategies are the inputs. The result of policies can also be gauged by examining the change in output indicators over time and the extent to which the targets set for the output indicators are achieved. In this sense, proper analysis and interpretation of the output indicators proposed in the RPG will provide adequate information on the immediate effect of the planning policy. However, what is lacking in the RPG framework is a clear articulation of what outcomes mean, and whether this is equivalent to the measurement of longer-term impacts in the EC framework.

Box 2.3 The Operational Monitoring Framework of European Structural Assistance

- Input indicators: measures implemented by administrations, agencies or operators using various (financial, human, technical or organisational) means or resources.
- Output indicators: actual expenditure gives rise to a series of physical outputs (e.g. kilometres of road built), which demonstrates the progress made in implementing the measure. They are indicators related to activity.
- Result indicators: the immediate effects on the direct beneficiaries of the actions financed (e.g. reduced journey times, transport costs)
- Impact indicators: the results can be expressed in terms of their impacts on achieving the programme's global or specific objectives and are the principal bases for assessing the success or failure of the assistance in question.
- Contextual indicators: contextual indicators provide a quantified description of current disparities, gaps and development potential for the regions concerned.
- Baselines: baseline data refer to the initial value against which a context or impact indicators is subsequently measured.

Source: EC, 2000: 8, 11

- 2.39 Another set of definitions that are widely used in monitoring sustainability indicators is based on the Pressure-State-Response (PSR) model. This model classifies indicators according to their functions and roles in the decision making process. Some sustainability indicators aim to provide a simple description of the current state of development (state indicators), others are used to diagnose and gauge the process that will influence the state of progress towards sustainability (pressure, process or control indicators), or to assess the impact brought by policy changes (target, response or performance indicators). The sustainability indicator sets of the OECD and the United Nations are developed on the basis of a link model of 'pressure, state, response'. The PSR model provides a concise and logical way of conceptualizing the chain effect of human activities on the changing state of our environment and resources, and leading to formulation of the social and policy response required to alleviate the pressure exerted on the environment. Whilst conceptually simple, the operation of the model is not

straightforward. When preparing the report on Indicators of Sustainable Development for the UK (DoE, 1996), the Working Group abandoned the idea of adopting the model and separated out indicators concerning the economy, the environment and the actors involved (Cannell et al., 1999). For others (such as Dunn et al., 1998), the linear relationship captured in the PSR model is seen as over-simplifying the complexity of real life and more complicated frameworks are proposed (see, for example, Briggs et al., 1995).

2.40 European Directive 2001/42/EC requires that Strategic Environmental Assessments (SEAs) are undertaken on plans and programmes to assess their environmental effects. There is a need to examine the compatibility of the terminology used in the SEA Directive and that used in RPG monitoring. The SEA Directive contains input (response) indicator as well as outcome indicators:

- Input/response indicators: indicators that focus on actions to be undertaken to achieve an outcome (e.g. installing catalytic converters in new cars to reduce the level of air pollution). These are ‘means’ indicators.
- Outcome indicators: indicators that focus on the outcome sought (e.g. clear air) rather than how it should be achieved. These are ‘ends’ indicators.

2.41 Implicitly, the SEA terminology equates ‘responses’ to outputs and thus conflates programme inputs and outputs as the ‘means’ by which wider ‘ends’ (outcomes) are brought about. As explained earlier, the inputs in the RPG framework will be the policies included in the plan and strategies. The definition of outcome, however, encompasses both outputs and outcomes defined in the RPG monitoring. This means the classification in the RPG monitoring is slightly more fine-grained than that in the SEA Directive.

Rationale of the Current LDF Indicator Framework

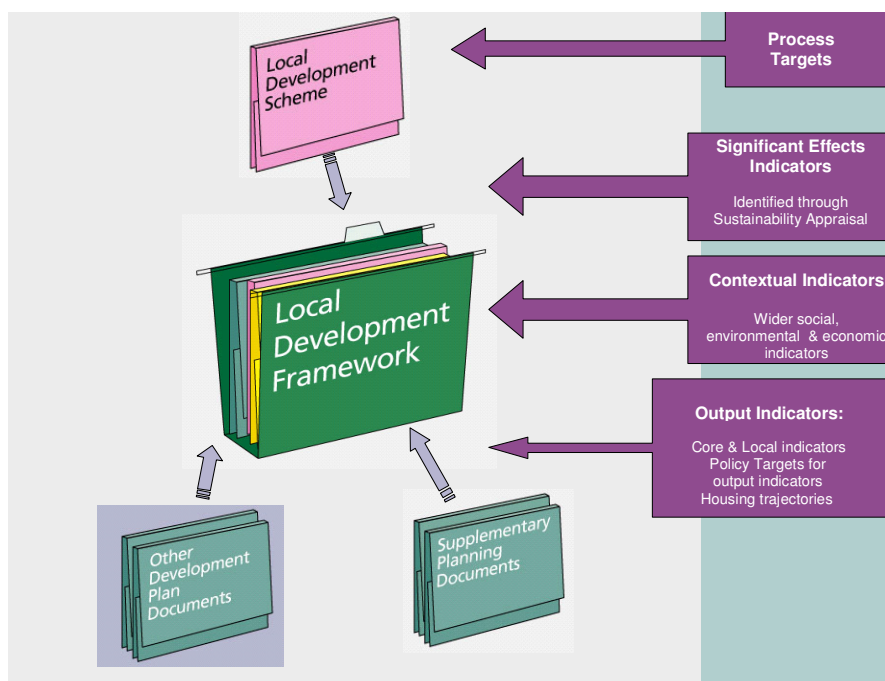
2.42 It is important to note that the above models all assume that there is a causal chain of different types of indicators in the policy-making process. Ideally, the monitoring framework should be guided by causal theories, but due to the complexity and inter-relations between different socio-economic issues, it is impossible to untangle the web of inputs and outcomes. Hoernig and Seasons (2004) helpfully point out two important concerns that planners have to take into account when deriving a monitoring framework. The first concern is about the models or conceptualisation of the interrelationship of different components of society, and the second is about the pragmatic policy-making framework and policy needs.

2.43 In 2004, regional and local level planners participating in workshops and in-depth interviews on the development of indicators for LDF monitoring, revealed there are a large number of practitioners on the ground who find the meaning and purpose of contextual and outcome indicators difficult to grasp. This reflects a lack of monitoring capacity at the local level where some planning authorities only have a small number of planners and they have no experience of comprehensive monitoring work. This is different from the experience at the regional level. After serious discussion and debate between the authors and the ODPM, the decision was to take a pragmatic incremental approach in the early years of spatial policy monitoring to allow capacity building by excluding outcome indicators from the framework.

2.44 Four types of indicators are adopted in the ODPM guidance (see Figure 2.2):

- Process targets: local planning authorities are required to establish process targets to compare actual timetables for Local Development Document preparation against those set out in the Local Development Scheme.
- Significant effects indicators: are used to assess the significant social, environmental and economic effects of policies to meet the requirements of European Directive 2001/42/EC undertaking Strategic Environmental Assessment of plans and programmes.
- Contextual indicators: describe the wider social, environmental and economic background against which the LDF policy operates.
- Output indicators: both core and local output indicators are used to measure the direct effect of spatial planning policies. In addition, the monitoring of housing trajectories is seen as part of the monitoring of output indicators.

Figure 2.2 Framework of Indicators for Monitoring LDF



Source: ODPM, 2005a: 25

2.45 Due to the lack of capacity in some local planning authorities, and after ascertaining the concerns of those working on the ground through workshops and in-depth interviews, the current monitoring guidance does not include any outcome indicators. The only suggestion is for local planning authorities to gauge the result of their policies by examining the change in the output indicators over the years, and the extent to which the targets set for the output indicators are being achieved. In this sense, proper analysis and interpretation of the output indicators can provide adequate information on the immediate effects of planning policy. At present many of the AMR Survey respondents (see next section for further details) suggest that this is a routine part of their monitoring process. Practice, however, appears to be very uneven and there is considerable variation in the type and number of indicators consulted. In this context, it would seem desirable that the longer-term outcomes and impacts of spatial planning policy should be ascertained in a well thought through methodological approach. With the recent publication of the Local Government and the Planning White Papers, it would appear to be the right time to revisit the issues.

Definitional and Relational Issues of Different Types of Indicators

Context and outcome

- 2.46 There is concern over the potential overlap between contextual indicators and outcome indicators (and, in practice, many AMR Survey respondents conflate the two). The purpose of having contextual indicators is to provide a backdrop against which planning policies are operating at different localities by taking into account the very different socio-economic and environmental circumstances that areas have as their starting point. Ideally, it would be desirable to include causal analysis into the analytical framework. However, after reviewing the findings from recent research, it is clear that there are many untested assumptions about cause and effect and there is not a prudently proved conceptual framework to guide the analysis. The problem with contextual indicators is that it is very difficult to separate the dynamic processes of change from the state of outcomes (see Wong et al., 2004), as the outcomes themselves prompt further changes and become the context of the next moment.
- 2.47 The policy concepts of competitiveness, social exclusion and sustainable development all encapsulate the process of change as well as the state of development. It is also clear that the operation of different aspects of change may reinforce and enhance the restructuring process (such as quality of life and economic competitiveness), but their interaction can be contentious (such as the tension between achieving economic growth and a sustainable environment). Hence, the indicators used to outline the context will inevitably overlap with those measuring outcomes. However, the change in the contextual indicators is probably attributed to a wide range of factors that planning policy may or may not play a part. The outcome indicators of spatial planning should thus only overlap with those contextual indicators that are more specifically related to planning strategy and policy. This suggests that outcome indicators need to be ‘plan-derived’ in a plan-led system so that changes are being monitored and outcomes that are being measured are to be interpreted effectively.
- 2.48 Notwithstanding the difficulties associated with contextual indicators, it remains important that indicators relating to different sectoral concerns (e.g., transport) are seen in the context of other indicators or sectors. For example, indicators of commuting in isolate might lead analysts to ascribe travel patterns to the success or otherwise of policies for the promotion of sustainable transport. However, this would miss effects related to other social or economic indicators (for example, lower income groups are less mobile; or, all other things being equal, weaker local economies might demand less commuting).

Outcome, impact and performance

- 2.49 The terminologies of ‘outcome’, ‘impact’ and ‘performance’ have frequently been used interchangeably because, to a certain extent, they can all be defined in a way to relate to the achievement of specific objectives. However, there are subtle differences between them. While some researchers (e.g. Carmona and Sieh, 2006) do not differentiate between outcome and impact, others (Morrison and Pearce, 2000) define outcomes as the combined effects on changes brought by the planning system with other forces, whilst impacts are the effects solely attributable to the planning system. Since the measurement of outcomes is a highly challenging task, it is unlikely that we can further isolate the impacts that can be directly attributable to planning. It is, therefore, sensible to view outcomes as the combined effects on socio-economic and environmental changes brought by the planning system and other forces to achieve the planning objectives of sustainable development and sustainable communities.

- 2.50 Many argue that outcomes are just one way to assess the performance of spatial planning. Performance can be assessed in a multi-dimensional framework to include effectiveness (substantial), efficiency (procedural), as well as its success as a coordination device for decision-making (learning) (Faludi, 2000). While this study focuses on examining outcomes, both inputs (which was excluded in previous RPG and LDF monitoring guidance) and process (which includes stakeholder and community participation and should be wider than just focusing on the processing speed of planning applications (as discussed above)) should be taken into account to develop a more holistic strategic performance framework of spatial planning.
- 2.51 In the light of the discussion here, it is recommended the indicator framework of spatial planning policy monitoring should include indicators on: contextual issues; input factors of competence and capability; process issues of efficiency, participation and monitoring; outputs of immediate effect of planning policy; and outcomes of longer term changes towards achieving sustainable development and sustainable communities. There should also be scope for locally specific indicators within the framework (a view strongly supported by the AMR Survey respondents).

Spatial Units of Analysis

- 2.52 In the guidance for LDF monitoring, the emphasis is to collect indicators at the local authority district level and as far as possible to examine the sub-district level of distribution. This recommendation was made in the light of the lack of data collection capacity of many LPAs and the paucity of fine-grained spatial data in 2004. However, it was made clear that the collection of indicators only at the district level will not inform the critical achievement of the LDF as a spatial framework for the locality. A robust monitoring framework has to be able to pinpoint the success or failure of the LDF in guiding the spatial distribution of development and activities at a variety of spatial scales.
- 2.53 While acknowledging the fact that a multi-spatial framework is needed to provide a more flexible analytical structure to assess spatial policy progress, there is still a need to choose the spatial units of measurement to compile data for the assessment of planning performance. There are two different approaches towards multi-spatial framework of indicators collection.
- 2.54 First of all, there is a nested spatial hierarchical structure. The best example is the official index of multiple deprivation. The approach was first adopted by Robson et al. (1995) in the 1991 Index of Local Conditions where the indicator value was built up from the smaller area (i.e. enumeration districts and wards) to the larger area (i.e. districts), with larger area values being aggregates of smaller area values. They also use a matrix approach to present the final index ranking for each district together with three other measures: the spatial extent of deprivation at ward and enumeration district levels, and the intensity of deprivation. The implementation of such a neat spatial structure is, however, heavily dependent on the availability of data at very fine spatial scales. More importantly, such a nesting structure of measurement may not be suitable for the exploration of certain social phenomena. Furthermore, at more aggregate scales there is a constant temptation to include additional data that are readily available at that scale. The 1998 version of the index, for example, includes additional indicators at district level. This essentially leads to a different formulation of 'deprivation' at each scale and frustrates the ability of the indicator to neatly mesh at different spatial scales.
- 2.55 Hence, the alternative approach is that indicators should be developed for different purposes at different spatial levels of concern. This means the choice of an appropriate

spatial scale (or spatial scales) to the issue concerned is very critical in indicators development. This will be driven, in part, by conceptual concerns that help inform the interpretation of particular indicators. These concerns might imply that some issues such as environmental improvement are best dealt with at the neighbourhood level, whilst others such as infrastructural capacity are more appropriately measured at city or city-region scales (Archibugi 1998). A high level of aggregation would also be appropriate for the assessment of economic competitiveness where it might be hoped that scale or agglomeration effects would lead to greater outcomes. A further group of indicators may need to be monitored at multiple levels to avoid difficulties associated with their interpretation. Understanding housing market outcomes, for example, can be complicated by the openness of markets. This means that, at the regional scale, moderate house price growth might obscure significant variations between local authorities. In principle, this can happen without a noticeable impact on average regional prices.

- 2.56 The ultimate choice of appropriate spatial unit will often be pragmatic and data collection will be highly constrained by data availability. Often in practice data will not be available at a sufficiently disaggregated scale. Although there have been interesting attempts to invest in and pilot community and neighbourhood based datasets in Bradford and in Scotland, functionally meaningful sub-district data are very rare. Indeed sub-district data are generally limited. This means that often, important differences in policy outcomes will be aggregated away. For the majority of indicators sub-regional analysis would highly desirable. As we note above, however, the absence of micro data and the focus of the local authority as the organisational unit for policy implementation drives the use of the LA as the most common unit for analysis of potential outcomes measures. For many indicators, however, the LA level is manageable rather than meaningful. In this context, AMR practitioners are critical of the tendency to monitor what is available rather than what matters.
- 2.57 The AMR monitoring of spatial planning policy is currently organised in a nested structure (in theory, the lower spatial scale data can be aggregated to calculate the indicator value of the higher spatial level) to allow the tracking of progress across all LDFs and RSSs. While this structure largely works well, with indicators measuring policy outputs, it is more limited when gauging more strategic policy outcomes. This is due to the inherent tension that results from the mismatch between the administrative geographies and the appropriate functional spatial scale in measuring a particular socio-economic or environmental outcome.
- 2.58 To sum up the discussion, there is a dilemma between choosing the ideal spatial unit of analysis that is able to capture the real progress of spatial planning performance, on the one hand; and the practicality of finding data to operationalise the measurement across a wide range of issues, on the other.

Tiered Indicator Structure

- 2.59 With the burgeoning growth of different indicator sets, researchers have increasingly recommended a tier-structure of indicators to avoid information overload, and to provide flexibility to incorporate more indicators to allow a fuller understanding of issues. For instance, Innes and Booher (2000) proposed a three-tier indicator system to provide intelligence on city performance. These three types of indicators are system performance, policy and rapid feedback indicators:
- System performance indicators: a few key measures which reflect the central values of concern to those in the city and how the urban system is working;

- Policy and programme indicators: reflect the activities and outcomes of various elements of the system to provide feedbacks to policy-makers on how specific programmes and policies are working;
 - Rapid feedback indicators: provide rapid feedback data to help individuals, agencies and businesses to make day-to-day decisions.
- 2.60 The European Commission (2000a) also proposed a similar reference framework for the monitoring of its Structural Funds. Indicators are collected to monitor three tiers of programme objectives: global, specific and operational objectives. It is interesting to note that both classifications rest upon a layered indicator structure of measurement by developing indicators from a general-strategic level to gauge the overall health of the urban system, through the measurement of policy outcomes, to the more imminent/intermediate measures of policy feedback.
- 2.61 This tiered approach of structuring indicator sets has the obvious advantage of serving different analytical and policy purposes at different spatial levels and to avoid information overload. In developing a monitoring framework of the urban vision in the Urban White Paper, Wong et al. (2004) also recommend the use of a two-tier approach: the strategic indicators of urban change at the top tier; and domain-based vision indicators for the five urban visions at the lower tier. Strategic indicators are used to collect trend data on a small number of indicators that are widely used to gauge urban change - brought about by the process of socio-economic restructuring such as population level and change; employment level and change; unemployment level and change and duration; and gross domestic product per head and change. The lower tier of the indicator system deals with domain-based issues guided by the underlying conceptual framework of the five Urban White Paper visions.
- 2.62 The questions to be asked here are whether a tiered indicator structure should be adopted and, if so, how will the tiered framework operate? In the light of the discussion of the nature and purpose of spatial planning and complexity of measuring spatial outcomes, there is an argument for developing more strategic and effective indicators to measure long-term and high order outcomes, that is, cross-cutting and overarching issues. These indicators will have to be easily understood by a whole range of stakeholders and organisations that need to be brought into action to deliver the visions and objectives of spatial planning.
- 2.63 If outcomes are seen in a more strategic and longer term context, then we need to have indicators that are able to provide rapid short term feedback on whether these desired outcomes are on track. This can be related to the core output indicators and analysis of change at the local and regional levels.
- 2.64 The recommendation is to develop indicators for different purposes at the most relevant spatial levels of concern and that a tiered structure will be adopted to separate indicators measuring, for instance, the more strategic policy outcomes (those of long term and higher order nature) from the more immediate effects.

Timeframe of monitoring

- 2.65 By focusing on the timeframe of analysis, indicators can be seen as static or changing. A snapshot of the statistical value at a particular point of time will produce static indicators, whereas examining the variations of values over two different points of time will provide dynamic measures of change. When identifying indicators to measure city competitiveness, Bailey et al. (2002) argue that static indicators such as GDP per capita are more of a reflection of historic outcome. They, therefore, suggest that change

measures in GDP per capita or uptake of vacant land would be more sensitive indicators for the measurement of recent performance. Indicator values can also be expressed in both absolute and relative (rate and ratio) terms. These serve different analytical purposes - the absolute numbers illustrate the scale of the issues, while the expression of the values in relative term such as rates and ratios provide a more accurate basis to allow areas of widely different size to be compared.

- 2.66 In addition, it is important to establish the appropriate timeframe to ascertain different policy outcomes. There is a need to realise that some aspects of spatial planning may not be capable of assessment in the short term, as the operation of policy often requires a lengthy time period to work its way in the system before tangible benefits are evident within the locality. For instance, the procedural aspects of change can readily be monitored and policy outputs will probably take place earlier than wider spatial policy effects on the external environment, as the latter require a reasonable length of time to take effect. Similarly, as the participants in the Stakeholder Workshop note, process and cultural change within planning practice will take some time to emerge.

SECTION 3

A review of existing AMR monitoring practice

- ❑ Overview
- ❑ Collection and Use of Core Output Indicators
- ❑ Data Sources and Partnership Arrangements
- ❑ Capacity Building and Good Practice Dissemination

Overview

- 3.1 This section aims to provide a detailed account of the challenges faced by Local Planning Authorities (LPAs) and Regional Planning Bodies (RPBs) in relation to the collection and use of AMR core output indicators. The analysis identifies the ownership, use and value of the current set of AMR core output indicators in monitoring, and the experience of partnership arrangements over data collection, as well as highlighting key problems and limitations of the current set of core output indicators in monitoring spatial strategies.
- 3.2 A comprehensive approach was adopted in eliciting views and information from key stakeholders involved in the AMR monitoring process. This was achieved by a combination of a questionnaire survey with LPAs and in-depth telephone interviews with RPBs and Government Offices. In addition, two workshops were held in Manchester and London to facilitate more interactive discussion on the issues. It is important to point out that 186 valid questionnaires were completed in the survey, resulting in a remarkably high response rate of 47 per cent, achieved within a period of 8 working days. For details of the methodology, see Annex 4.
- 3.3 The findings reported here are based on the triangulation of these different data sources. Despite the fact that a wide range of stakeholders were involved in the study and by different methods of observation, the viewpoints expressed are very similar and coherent. This suggests that there is a high level of consensus over the issues emerging around the practice of AMR monitoring and the values and issues of certain core output indicators. This also demonstrates the robustness of the data collection methodology. The detailed breakdown of the e-survey response for local authority districts/unitary authorities (LADs/UAs) and County Councils (CCs) is provided in Annex 5.

Collection and Use of Core Output Indicators

Core Output and Local Output Indicators

- 3.4 The e-survey found that the number of indicators collected for the AMR varied widely. On average, a total of 54 were used in the LAD/UA AMR and 22 in the county AMR. The average number of core output indicators (COI) used by UAs/LADs was 21, which suggests that the norm is to follow the government's recommended set, though about a quarter of authorities collected much fewer. County Councils (CCs) tended to have fewer COIs which is probably related to their statutory remit as a waste and mineral authority. Nearly three-quarters of LADs/UAs and one-third of CCs collected extra local output indicators (LOIs). Over half of the LADs/UAs and a quarter of CCs included contextual indicators in their submission, with an average of 18 indicators.

- 3.5 There are some general concerns over the use and collection of the COIs. Serious concerns over the lack of time to collate the data were expressed by over 40 per cent of the survey respondents and a similar number also had some concerns over this issue. The next set of issues is related to data sources – their availability, quality, consistency, and updatedness. Nearly two-thirds of them also had some concerns over how to make sense of the indicators and their definitions. The use of some COIs in certain local contexts becomes meaningless. Some concerns also emerged over the issues of spatial scale and spatial coverage, as well as data cost.
- 3.6 When asked about the usefulness and relevance of specific COIs, the survey participants views proved to be very consistent. Based on their comments, we can classify the COIs into 3 groups (see Box 3.1).

Box 3.1: Usefulness of COIs - survey response		
Useful	Lukewarm	Not that Useful
<ul style="list-style-type: none"> • business development indicators (1a-1f) • housing trajectory indicators (2a–2d) • indicators on retail and leisure services (4a and 4b) • minerals and waste indicators for CCs only (5a, 5b, 6a, 6b) 	<ul style="list-style-type: none"> • accessibility to public services (3b) • flood protection and water quality (7) • biodiversity (8) • renewable energy (9) 	<ul style="list-style-type: none"> • car parking standards (3a) • Green Flag Award standard (4c) • minerals and waste indicators for LADs/UAs only (5a, 5b, 6a, 6b)

- 3.7 It is interesting to note that when comparing the response given to the usefulness of the COIs and their data collection and interpretation problems, they do bear some correlations. It is clear that most indicators have minor collection and interpretation issues. However, a number of COIs has major data collection and interpretation problems: car parking standards, accessibility to public services, biodiversity and renewable energy. Due to the lack of resources in some small LPAs and the difficulties encountered in data collection, many respondents in the survey as well as the workshop participants commented that many COIs were omitted from the submitted AMRs.
- 3.8 When asked whether any other policy areas could have benefited from having COIs, less than one-third of the participants in the survey said yes. The suggestions made by them fall into three broad areas:
- Environmental issues: climate change, carbon emissions, sustainable homes, travel plans and congestion, and flooding.
 - Place shaping issues: design quality, built heritage, community services, and amenities.
 - Corporate policy: community strategies, housing, economic development and regeneration.

Box 3.2: Data collection and interpretation problems of COIs - survey response		
Major collection problem	Minor collection problem	No data problem
<ul style="list-style-type: none"> • car parking standards (3a)# • accessibility to public services (3b)# • minerals indicators (5a, 5b) • biodiversity (8)# • renewable energy (9)# <p>note: those with # also have major interpretation problems</p>	<ul style="list-style-type: none"> • business development indicators (1a-1f) • housing trajectory indicators (2a, 2d) • indicators on retail and leisure services (4a and 4b) • Green Flag Award standard (4c)# • waste indicators (6a, 6b) • flood protection and water quality (7) 	<ul style="list-style-type: none"> • housing trajectory indicators (2b, 2c)

Specific Issues Core Output Indicators

3.9 Business development

Definition:

- Many planning permissions are issued on general ground, so the final development can be different combinations of B1, B2 and B8. This requires clearer guidance over the reporting by type requirement.
- There are also variations in the working definition of ‘regeneration’ and ‘employment’ areas, and previously developed land.
- It is also difficult to determine what gross internal floorspace means and cannot extract the data from planning applications, hence some LPAs simply use the gross external floorspace figures as conducting a proper survey is too expensive. This can cause inconsistency across the board, particularly when aggregated to the regional level.

Operation:

- Floorspace data is not always provided on the planning application forms or known until the development is completed.
- Different authorities use different thresholds to enumerate employment sites.
- It is not clear how to deal with the time lag between the loss of employment land to completed residential development as large sites may take a few years to complete.

Interpretation:

- COI 1d on available employment land by type is not that meaningful. It is better to measure change in employment land to take into account of both loss and gain.
- Business development COIs do not monitor the adaptability of employment land to wider development trends.
- Variations in indicator values over time may be the result of differences in working practices rather than measuring ‘real’ changes.

3.10 Housing

Definition:

- For COI2c it is difficult to decide when a dwelling is completed and a survey is normally needed to determine the situation. For large development sites, it is not clear whether the measure should be done on the basis of phases or only when the entire site is developed.
- There has also been a change in the definition of affordable housing in PPS 3. The indicator tends to just include new build.
- Need to clarify how the COIs are related to PPS3's Housing Market Assessment requirements.

Operation:

- Figures on affordable housing and housing completions (e.g. NHBC, HBF) compiled from different organisations sources are inconsistent.
- The practice over how to determine housing completions varies widely and some LPAs only focus on large developments.
- The timetable of HIPs submission does not synchronise with the AMR timetable.

Interpretation:

- The dwelling density threshold bands are not meaningful in high density urban areas like London as nearly all completed dwellings exceeded 50dph. The London Development Database uses habitable rooms instead.

3.11 Transport

Definition:

- There is a need to clarify the assumptions on bus service waiting time, transport modes and times of day (specify whether peak time or not).

Operation:

- The calculation ranges from the use DfT's 'Accession' software to manual analysis. Since there are cost and expert elements involved in using 'Accession', there is a capacity issue as well as quality of measure issue here.
- The car parking standard indicator is considered as most unhelpful. It is not consistently recorded and is collected on an ad hoc basis, but standards are mainly met through planning permission.

Interpretation:

- The car parking standard indicator is difficult to interpret. Some policies suggest under-provision sought to reduce car usage but others do not, so interpretation is not clear.
- The threshold of 30 minutes in the accessibility measure is not particularly relevant to London and metropolitan districts. London boroughs use GLA's public accessibility scores. There is a need to revise the threshold, maybe using threshold bands and relate them to settlement types (e.g. urban area, suburbs, semi-rural and rural).

3.12 Local services

Definition:

- Some definitional issues around town centres. The identification of towns is fine, but the delineation of centres is not straightforward. Maybe a retail threshold has to be suggested to help the delineation. Also, the same issue of how to measure gross internal floorspace was raised.

Operation:

- If the open land has to be managed to Green Flag standard but does not have to have the award, then there is a concern of who is going to decide if the open space is managed the standard. The data will be subjective and inconsistent.

Interpretation:

- The Green Flag award standard indicator is considered to be irrelevant and difficult to interpret. It is related to management issues rather than planning policy; it is also about existing space rather than newly created amenity and open space.
- There is a suggestion that the availability of open and amenity space should be linked to the accessibility measures provided that software issue is resolved, though it will not capture quality.
- Another possibility is to examine the ratio of open and amenity space to the number of new dwellings built.
- Leisure development currently refers to built leisure centres but there is a concern over the lack of measurement of open space leisure.

3.13 Minerals

Operation:

- Data capture is particularly difficult due to commercial sensitivity and industry's unwillingness to provide data, particularly for 5b on production of secondary and recycled aggregates.
- Data tend to be available at regional or sub-regional levels and cannot be supplied at district level for 'commercial confidentiality' reasons.
- The data provided by the industry is not necessarily up to date and often not in a usable format.

3.14 Waste

Interpretation:

- In relation to 6a, it is more meaningful to measure the change in capacity to find out whether there is an increase or loss of capacity.
- The amount of municipal waste dealt by management types (6b) is already covered in waste management plans, so there is duplication. Also, it is a management issue and not that relevant to planning policy.
- There is also a concern of the lack of measure on household waste.

3.15 Flood protection and water quality

Interpretation:

- Have problems with on what constitutes an objection from the Environment Agency over flood risk – just any objections, or those that are sustained even after permission is granted? Steps are often taken to mitigate the circumstances after initial objections from EA.

Operation:

- If the interpretation is sustained objections, then there are problems in processing the list. Local authorities need to manually cross-reference hundreds of applications.

3.16 Biodiversity

Operation:

- This indicator has caused tremendous problems over data collection as it tends to rely on time and resource intensive survey-based data and the data collection practice by various agencies such as the Wildlife Trust is sporadic.
- There is also confusion over who is collecting such data, while most LPAs assume that it is Natural England, but Natural England points out that it is DEFRA.
- If biodiversity is to be collected, should be at the regional level and collected periodically.

Interpretation:

- There is a mix of views over the usefulness of this indicator, some think that it may be an ideal indicator, but not pragmatic both in data collection and interpretation terms. Change in biodiversity tends to happen over a longer timeframe and is not always related to planning policy.
- Some suggestions include the examination of loss of natural land to development (i.e. damaged biodiversity) and look at developments that have enhanced species protection (i.e. amount of land set aside for nature reserves or developments that actively promote specie protection), as well as compiling approved applications with mitigation or improvement measures.

3.17 Renewable energy

Operation:

- It is difficult to collect data by type as many installations are small scale schemes or permitted development. This will be exacerbated by the White Paper's proposed changes in planning permission requirements.

Interpretation:

- Some thought that capacity is less important than power output when measuring significant cases.

Analysis and Use of Indicators in the AMR

3.18 The large majority (79 per cent) of the participants in the survey found the combination of COIs and LOIs in the monitoring framework useful. There is no clear opinion over whether the change analysis of these indicators adequately informs the performance of planning policies, with the balance (52 per cent) tipping over the negative end. The comments made suggest that it is still too early to carry out any meaningful change analysis, and this is related to the fact that some LPAs are still in the process of setting up the monitoring framework and that it will take a longer time series of 3-5 years to establish trend analysis. There are also concerns over how to attribute changes in indicator values to the effects of planning policies and the interpretation cannot be made in isolation from the wider context. It is in relation to this that some participants suggested that both contextual indicators and LOIs were more useful to ascertain planning performance. This is probably because the COIs are centrally derived and most planning policies are driven locally which are better measured by LOIs.

3.19 Lack of resources and reliable historic data, as well as the difficulties in quantifying qualitative change were cited as reasons that impede change analysis. However, some participants commented that COIs did provide a useful evidence base and the two AMRs have already provided them with a spatial picture of development and further

improvement would be envisaged. The use of housing trajectory and business development analysis were found to be most useful in this respect. In terms of developing some direct performance measures, several suggested that the use of policies to reject unsuitable proposals and to successfully defend planning appeals should be considered.

- 3.20 Also, just above one-fifth of them have attempted to bundle the indicators to examine cross-cutting policy issues. The main benefit of the bundling approach is that different indicators can add a somewhat different perspective to the way we perceive policy. The analysis of the COIs and LOIs tended to focus at district level and less than a fifth of LADs/UAs collect or analyse data for settlement types and sub-district area. For CCs, the analysis tended to focus on district and county levels.
- 3.21 The survey participants very much viewed the main role of the COIs as fulfilling the AMR submission requirement (over 90 per cent). Only three-quarters regarded these indicators playing a major role in monitoring the performance of core strategy and just over two-thirds saw them as important in developing the core strategy and providing a robust evidence base for LDF. The majority only see the analysis of the COIs played a minor role in partnership working. On the whole, just over one-third found the AMR process very useful and over half found it quite helpful.
- 3.22 From the in-depth interviews with RPBs, it is important to note that some have included process indicators in their AMRs to set the scene, though these may not change on a yearly basis. Examples include: percentage of rural development plans with affordable housing policies; percentage of development plans which direct development away from areas of flood risk, coastal erosion and land instability; percentage of development plans with a defined coastal zone; percentage of development plans which contain flood risk statements and assessments; and percentage of relevant development plans with policies to restrict employment land at airports and safeguard land for port development and rail access.
- 3.23 While all survey participants agreed that outcome indicators should be collected, only a third of them claimed that they had used outcome indicators. However, the interviews with GOs and RPBs suggested that they hardly seen any. This suggests that there are different perceptions over what outcome indicators entail. From the commentaries made by the participants, it is clear that they tend to relate the use of contextual indicators and the significant effect indicators as indirect measures of planning outcomes. Concerns were also expressed at different venues that the monitoring of planning outcomes would be very difficult as it was impossible to attribute outcomes to planning policy. Also, the move towards general measures of outcomes would blur the line between the wider corporate monitoring of achieving sustainable development and quality of life issues. There is also a very clear signal that the only way to ascertain planning outcomes has to involve the use of qualitative information such as opinion surveys over quality of life and quality of place issues.
- 3.24 In summary, the experience of AMR monitoring and the use of COIs/LOIs suggests that there has been an underlying shift in the culture and recognition towards monitoring. However, it is a more gradual process than a major step change of integrating AMR into the plan-making process as desired. Our interviews with GO officers also confirm that the second round AMR has been a big improvement on the first round, though LAs are still getting to grips with the new process. The improvement tends to focus on data collection practice and data coverage, but less obviously on analysis. They also witnessed an apparent trend that those LPAs who valued the AMR rather than seeing it as a statutory chore started developing excellent documents.

- 3.25 The workshop discussion shows that the main challenge initially had been ‘doing’ AMR and the focus had been resolving data and practical problems. Now, however, the focus was shifting to interpretation, including strategic and long term goals, and that this would become more significant as more longitudinal data became available. From the survey responses, one can suggest that about a quarter of the LPAs are embedded in the monitoring process with positive attitudes and energy in relating policy making with monitoring. From the information collected, it is also clear that the North East Region stands out as the region where the LPAs are less keen to participate in the survey (with the lowest response rate of 28 per cent) and the workshops to voice their concerns and issues; and the participation rate from the Yorkshire and Humber region was also below average. The partnership arrangements in these two regions are much less well articulated than other regions.

Data Sources and Partnership Arrangements

Importance of Different Data Sources

- 3.26 Different data sources were used by LPAs to compile COIs, with development control and other in-house statistics being overwhelmingly (84 per cent) regarded as important. Other important data sources include ONS statistics (48 per cent) and data collected by sub-regional partnerships (43 per cent). While all participants found data from the RPB important, CCs tended to rate it more highly (72 per cent) than the others (28 per cent) and they also found that private sector (38 per cent) data an important source. For LADs/UAs, data from other central government departments was found important (31 per cent). It is interesting to note that only a quarter of the participants rated DCLG data as important. The response patterns over the collection of LOIs are fairly similar to those of the COIs, with one clear exception that the importance of ONS data was rated by more participants (63 per cent).
- 3.27 From the extra comments made by the respondents, it is clear that data from a number of agencies are of particular importance. The most frequently mentioned are the Environment Agency, Natural England, English Heritage and building control statistics. Some did particular mentioned regional and sub-regional partnerships.
- 3.28 When asked whether the collection of COIs will be enhanced by the development of PARSOL system and other electronic platforms such as the standard planning application form (1APP), just under 60 per cent of those surveyed said yes. The uncertainty over the benefits of PARSOL and 1APP to the AMR process was commonly shared by participants in the survey, in the in-depth interviews and the workshops.
- 3.29 While most of them acknowledged the potential benefits of any online systems over data sharing and more consistency in data collection practice. There are general concerns over the robustness of the data in actual practice. The key issue is that the electronic form does not cover all the required information for the COIs and that there is a validity issue over whether the applicants provide accurate information. Hence, 1APP may improve the consistency of current indicators if the uploading of the data was quality controlled and content specific. With regard to PARSOL, some commented that it was getting too complicated and that it required re-configuration of their own data capturing process to be compatible with PARSOL. Again, this was found work well in the South West Region that the Regional Observatory has compatible software and correct configuration to work with PARSOL. For others, integrating a new an online system means major resource requirements.

- 3.30 It is important to note that most regions have already organised their own on-line forms to collate information for the AMRs, however, the outcome varies as it all depends on how LPAs complete the form or whether they are filling in one at all. Some RPBs commented that they failed to get some LPAs to abandon their 'paper based' data storage practice.

Partnership Working

- 3.31 Just under two-thirds of surveyed LPAs had partnership arrangements over the collection of COIs and about three-quarters said that the arrangements have worked well. It is difficult to pinpoint any particular strong reasons for those partnerships that did not work well, slightly more responses were placed on the issue over coordination and management of the data sharing process and the timeframe of data collection.
- 3.32 The staggering timetable between the submission of the LDF AMR and the RSS AMR is intended to allow LPAs and RPBs to have a synchronised work schedule. However, only 55 per cent of the participants thought it was the case in the survey. The idea of having a staggering timetable is to provide space for ensuring data consistency between those submitted by LPAs and RPBs. However, this does not occur in practice because of significant time constraints. Although LDF AMRs are produced in December and RSS AMR is produced in February of each year, in reality, they are both being developed at the same time. Approval of the draft AMR needs to come from a large number of regional groups; some of the AMR's contents and issues are 'politically sensitive'; thus the 'sign off' process alone can take two months. Therefore, the Regional AMR is being written at the same time as the Districts are writing theirs. While recognising this is an issue, it was recognised that there was no ideal alternative as there was hardly any room to manoeuvre.
- 3.33 The collection of COIs was seen as offering synergy in meeting the demands of other policy monitoring requirements by over two-thirds of the survey participants. Some regions also commented that they made sure that the contextual indicators used were same as those in the Regional Economic Strategy. However, some participants and interviewees expressed concern over blurring the boundary between the monitoring of AMRs and other corporate documents such as the Community Strategies.
- 3.34 The survey also asked respondents who should take a lead in organising and managing the collection of the COIs and over two-thirds suggested that LADs/UAs should do; about one-third suggested RPBs and over a third suggested CCs. For those who argued that it was the role of LADs/UAs is because they were accountable for the production of the AMR and they should take the responsibility. More importantly, many thought that they knew their issues better and that they already had an efficient system in place for data access without the need of going through another layer of bureaucracy.
- 3.35 However, for others, the involvement of CCs and RPBs over data collection practice and analysis could offer synergy and economies of scale, and local information collected by LADs/UAs should be passed upwards to sub-regional groups, then to RPBs to aggregate data to achieve consistency. These tended to come from those who had more successful joint-working experience, had a stronger desire to achieve consistency across the region, or from smaller and less resources authorities. The participants from CCs did emphasise that they had specialist expertise in monitoring and time series data and some had strong working relationships with the districts while others were lessening their involvement as time went by. For those counties that are particularly active in fostering partnerships, the LPAs also seem to think the partnership works for them.

- 3.36 It is interesting to note that from the findings of our in-depth interviews, there is a rather clear divide between the RPBs and GOs over who should lead the organisation and management of COIs. Nearly all RPBs suggested that GOs/GLG and CCs should take a lead. While most RPBs had been actively involved in setting up working groups, electronic forms, and dissemination events, they also felt that GOs could play a stronger intermediate role between the centre and the LPAs. Their past experience suggested that when there had been more active county (or sub-regional partnership) involvement, the LPAs tended to benefit more the synergy of data collection. However, most GO interviewees tended to think that RPBs and, to a lesser extent, CCs and CLG should play a stronger role.

Capacity Building and Good Practice Dissemination

- 3.37 While the survey did not direct ask about resource issues, the reasons given of not collecting or analysing the indicators as well as they would like are related to the lack of resource. According to a recent survey carried out by the North West Regional Assembly, only 12% of LPAs spent more than 20% of their time maintaining and analysing data or producing the AMR as part of the monitoring process; 47% involved a graduate planner and 59% involved a senior planner; 24% with a planning technician. This highlights the fact that the ownership of the AMR is focused on a small number of officers and technicians who are close to the materials, but there is a lack of wider ownership of the exercise at the corporate level. This point was reinforced by various interviewees that there seems to be a disjunction between monitoring and policy development.
- 3.38 This raises an important issue of political capital/clout of the AMR in the wider governance structure. There was a view that colleagues in local government, both inside and outside planning, did not see much value in the AMR process. This presents some significant challenges when it comes to collecting data within specified timescales. There appears to be no interest from elected members, within the council and the public. The value of AMR needs to be made much more strongly to planners and at the corporate level in councils.
- 3.39 There is widespread concern over the lack of any feedback or substantial feedback from GOs, which is seen as undermining the value of this monitoring exercise. This was voiced at the workshops, during the interviews and in the survey. Some GOs also confirmed that they did not have time and capacity to go through the AMRs and the evidence collected suggests that the practice of providing feedback, in terms of content and format, varies widely across different regions. LPAs and RPBs indicated that they would like to have more substantial comments on the indicators, their technical issues, and specific policy implications drawn out in their AMRs. Also, from our interviews, it is clear that some GOs were much less engaged in the process and did not seem to have any awareness of the problems and issues surrounding the use of COIs or the implication in relation to the development of PARSOL and IAPP. In some cases, there seemed to be uncertainty over who was supposed to have knowledge on AMR monitoring. This suggests that the issue of capacity and awareness is not restricted to LPAs but also GOs.
- 3.40 There were, however, some GOs who had staff with in-depth knowledge and able to pinpoint relevant issues to help LPAs. From their observation, a good AMR should have these characteristics:

- With broad vision and embedded to policy making exercise;
 - Covers the core output indicators and looks at meaningful local indicators;
 - Looks at different geographical units to develop integrated and relevant spatial plans;
 - Able to address local issues and use the AMR in a way that is meaningful to their locality;
 - Provide adequate analysis and use ‘soft commentary’ to support the data, to be able to draw conclusions from the data and to answer the ‘so what’ question;
 - Include an executive summary to develop an user friendly document;
- 3.41 There is a strong desire to strengthen the involvement of different layers of government in the process. However, there is not a straightforward model as different actors have their own view on what works and what does not. In general, it is clear that planning partners at all levels have a role to play, the crux is to avoid duplication and to streamline the process. To roll out this process, there is a need to consider the complexity and difficulty of all partners to work together to deliver the outputs. One linear model suggested is for CLG to take a lead in defining COIs and the time scale; RPBs and CCs (or sub-regional partnerships) should provide appropriate information from their monitoring remit to organise the collection of the data required; and the responsibility of the submitted AMR lies with the districts.
- 3.42 Most RPBs and some county councils are very active in organising working groups, seminars and dissemination events. From our in-depth interviews, it is not difficult to identify the innovative practice and strengths in different regions. These should be widely disseminated and shared. For example:
- East of England: form Officer Sub-groups and set up an on-line form;
 - South West: close partnership working with the Regional Observatory and the Regional Strategic Information Providers Group; and the setting up of online data sharing system;
 - West Midlands: analyse indicators for major urban area and regeneration zone
 - North West: RPB works with the policy team to work out how to fit indicators to form conceptually meaningful bundle for policy analysis; and the use of process indicators to measure performance.
 - GLA: the set up of the London Development Database, partnership working and develop the public accessibility scores.

SECTION 4

Strategic Performance Framework: recommendations

- ❑ **The Desired Outcomes of Planning**
- ❑ **The Nature and Structure of Indicators**
- ❑ **Taking AMR Monitoring Forward**

The Desired Outcomes of Planning

- 4.1 Planning performs the role of managing and resolving conflicts and to promote creative solutions to achieve the vision of sustainable development. In this context, this project is concerned with assessing the outcomes of spatial planning against the objectives set out in key policy statements rather than the more idealised notion of sustainable development.
- 4.2 The ‘outcomes’ of spatial planning are distinct from inputs, outputs, impacts and performance. The outcomes of spatial planning are derived from the objectives of planning. They are broadly drawn and will reflect more than just policy objectives, identifiable inputs or directly measurable outputs. Outcomes should be viewed as the combined effects on socio-economic and environmental changes brought about by the planning system and other forces that seek to achieve sustainable development and sustainable communities.
- 4.3 The monitoring approaches adopted so far are not very good at picking up those policy outcomes that are invisible and where spatial policy is more about protecting the positives of existing assets and/or mitigating the negative impacts brought by development. The indicators developed will seek to capture the fact that the ‘invisible’ effects of planning contribute to quality of life and quality of places.
- 4.4 Meaningful outcome indicators need to be ‘plan derived’ in a plan-led system if the changes that are being monitored or outcomes that are being measured are to be interpreted effectively. Therefore, a framework of outcomes measures has to set out the scope of measurement and provide a consistent intellectual framework, though specific measures could be derived locally from a bottom-up process.
- 4.5 The new spatial planning system represents a shift from the old ‘plan-present-defend’ approach to one that places more emphasis on partnership working and consensus building. Recent research and benchmarking exercise suggests that the competence capability and process activities of spatial plan making are important to the delivery of outcomes. The proposed framework will encompass indicators that capture ‘process’ effectiveness – this may require the use of ‘attitudinal’ data.
- 4.6 There are different ways to gauge the outcome of spatial planning. The proposed framework will focus on cumulative outcomes at a variety of scales.
- 4.7 The complex meshing of multi-level governance and variations in sectoral priorities also has implications for the assessment and measurement of outcomes. The difficulties associated with the interpretation of some planning outcomes will require that they are monitored at multiple spatial scales.

- 4.8 Apart from the fact that planning outcomes have to be examined at different spatial levels for different issues, the discussion also highlights the limitation of relying on administrative areas as the unit of measurement. The main concern is that administrative areas tend to be used as the spatial entities to deliver planning policy and initiatives, but they do not define functional entities e.g. housing and labour market areas or river catchment areas. Pragmatic concerns, however, mean that the LA level will be the main unit of analysis. Spatial scale, and the importance of functionality, will vary by indicator.

The Nature and Structure of Indicators

- 4.9 The indicators selected will focus on 'outcomes'. Outcomes are related to contextual indicators, outputs and impacts but are more broadly drawn. Changes in outcomes can be attributed to a wide range of factors to which planning policy may or may not play a part. The outcome indicators of spatial planning should thus only overlap with those contextual indicators that are more specifically related to planning strategy and policy.
- 4.10 Outcome indicators need to be 'plan-derived' in a plan-led system so that changes are being adequately monitored and outcomes are being measured are interpreted effectively.
- 4.11 It is recommended that the indicator framework of spatial planning policy monitoring should include indicators on: contextual issues; input factors of competence and capability; process issues of efficiency, participation and monitoring; outputs of immediate effect of planning policy; and outcomes of longer term changes towards achieving sustainable development and sustainable communities.
- 4.12 Indicators related to sector-specific policies cannot be viewed in isolation. There needs to be some way of relating outcomes to contextual indicators to improve interpretation. The performance framework will recommend that some indicators are interpreted as part of a bundle of measures (perhaps including output indicators as well as other outcomes indicators).
- 4.13 In the light of the discussion of the nature and purpose of spatial planning and the complexity of measuring spatial outcomes, there is an argument for developing more strategic and effective indicators to measure long-term and higher order outcomes (in other words, cross-cutting and overarching issues). These indicators will have to be easily understood by a whole range of stakeholders and organisations that need to be mobilised to deliver the visions and objectives of spatial planning.
- 4.14 If outcomes are seen in a more strategic and longer term context, then we need to have indicators that are able to provide rapid feedback on whether these desired outcomes are on track to be delivered. This can be related to the core output indicators and analysis of their change at the local and regional levels. The framework will seek to clarify the relationship between outcome indicators and selected output indicators.
- 4.15 The recommendation is to develop indicators for different purposes at the most relevant spatial levels of concern and that a tiered structure will be adopted to separate indicators measuring, for instance, the more strategic policy outcomes (those of long term and higher order nature) from the more immediate effects.
- 4.16 It is important to establish the appropriate timeframe to ascertain different policy outcomes and to assess process changes. Different outcomes will change at different rates.

Taking AMR Monitoring Forward

A more focused approach of AMR monitoring

- 4.17 We recommend the adoption of a more focused approach towards AMR monitoring. The emphasis is on having a smaller number but more robust COIs. In order to streamline the COI structure, indicators will be grouped under 4 main headings:
- Business Development (employment land, retail, leisure, and office development);
 - Housing and Accessibility (housing trajectories, affordable housing and access to public transport and services);
 - Environmental Quality (including biodiversity, flooding and water quality, open and amenity space); and
 - Mineral and Waste
- 4.18 In relation to the comments made by the key actors involved, our recommendation is to remove car parking standards and Green Flag award from the COIs. COIs in relation to biodiversity, minerals and waste should be collected at the county and regional levels.
- 4.19 The definition and the enumeration methodology of each COI has to be clarified to ensure consistency in data collection and analysis across the board, while providing flexibility to take into account different local circumstances. LPAs should be encouraged to use contextual indicators and LOIs to examine local issues.
- 4.20 Notwithstanding the fact that there should be less rather than more COIs, there is a need to consider whether new output indicators are required to cover emerging issues as identified by LPAs, RPBs and GOs. This may require a further reduction of those less relevant COIs from the existing set, and to make space for more relevant ones:
- Environmental issues: climate change, carbon emissions, sustainable homes, travel plans and congestion, and flooding.
 - Place-shaping issues: design quality, built heritage, community services, and amenities.
 - Corporate policy: community strategies, housing, economic development and regeneration.
- 4.21 There is a need to consider the role played by process indicators, contextual indicators and significant effect indicators in ascertaining planning performance at the local and regional levels. There is strong political sensitivity over the collection of outcome indicators that have a wider focus than planning. There is scope to include qualitative indicators, in conjunction with the revised local government indicators, to meet with the place-shaping monitoring requirements at the corporate level.

Improve Capacity and Political Capital at all Levels

- 4.22 There is a strong desire to strengthen the involvement of different layers of government in the process. However, there is not a straightforward model as different actors have their own view on what works and what does not. In general, it is clear that planning partners at all levels have a role to play, the crux is to avoid duplication and to streamline the process. To roll out this process, there is a need to consider the complexity and difficulty of all partners to work together to deliver the outputs.

- 4.23 The findings in this report highlight the fact that the ownership of the AMR is focused on a small number of officers and technicians, but there is a lack of wider ownership of the exercise at the corporate level. The value of the AMR needs to be emphasised much more strongly to planners and to elected members and at the corporate level in councils.
- 4.24 There is a need to examine the capacity in GO in providing feedback to LPAs and a named person should be provided for direct contact to raise the profile and importance of AMR monitoring. Good practice from CLG should be issued to GOs over the substantive nature of feedback on AMRs. It will also be very important to publicise the fact that GOs do use the AMR as briefing documents and information for other teams in GO.
- 4.25 It is particularly clear that the involvement as well as the perception of the wider role played by CCs in AMR is mixed and ambivalent. There is a need to have clarity over the wider role played by CCs as many established monitoring teams have been disbanded over the last few years and this may reduce capacity. It is clear that some CCs (e.g. Kent, West Sussex, and Derbyshire) have been very active and successful in performing the role and these good practices should be rolled out.
- 4.26 It is important to disseminate good practice from AMRs, sub-regional partnerships and regional partnership work arrangements; innovative ideas and practices from different regions. While working groups and partnerships are set up at regional and sub-regional levels, it will be useful to have more cross-regional exchange to raise the performance levels of those lagging behind. There may be a case for each GO to nominate their best AMR of the year to CLG and some of the best examples should be posted on the CLG and GO web pages to encourage good practice.

SECTION 5

Indicators Appraisal Framework: some initial ideas

- ❑ **The Desired Outcomes of Planning**
- ❑ **The Nature and Structure of Indicators**
- ❑ **Taking AMR Monitoring Forward**

- 5.1 The appraisal framework aims set out the quality and assessment criteria of the outcome and core output indicators in terms of their conceptual relevance, policy integration, contribution to accountable decision-making, and technical robustness.
- 5.2 There is a need to develop a step-wise assessment approach by prioritising the importance of different assessment criteria, so that when an indicator fails to pass certain core criteria, it will be excluded and not be assessed for the other remaining criteria.
- 5.3 Some detailed criteria are outlined in the box below.

Box 5.1: Outcome Indicators Appraisal Framework: some initial thoughts

Conceptual relevance:

- Inform the causal links with the specified social, economic and environmental objectives of spatial planning at different spatial levels
- Inform the causal links with the inputs, process and outputs of the planning system at different spatial levels.

Policy integration:

- Reflect planning's contribution to the achievement of specified key sectoral policies
- Support cross-departmental contributions to achieve spatial outcomes at appropriate spatial levels
- Enable delivery, monitoring and feedback to spatial planning at different spatial levels
- Support place-making objectives of local government

Learning and accountability:

- Provide relevant information to planning stakeholders in the delivery chain
- Enable participative learning and negotiation in the decision-making process
- Support a transparent and accountable framework for measuring planning outcomes

Technical robustness:

- Consistency: clarity in definition and able to compare across different spatial scales and over time.
- Transparency: clearly stated spatial objectives, targets, indicators and methods of monitoring;

- Flexibility: monitor thematic and cross-cutting issues across different spatial levels;
- Continuity: agreed and stated methodologies and routine data collection to encourage continuity in the methods and measures used;
- Simplicity: succinct and simple forms of analysis which are easily accessible;
- Relevance: intelligence has to be reliable and relevant to the issue concerned; and
- Time series: identify an appropriate timeframe for updating and reporting intelligence, taking into account the practicality of data availability.

Annex 1

Strategic Performance Framework Workshop, RTPI, London, 8 June, 2007.

Participants: Jo Blaire (English Heritage), Jenny Crawford (RTPI), Jonathon Davies (CABE), Murray Graham (TCPA), Susannah Guest (Planning Inspectorate), Kathy MacEwan (CABE), Hamish McGillivray (CLG), Mark Southgate (Environment Agency), Martin Tugwell (SouthEast Regional Assembly), Craig Watkins (University of Sheffield), Cecilia Wong (University of Manchester)

The project team conducted a workshop with key stakeholders and experts. The workshop was designed to seek different views on the desired outcomes of spatial planning and on elements of the draft strategic performance framework. The participants represented a range of different interests in the planning system and different spatial levels. This annex summarises the discussion.

The desired outcomes of spatial planning

The group discussed what might reasonably be expected from the spatial planning system. The discussion highlighted the tension between outcomes associated with place-making, which may not entirely be determined by planning activities, and outcomes that might be measurable and identifiably driven by the planning system. It was argued that there is a relationship between the two and that the measurable outcomes need to be framed by the wider place-making vision.

The participants suggested that, to be meaningful, desired outcomes ought to be related to policy documents - although it was acknowledged that this involves 'joining up' strategies. There was agreement that these outcomes needed to be assessed and understood in order to achieve broader goals. It was agreed that, for example, it may difficult to determine the extent to which planning contributes to carbon reduction but this remains a desired outcome, even if success depends on the combined effects of a whole range of strategies operation at local and regional level.

It was acknowledged that, at present, monitoring tends to focus on plan implementation and, as a consequence, the broader goals are lost. This practice allows a continued focus on 'old style' plans. It was argued that while there is an overlap between plan outcomes and the desired outcomes of the system as a whole, a culture change is needed in order to broaden the vision of plans. Now, however, LPAs feel they need to focus on deliverables. It will take time to break the link between delivery and outcome assessment – culture change is slow and the new system needs to be allowed to go through a cycle.

There was a suggestion that the indicators might reflect the responsiveness of the plan. Is there a plan B? And if the evidence (eg AMR) suggests that outputs are not desirable, will change happen? This depends on process.

There was also some agreement that public and political perception matters. This might, in part, be assessed using surveys.

Key points:

- The general view was that the desired outcomes ought to be derived from the objectives set for the system but these should also be related to broader place-making goals.

- It was suggested that when it comes to identifying indicators then it may be desirable to find some way of measuring 'vision'. It would be helpful to make some attempt to explore changes in 'process' that reflects the extent to which plans are informed by (and changed in response to) wider goals. These measures might be assessed against perceptions (including political views).

Spatial Scale

Spatial effects are complicated by the interaction between policies within localities and the existence of overlapping 'spatial' strategies. It was acknowledged that strategies implemented at different scales do not always line up. There is challenge to integrate scale e.g. heritage issues to need to be explored from the bottom-up and cannot be monitored at the regional level. It was suggested that there might be lessons from international contexts. For instance in the Netherlands there is considerable expertise in environmental monitoring and this is applied at an intermediate level that encompasses local differences. There may also be useful lessons about the use of 'footprinting' as an indicator.

Some participants highlighted the problems associated with assessing desired spatial outcomes in the absence of a national spatial plan. It was also acknowledged that functionality was important but different functions operate at different scales (e.g. bio-regions versus Travel to work). The dynamic nature of functional boundaries was also recognised (e.g. changing housing market search patterns and commuting behaviour).

There are some areas that present definitional problems. For instance, environmental protection plays out spatially in a variety of different ways (and in different localities).

The scale and boundaries for delivery were seen as important as these tended to drive data collection and current monitoring processes. There are some positive examples of data sharing and cross boundary cooperation (eg South Hants) that have been driven by concerns about economic functionality. In general, however, there was agreement that coordination between LAs needs to be better. There needs to be greater recognition of functionality and more investment in collection of data at different and appropriate scales.

Key points:

- The LA is an important unit for analysis but that this is pragmatic rather than functional.
- The scale of analysis should be tailored to mesh with functional issues and that different scales are appropriate for different issues
- In the longer term, there needs to be investment in data collection in order to rationalise processes and improve quality and fitness for purpose of data

Time and timeframes

It was suggested that the outcomes of planning took a long time to emerge and were, in fact, cumulative effects of a range of strategies. There was some discussion about whether looking at incremental change is useful.

It was argued that indicators need to be durable. They need to remain relevant, even as policy priorities change.

Key points

- The outcomes of planning need to be explored over an extended time period and indicators need to remain relevant

Unseen effects

The group discussed the difficulties involved in assessing planning's contribution to regulating undesired outcomes. It was agreed that much of what spatial planning does is about maintaining quality of life and that this is a forgotten or over-looked positive.

There is also hidden 'value added' to be derived from protecting landscape quality. Again it was suggested that this might be measured using 'perception' indicators.

Key points:

It may be desirable to consider quality of life measures and/or to explore personal perceptions of changes in quality of life and liveability.

Annex 2

The Purpose and Objectives of the Planning System: Sectoral Objectives

This annex reviews the priorities set out in key sectoral policy documents. For the purposes of this review, all extant PPS and PPG were examined although not all contained statements that are sufficiently over-arching to highlight here. This was particularly the case for some of the older PPG statements which addressed fairly specialist areas of planning (e.g. development of unstable land, planning and noise) or were more procedural guidance on the operation of an aspect of the system (such as outdoor advertising). Generally, the more recent PPSs provide a clearer statement, upfront of the objectives of the advice for the particular topic being addressed. An annex to this paper contains a more detailed list of potentially relevant extracts from these policy statements.

Those considered most relevant are highlighted below on a sectoral basis:

Housing supply has always been considered one of the key tasks of the planning system and *PPS3: Housing* (2006) (para. 10) sets out a set of specific outcomes that the planning system should deliver in this sector:

- High quality housing that is *well-designed* and built to a high standard.
- A *mix* of housing, both market and affordable, particularly in terms of tenure and price, to support a wide variety of households in all areas, both urban and rural.
- A *sufficient quantity* of housing taking into account need and demand and seeking to improve choice.
- Housing developments in *suitable locations*, which offer a good range of community facilities and with good access to jobs, key services and infrastructure.
- A flexible, responsive *supply of land* – managed in a way that makes efficient and effective use of land, including re-use of previously-developed land, where appropriate.

In terms of **town centres (and retailing)** Paragraph 1.3 of *PPS6: Town Centres* (2005) emphasises the government's key objective for town centres is to promote their vitality and viability by:

- planning for the growth and development of existing centres; and
- promoting and enhancing existing centres, by focusing development in such centres and
- encouraging a wide range of services in a good environment, accessible to all.

It then goes on to highlight (in paras. 1.4 and 1.5) other Government objectives which need to be taken account of in the context of this key objective (vitality and viability):

- *enhancing consumer choice* by making provision for a range of shopping, leisure and local services, which allow genuine choice to meet the needs of the entire community, and particularly socially-excluded groups;
- *supporting efficient, competitive and innovative retail, leisure, tourism and other sectors*, with improving productivity; and
- *improving accessibility*, ensuring that existing or new development is, or will be, accessible and well-served by a choice of means of transport.

- to *promote social inclusion*, ensuring that communities have access to a range of main town centre uses, and that deficiencies in provision in areas with poor access to facilities are remedied;
- to *encourage investment to regenerate deprived areas*, creating additional employment opportunities and an improved physical environment;
- to *promote economic growth* of regional, sub-regional and local economies;
- to *deliver more sustainable patterns of development*, ensuring that locations are fully exploited through high-density, mixed-use development and promoting sustainable transport choices, including reducing the need to travel and providing alternatives to car use; and
- to *promote high quality and inclusive design*, improve the quality of the public realm and open spaces, protect and enhance the architectural and historic heritage of centres, provide a sense of place and a focus for the community and for civic activity and ensure that town centres provide an attractive, accessible and safe environment for businesses, shoppers and residents.

The government's objectives for *rural areas* are set out in *PPS7: Rural Areas* (2004). In summary, these are:

- (i) to raise the quality of life and the environment in rural areas through the promotion of:
 - thriving, inclusive and sustainable rural communities...
 - sustainable economic growth and diversification...
 - good quality, sustainable development...
 - continued protection of the open countryside...
 - protection for our most valued landscapes and environmental resources.
- (ii) to promote more sustainable patterns of development by:
 - focusing most development in, or next to, existing towns and villages
 - preventing urban sprawl;
 - discouraging the development of 'greenfield' land...
 - promoting a range of uses to maximise the potential benefits of the countryside fringing urban areas
 - providing appropriate leisure opportunities...
- (iii) promoting the development of the English regions by improving their economic performance...
- (iv) to promote sustainable, diverse and adaptable agriculture sectors...

PPS9: Biodiversity and Geological Conservation (2005) makes reference to the government's **biodiversity** strategy (*Working with the grain of nature: a biodiversity strategy for England*) which includes the broad aim that planning, construction, development and regeneration should have minimal impacts on biodiversity and enhance it wherever possible. In moving towards this vision, the government's objectives for planning are stated as:

- to *promote sustainable development by ensuring that biological and geological diversity are conserved and enhanced* as an integral part of social, environmental and economic development...
- to *conserve, enhance and restore the diversity of England's wildlife and geology* by sustaining, and where possible improving, the quality and extent of natural habitat and geological and geomorphological sites; the natural physical processes on which they depend; and the populations of naturally occurring species which they support.
- to *contribute to rural renewal and urban renaissance by enhancing biodiversity* in green spaces and among developments so that they are used by wildlife and valued by people...and ensuring that developments take account of the role and value of

biodiversity in supporting economic diversification and contributing to a high quality environment.

This PPS also emphasizes that the planning system has a significant part to play in meeting the Government's international commitments and domestic policies for habitats, species and ecosystems.

In respect of **waste management**, *PPS10: Sustainable Waste Management* (2005) advises that (para. 3), regional planning bodies and all planning authorities should, to the extent appropriate to their responsibilities, prepare and deliver planning strategies that:

- help deliver sustainable development through driving waste management up the waste hierarchy...
- provide a framework in which communities take more responsibility for their own waste, and enable sufficient and timely provision of waste management facilities to meet the needs of their communities
- help implement the national waste strategy...
- help secure the recovery or disposal of waste without endangering human health and without harming the environment....
- reflect the concerns and interests of communities, the needs of waste collection authorities, waste disposal authorities and business, and encourage competitiveness
- protect green belts but recognise the particular locational needs of some types of waste management facilities....
- ensure the design and layout of new development supports sustainable waste management.

PPS22: Renewable Energy (2004) doesn't explicitly set out objectives of the planning system, but paragraph 1 of this document does outline the following key principles to be followed by regional bodies and local planning authorities in their approach to planning for **renewable energy**:

- (i) renewable energy developments should be capable of being accommodated throughout England in locations where the technology is viable and environmental, economic, and social impacts can be addressed satisfactorily.
- (ii) regional spatial strategies and local development documents should contain policies designed to promote and encourage, rather than restrict, the development of renewable energy resources.
- (iii) at the local level, planning authorities should set out the criteria that will be applied in assessing applications for planning permission for renewable energy projects.
- (iv) the wider environmental and economic benefits of all proposals for renewable energy projects, whatever their scale, are material considerations that should be given significant weight in determining whether proposals should be granted planning permission.
- (v) regional planning bodies and local planning authorities should not make assumptions about the technical and commercial feasibility of renewable energy projects.
- (vi) small-scale projects can provide a limited but valuable contribution to overall outputs of renewable energy and to meeting energy needs both locally and nationally.
- (vii) local planning authorities, regional stakeholders and Local Strategic Partnerships should foster community involvement in renewable energy projects³ and seek to promote knowledge of and greater acceptance by the public of prospective renewable energy developments that are appropriately located.
- (viii) development proposals should demonstrate any environmental, economic and social benefits as well as how any environmental and social impacts have been minimized through careful consideration of location, scale, design and other measures.

Similarly, paragraph 2 of *PPS23: Planning and Pollution Control* (2004) sets out principles in respect of the links between **planning and pollution**:

- any consideration of the quality of land, air or water and potential impacts arising from development, possibly leading to impacts on health, is capable of being a material planning consideration, in so far as it arises or may arise from or may affect any land use;
- the planning system plays a key role in determining the location of development which may give rise to pollution, either directly or indirectly, and in ensuring that other uses and developments are not, as far as possible, affected by major existing or potential sources of pollution;
- the controls under the planning and pollution control regimes should complement rather than duplicate each other;
- the presence of contamination in land can present risks to human health and the environment, which adversely affect or restrict the beneficial use of land but development presents an opportunity to deal with these risks successfully;
- contamination is not restricted to land with previous industrial uses, it can occur on greenfield as well as previously developed land and it can arise from natural sources as well as from human activities;
- where pollution issues are likely to arise, intending developers should hold informal pre-application discussions with the LPA, the relevant pollution control authority and/or the environmental health departments of local authorities (LAs), and other authorities and stakeholders with a legitimate interest; and
- where it will save time and money, consideration should be given to submitting applications for planning permission and pollution control permits in parallel and co-ordinating their consideration by the relevant authorities.

Finally, in terms of the review of PPSs, *PPS25: Planning and Flood Risk* (2006) states that (para. 6) regional planning bodies (RPBs) and local planning authorities (LPAs) should prepare and implement planning strategies that help to deliver sustainable development by:

Appraising risk: identifying land at risk and the degree of risk of flooding from river, sea and other sources in their areas; preparing Regional Flood Risk Appraisals (RFRAs) or Strategic Flood Risk Assessments (SFRAs) as appropriate, as freestanding assessments that contribute to the Sustainability Appraisal of their plans.

Managing risk: framing policies for the location of development which avoid flood risk to people and property where possible, and manage any residual risk, taking account of the impacts of climate change; only permitting development in areas of flood risk when there are no reasonably available sites in areas of lower flood risk and benefits of the development outweigh the risks from flooding.

Reducing risk: safeguarding land from development that is required for current and future flood management; reducing flood risk to and from new development through location, layout and design, incorporating sustainable drainage systems (SUDS); using opportunities offered by new development to reduce the causes and impacts of flooding (eg surface water management plans); making the most of the benefits of green infrastructure for flood storage, conveyance and SUDS; re-creating functional floodplain; and setting back defences.

The first of the earlier PPG series to be examined was *PPG2: Green Belts* (amended, 2001). This states that (para. 1.4) the fundamental aim of **green belt** policy is to prevent urban sprawl by keeping land permanently open and that the most important attribute of Green Belts is their openness. Reference is made to the role of green belts in shaping patterns of urban development at sub-regional and regional scales; helping to ensure that development occurs in

locations allocated in development plans; helping protect the countryside; and assisting in moving towards more sustainable patterns of urban development. The five purposes of including land in Green Belts is set out in paragraph 1.5:

- to check the unrestricted sprawl of large built-up areas;
- to prevent neighbouring towns from merging into one another;
- to assist in safeguarding the countryside from encroachment;
- to preserve the setting and special character of historic towns; and
- to assist in urban regeneration, by encouraging the recycling of derelict and other urban land.

Once Green Belts have been defined, paragraph 1.6 states that the use of land in them has a positive role to play in fulfilling the following objectives:

- to provide opportunities for access to the open countryside for the urban population;
- to provide opportunities for outdoor sport and outdoor recreation near urban areas;
- to retain attractive landscapes, and enhance landscapes, near to where people live;
- to improve damaged and derelict land around towns;
- to secure nature conservation interest; and
- to retain land in agricultural, forestry and related uses.

PPG4: Industrial and Commercial Development and Small Firms (1992) emphasizes that one of the Government's key aims is to encourage continued **economic development** in a way which is compatible with its stated environmental objectives. Economic growth and a high quality environment is seen as having to be pursued together, and thus paragraph 2 states that:

'...the planning system plays an important role integrating environmental and economic objectives. Development plans provide the policy framework, weighing the importance of industrial and commercial development with that of maintaining and improving environmental quality. The principles of sustainable development require the responsible use of man-made and natural resources by all concerned in a way that ensures that future generations are not worse off. Careful attention to environmental issues makes good economic sense for business and industry...'

More specific advice (paras. 2-10) on plan-making includes:

- development plans should give industrial and commercial developers and local communities greater *certainty* about the types of development that will or will not be permitted in a given location.
- development plans (should) contain clear land-use policies for different types of industrial and commercial development and positive policies to provide for the needs of *small businesses*.
- policies should provide for *choice, flexibility and competition*. In allocating land for industry and commerce, planning authorities should be realistic in their assessment of the needs of business. They should aim to ensure that there is *sufficient land available* which is readily capable of development and well served by infrastructure.
- they should ensure that there is a *variety of sites* available to meet differing needs.
- plans should provide specifically for the *types of industry* which, although necessary, may be detrimental to amenity or a potential source of pollution.
- the *locational demands* of businesses are a key input to the preparation of development plans. Development plan policies must take account of these needs and at the same time seek to achieve wider objectives in the public interest: encourage new development in locations which minimise the length and number of trips; encourage new development in locations that can be served by more energy efficient modes of transport; discourage new development where it would be likely to add unacceptably to congestion; locate development requiring access mainly to local roads away from trunk roads

These themes are echoed in *PPG13: Transport* (2001) which states that (para. 4) the objectives of this guidance are to integrate planning and transport at the national, regional, strategic and local level to:

- *promote more sustainable transport choices* for both people and for moving freight;
- *promote accessibility* to jobs, shopping, leisure facilities and services by public transport, walking and cycling, and
- *reduce the need to travel*, especially by car.

Paragraph 6 of this PPG on **transport** elaborates further with cross-cutting guidance of relevance to a number of topics. It states that, when preparing development plans and considering planning applications, local authorities should:

- actively manage the pattern of urban growth to make the fullest use of public transport, and focus major generators of travel demand in city, town and district centres and near to major public transport interchanges;
- locate day to day facilities which need to be near their clients in local centres so that they are accessible by walking and cycling;
- accommodate housing principally within existing urban areas, planning for increased intensity of development for both housing and other uses at locations which are highly accessible by public transport, walking and cycling;
- ensure that development comprising jobs, shopping, leisure and services offers a realistic choice of access by public transport, walking, and cycling, recognising that this may be less achievable in some rural areas;
- in rural areas, locate most development for housing, jobs, shopping, leisure and services in local service centres which are designated in the development plan to act as focal points for housing, transport and other services, and encourage better transport provision in the countryside;
- ensure that strategies in the development and local transport plan complement each other and that consideration of development plan allocations and local transport investment and priorities are closely linked;
- use parking policies, alongside other planning and transport measures, to promote sustainable transport choices and reduce reliance on the car for work and other journeys;
- give priority to people over ease of traffic movement and plan to provide more road space to pedestrians, cyclists and public transport in town centres, local neighbourhoods and other areas with a mixture of land uses;
- ensure that the needs of disabled people as pedestrians, public transport users and motorists are taken into account in the implementation of planning policies and traffic management schemes, and in the design of individual developments;
- consider how best to reduce crime and the fear of crime, and seek by the design and layout of developments and areas, to secure community safety and road safety; and
- protect sites and routes which could be critical in developing infrastructure to widen transport choices for both passenger and freight movements.

PPG15: Planning and the Historic Environment (1994) emphasises (para. 1.2) that the function of the planning system is to regulate the development and use of land in the public interest. Planning is seen as an important instrument for ‘... *protecting and enhancing the environment in town and country, and preserving the built and natural heritage. The objective of planning processes should be to reconcile the need for economic growth with the need to protect the natural and historic environment*’. Paragraph 1.3 continues by emphasizing the government’s commitment to the concept of sustainable development and explains that this commitment has particular relevance to the preservation of the **historic environment**, which by its nature is irreplaceable.

PPG20: Coastal Planning (1992) similarly highlights the **coast** as an important national resource as well as broader concerns about rising sea levels and the need for development to be sustainable, which are focusing increased attention on the special value of the coast. Against this background, the role of the planning system (paragraph 1.2) is stated as ‘..to reconcile development requirements with the need to protect, conserve and, where appropriate, improve the landscape, environmental quality, wildlife habitats and recreational opportunities of the coast. This is achieved through development plans and planning decisions, which implement policies for the conservation and improvement of the coastal environment, acknowledging the special character of the coast’.

Finally, a rather specialist PPG on **telecommunications**, *PPG8: Telecommunications* (2001), highlights the government’s general policy to facilitate the growth of new and existing telecommunications systems whilst keeping the environmental impact to a minimum as well as its responsibilities for protecting public health. This leads onto some more general statements of how the planning system should respond to proposed telecommunications developments, urging that (paras. 4-6), ‘...local planning authorities are encouraged to respond positively to telecommunications development proposals ...material considerations include the significance of the proposed development as part of a national network ... authorities should not seek to prevent competition between different operators and should not question the need for the telecommunications system which the proposed development is to support’.

Key issues

This review has drawn from a wide range of national policy statements on various aspects of the operation of the planning system. In many cases, the sectoral guidance was quite detailed and often more obviously relevant to the development of ‘output’ rather than ‘outcome’ indicators. The over-arching role of the planning system in contributing to the government’s sustainable development objectives is a common theme of all guidance since at least the late 1990s and this has recently been given even greater emphasis by the new statutory requirements of section 39 of the PCPA 2004. Highlighting the emerging themes is not easy but the key themes can be related back to the desired outcomes of sustainable development. These are summarised in the Box 2.1 in section 2 of the report.

Annex 3

Spatial Gini Coefficients and Indices of Dissimilarity

This annex provides brief information on the application of statistics to represent internal spatial variation of phenomena.

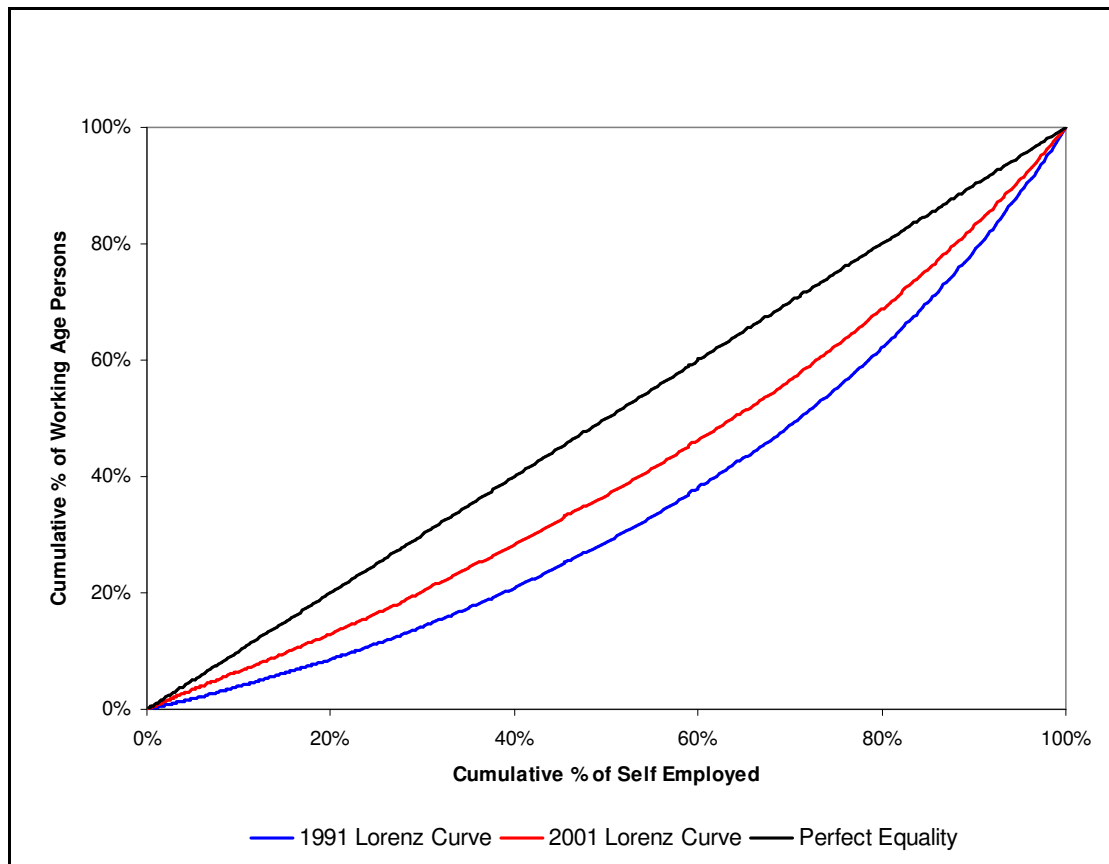
Spatial Gini coefficients

The implementation of a spatial, or locational, Gini coefficient follows in the footsteps of Krugman (1991), Audretsch and Feldman (1996), and more recently Sohn (2004) and Greenbaum and Desai (2005). Traditionally applied to illustrate levels of income inequality, it has also been used effectively to measure geographic concentration. The technique is simply a modification of the Gini inequality index where individuals are replaced by regions and weights are given by the regional shares in total population or employment, for example. If activities are evenly distributed across zones (or the share of a certain sector is equal to the total share in all zones), the coefficient equals 0. On the other hand, when all the activities of a certain sector are concentrated in one zone, the coefficient approaches 1.0. Between the two numbers, a higher value implies a higher level of concentration and a lower value reflects a higher level of dispersion. The coefficient is given as:

$$G = 1 - \sum_{i=0}^n (\sigma Y_{i-1} + \sigma Y_i)(\sigma X_{i-1} + \sigma X_i)$$

where σX and σY are cumulative percentages of Xs and Ys (in fractions) and N represents the number of elements (in this case the number of wards). This is similar to the traditional Gini calculation with the exception that cumulative percentages are spatially standardised against other spatial units in the study area. The associated Lorenz curve can also be effectively used to demonstrate the level of spatial concentration at one point in time and for future time periods.

In the example below, the spatial Gini coefficient in 1991 was 0.29 and by 2001 had decreased to 0.19. Although the total number of self-employed and working age persons may have changed during this period at an aggregate level (which could indicate a successful entrepreneurial climate), it is clear that there was a fairly significant degree of deconcentration in terms of their geographic location. Such changes are indicative of processes that cannot be captured by static, place-based indicators alone, hence the need to take a spatial approach.



Indices of Dissimilarity

The literature on spatial segregation (especially along income, poverty and economic lines) has a tradition of employing Indices of Dissimilarity (ID) to measure the extent of segregation (e.g. Green, 1996) The ‘dissimilarity’ refers to the aggregate extent to which small areas are different from one another within a larger area. Thus, degrees of internal heterogeneity within areas can be effectively reduced to a single measure. A low ID score would suggest that there is little variation, while a high score would suggest greater differences between places. An ID is usually interpreted as the proportion of an area’s population that would have to move to lead to an unsegregated (i.e., totally even) spread of the phenomenon under study. For this reason, the ID is especially suited to understanding processes of social mobility. In terms of outcomes of Spatial Planning, it might be suited to measuring phenomena that could be expected to depend on mobility (e.g., of people, capital, goods, or opportunities). The ID is, however dependent on being able to reduce the phenomenon under investigation to a binary classification (e.g., employed/unemployed; BME/non-BME; residential/non-residential).

The index, ID is calculated as follows:

$$ID_{Zone} = \frac{1}{2} \sum_{i=1}^{N_{Zone}} \left(\frac{a_i}{A} - \frac{b_i}{B} \right)$$

where

- ID_{Zone} = Index of Dissimilarity for Zone
- a_i = the population with characteristic a in sub-zone i of Zone
- A = the total population with characteristic a in Zone
- b_i = the population with characteristic b in sub-zone i of Zone

B = the total population with characteristic b in *Zone*
 N = the number of sub-zones in *Zone*

Key References

Audretsch, D. B. and Feldman, M. P. (1996) 'R&D Spillovers and the Geography of Innovation and Production', *American Economic Review*, 86(3), 630-640.

Green ,A. (1996) Changing local concentrations of "poverty" and "affluence" in Britain, 1981-91. *Geography*, Vol. 81, No. 350, 15-25.

Greenbaum, R. T. and Desai, A. (2005) 'Viewing Spatial Consequences of Budgetary Policy Changes', *Public Budgeting and Finance*, vol. 25, no. 2, 43-60.

Krugman, P. (1991) *Geography and Trade*, MIT Press, London.

Meen, G., Gibb, K., Goody, J., McGrath, T. and Mackinnon, J. (2005) *Economic segregation in England*. York, Joseph Rowntree Foundation.

Sohn, J. (2004) 'Information Technology in the 1990s: More Footloose or More Location-bound?', *Papers in Regional Science*, Volume 83, No. 2, 467-485.

Annex 4

Data Collection Methodology of AMR Monitoring Review

I. Overall research strategy

- Online questionnaire survey: key persons in all LPAs at regional and sub-regional level in England were invited to participate in the survey. A total of 186 valid questionnaires (out of 394) were completed, which results in a rather high response rate of 47 per cent within the 8 working day survey period between 1st and 13th June. Since the questionnaire has very precise, close-end questions as well as some open-end boxes for comments, the findings provides a representative and comprehensive picture of the views and experience over AMR monitoring and the use and value of the core indicators.
- In-depth interviews: telephone interviews that lasted over an hour were made to key persons in RPBs and GOs over the experience of AMR monitoring practice. Seven interviews were completed with RPBs and six with GOs.
- Follow-up interviews: about 11 follow-up interviews were made via telephone calls with LPAs after the closure of the e-survey to ascertain more details of their experience and views over various issues.
- Workshops: based on some interim findings of the e-survey, further consultation with LPAs were carried out in two workshop sessions at Manchester (June 5) and London (June 8). There were 45 participants in the Manchester workshop and 25 in the London workshop.

II. Aide memoire for RPB interviews

Instruction to Research Team

- (1) Make sure you have a list of core output indicators in front of you before starting the interview – try to probe them to ask whether they have specific comments in relation to particular indicators.
- (2) Make sure that you read the e-questionnaire as the answer category will help you to probe for details.
- (3) Probe for details of key partners in data collection as we have to follow the link to do further in-depth interviews.
- (4) Try to tape the interview so that we can make quotations later.
- (5) If the interviewee is confused about the nature of our research, tell them the focus is on the core output indicators, though there will be some wider contextual questions. We are Not reviewing the entire AMR process.
- (6) Totally, there are 29 Core Questions

Introduction to the interview

The Universities of Manchester and Sheffield have recently been commissioned by the Department of Communities and Local Government, in collaboration with the Royal Town Planning Institute, to ascertain the challenges faced by LPAs and RPBs in relation to the collection and use of AMR core output indicators.

We would like to learn more about your experience over the use and value of the AMR and the core output indicators in monitoring RSS. This interview will last about 45 – 60 minutes. If you don't mind, we would like to tape record this interview to ensure that your reviews are reflected afterwards. Please note the information you give will be treated in strictest confidence and will not be reported on an individual basis. (Please seek consent of recording first; if no consent, just write notes)

A. About you and your organisation

Interviewee(s) and organisations

- a) Name and contact details
- b) Job title
- c) Name of organisation

B. AMR monitoring and core output indicators

2. What stage have you reached in the preparation of the Regional Spatial Strategy?

Please specify the total number of output indicators collected in the most recently submitted AMR: _____

Core output indicators as specified by the government: _____

Other output indicators: _____

Contextual indicators: _____

Other (what kind of indicators): _____

4. What spatial scales were used to analyse the indicators in the AMR?

Sub-district (e.g. neighbourhood, wards etc.) / County / Other sub-regional level / Region / England / Settlement types / Other.

(Probe for details)

5. What are the key data sources that you currently use to compile the core output indicators?

In-house data sources / Private sector data / Office for National Statistics / Department of Communities and Local Government / Regional Intelligence Partnership / Data from other central government departments / LDF AMR monitoring data
Data collected by partnerships at the sub-regional level
(Probe for details to find out what are the exact data sources)

6. Which of these data sources are most important? (Ask them to prioritise)
7. Have you encountered any problems in collecting the core output indicators? If so, what kind of problems and with which particular indicators?
8. How useful do you find the core output indicators in the monitoring and preparation of the RSS? Why?
9. Can you tell me which particular core output indicators are useful and which ones are not (get the list ready to make commentaries)?
10. Do you find it easy or difficult to interpret the values of the core output indicators? Please comment on the issues and concerns with reference to particular indicators.
11. Do you examine the change in these core output indicators? Does the analysis of change adequately inform you about the performance of the regional planning policies? Why?
12. Do you bundle the core output indicators together to carry out analysis? Do you find this approach useful?
13. Are there any other policy areas (including cross-cutting issues and themes) you think could benefit from having consistent and comparable core output indicators? If yes, please specify.
14. In general, what roles do you think the AMRs play in the plan-making process of the RSS?

C. Partnership working

15. Are there any partnership arrangements with other stakeholders to collect core output indicators and other information for the AMR? What role does the RPB play in these partnership arrangements?
16. Who are the key partners for particular indicators?
17. How well do you think the partnership arrangements are working? Why? Is there any good practice or lessons to be learnt?
18. Who do you think should play a stronger role in leading the collection of core output indicators? What can be done more to harmonise the workload?
19. Does the preparation of your AMR for the region synchronise with the LDF's AMR? How can this be improved? (Probe for details)
20. Do the core output indicators collected for the AMR offer synergy in meeting the demands of other policy monitoring requirements (e.g. for Sustainability Appraisal)? Why?
21. Does the Government Office provide you with comments and feedback after receiving your AMR? If yes, do you find the feedback useful? (Probe for reasons)

D. Prospect for improving the collection and use of core output indicators

22. Is there any core output indicators that you think are more appropriate to be collected at different time intervals than is currently the case? If so, please indicate which indicators, and your suggested time intervals for collection.

23. Which spatial scales do you think are most relevant for reporting core output indicators in the AMR (including the need for benchmarking)?

24. Should the core output indicators be collected by policy areas, or move towards measuring cross-cutting issues, or a combination of both? Why?

25. Do you foresee the development of the Planning and Regulatory On-line (PARSOL) system and other electronic data platforms (e.g. Standard Planning Application Form - 1APP) will enhance the data sharing practice? Why?

26. Do you think we should start measuring the performance of the RSS by examining the social, economic and environmental 'outcomes' (rather than the outputs) created by the policies? Why?

27. Do you think it would be useful to collect indicators that measure the socio-economic or environmental outcomes of planning policies to ascertain some kinds of performance measure?

28. What indicators would be the appropriate measure of the outcomes of the planning policies?

29. Do you have any suggestions on ways to improve the monitoring of the spatial planning system?

I hope that you don't mind if I give you another quick call in case we have missed out any core questions. Thank you for your help and the useful information!

III. Aide memoire for Government Office interviews

Instruction to Research Team

- (1) Make sure you have a list of core output indicators in front of you before starting the interview – try to probe them to ask whether they have specific comments in relation to particular indicators.
- (2) Make sure that you read the e-questionnaire as the answer category will help you to probe for details.
- (3) Probe for details of key partners in data collection as we have to follow the link to do further in-depth interviews.
- (4) Try to tape the interview so that we can make quotations later.
- (5) If the interviewee is confused about the nature of our research, tell them the focus is on the core output indicators, though there will be some wider contextual questions. We are Not reviewing the entire AMR process.
- (6) Totally, there are 25 Core Questions

Introduction to the interview

The Universities of Manchester and Sheffield have recently been commissioned by the Department of Communities and Local Government, in collaboration with the Royal Town Planning Institute, to ascertain the challenges faced by LPAs and RPBs in relation to the collection and use of AMR core output indicators.

We would like to learn more about your experience from overseeing the AMRs. This interview will last about 45 minutes. If you don't mind, we would like to tape record this interview to ensure that your reviews are reflected afterwards. Please note the information you give will be treated in strictest confidence and will not be reported on an individual basis. (Please seek consent of recording first; if no consent, just write notes)

A. About you and your organisation

1. Interviewee(s) and organisations
 - d) Name and contact details
 - e) Job title
 - f) Name of organisation

B. AMR monitoring and core output indicators

2. To what extent do you find the LPAs and RPB embed the AMR process into their plan-making process? (Probe for comments)
3. What proportion of the submitted AMRs would you rate as of good standard and what proportion is below the expected standard?
4. What are the strengths of the good practice AMRs and what are the weaknesses of the poor ones?
5. Are you aware of any particular problems in relation to the collection of the core output indicators? If so, what kind of problems and with which particular indicators?
6. Are you aware of any particular problems in relation to the interpretation of the core output indicators? Please Comment on the issues and concerns and with which particular indicators.
7. Do you find the quality of the overall AMR submission is related to how the output indicators are collected and analysed?

8. In general, what role do you think the AMRs play in the plan-making process to achieve the visions set out in PPS1, PPS11 and PPS12?

9. Can you give us some best practice and bad practice examples, both in terms of the analysis of the core output indicators and the overall AMR? This will allow the research team to have an overview of the issues arising (these will be kept in confidence).

10. Does the Government Office give feedback to the LPAs and RPB on their AMRs? If so, how this is done?

11. After receiving the AMRs, how does the Government Office deal with them? Are the AMRs of any value to the work of the GO? (Probe for further details)

C. Partnership working

12. Do you know of any partnership arrangements in collecting core output indicators and other information for the AMR?

13. Who do you think is playing a lead role in organising and managing the collection of the data (Note: while local authorities may have to collect some statistics, the overall management and organisation can be with another institution)?

14. How well do you think the partnership arrangements are working? Why? Is there any good practice and lessons to be learnt?

15. Who do you think should play a greater role in leading the collecting of core output indicators? What more can be done to harmonise the workload?

16. Does the preparation of the AMR for RSS synchronise with the LDF's AMR? How could this be improved? (Probe for reasons)

17. Does the core output indicators collected for the AMR offer synergy in meeting the demands of other policy monitoring requirements (e.g. for Sustainability Appraisal)? Why?

D. Prospect for improving the collection and use of core output indicators

18. Is there any core output indicators that you think are more appropriate to be collected at different time intervals than is currently the case? If so, please indicate which indicators, and your suggested time intervals for collection.

19. Which spatial scales do you think are most relevant for reporting core output indicators in the AMR for LDFs and RSS (including the need for benchmarking)?

20. Do you foresee the development of the Planning and Regulatory On-line (PARSOL) system and other electronic data platforms (e.g. Standard Planning Application Form - 1APP) will enhance the data sharing practice? Why?

21. Are there any other policy areas (including cross-cutting issues and themes) you think could benefit from having consistent and comparable core output indicators? If yes, please specify.

22. Do you think it would be useful to collect indicators that measure the socio-economic or environmental outcomes of planning policies to ascertain some kinds of performance measure?

23. Have you seen any outcome indicators in the AMRs?

24. What indicators would be the appropriate measure of the outcomes of the planning policies?

25. Do you have any suggestions on ways to improve the monitoring of the spatial planning system?

I hope that you don't mind if I give you another quick call in case we have missed out any core questions. Thank you for your help and the useful information!

IV. Questionnaire of On-Line Survey

Annual Monitoring Report - Core Output Indicators Survey

Introduction

This survey is part of a wider review in relation to the collection and use of Annual Monitoring Report core output indicators. The Universities of Manchester and Sheffield are undertaking the research on behalf of Communities and Local Government, in collaboration with the Royal Town Planning Institute.

The survey is in three sections (A, B and C), with 49 questions in total, most of which are in tick-box format. It should take approximately 20 minutes to complete. All responses will be treated in the strictest confidence, with results only being reported at an aggregate level.

After the survey has been completed, we would like to carry out in-depth interviews with some participants who indicate a willingness to be interviewed. These interviews will explore issues in relation to individual core output indicators in greater detail.

Thank you for your participation.

1. Please note that the information you provide will be treated in the strictest confidence and will not be reported on an individual basis

- Organisation
- Name and position of respondent
- E-mail
- Telephone Number

Section A: AMR Core Output Indicators

This section contains questions relating to Annual Monitoring Reports, core output indicators and other local output indicators. It is divided into three parts. Part 1 looks at AMR preparation, scale of analysis and use of core output indicators. Part 2 focuses specifically on the required core output indicators and their relevance, usefulness and interpretation, while Part 3 considers other issues relating to the role of indicators in the plan-making process

The majority of questions are in tick-box format, with some questions allowing for further elaboration.

Section A: Part 1

2. What stage have you reached in the preparation of a core strategy?

- Preparation not yet commenced
- Issues consultation
- Preferred options
- Submission
- Examination
- Adopted
- Not applicable

3. How many completed AMRs has your organisation submitted so far?

4. Please specify the total number of indicators collected in the most recently submitted AMR:

- Total number of indicators
- Core output indicators as specified by the government:
- Other local output indicators:
- Contextual indicators:
- Any other indicators (please specify):

5. To what extent do you find the combination of core and other local output indicators useful in providing for a more informative monitoring framework?

- Most useful
- Useful
- Not that useful
- Not at all useful
- Can't say

6. Other than for the local authority district/unitary authority area, do you analyse the core output indicators at other spatial scales in the AMR? (select all that apply)

- Sub-district (e.g. neighbourhood, ward, etc.)
- Settlement type (e.g. market town, rural areas, etc.)
- County

- Other sub-regional level
- Region
- England
- Other (please specify)

7. Other than for the local authority district/unitary authority area, do you analyse other local output indicators at other spatial scales in the AMR? (select all that apply)

- Annual Monitoring Report - Core Output Indicators Survey
- Sub-district (e.g. neighbourhood, ward, etc.)
- Settlement type (e.g. market town, rural areas, etc.)
- County
- Other sub-regional level
- Region
- England
- Other (please specify)

8. Does the analysis of changes in core and local output indicators adequately inform you about the performance of the planning policies?

- Yes
- No

9. Please explain your reasons in relation to your answer to the above question:

10. Which of the following data sources do you use to compile core output indicators? How important are they?

	Very important	Important	Somewhat	Not important	Not used
Development Control statistics					
Other in-house data sources (e.g. capacity studies, employment surveys)					
Office for National Statistics					
DCLG data					
Regional					

Intelligence Partnership data					
Private sector data					
Regional planning body data					
Data from other central government departments					
Data collected by partnerships at the sub- regional level					

11. If you use any other important data sources to compile core output indicators, please comment below.

12. Which of the following data sources do you use to compile other output indicators? How important are they?

	Very important	Important	Somewhat	Not important	Not used
Development Control statistics					
Other in-house data sources (e.g. capacity studies, employment surveys)					
Office for National Statistics					
DCLG data					
Regional Intelligence Partnership data					
Private sector data					
Regional planning body data					
Data from other central government departments					
Data collected by partnerships at the sub- regional level					

13. If you use any other important data sources to compile other output indicators, please comment below.

Section A: Part 2

14. To what extent do you find the core output indicators useful and relevant to the monitoring and preparation of local development documents?

	Most useful	Useful	Not that useful	Not at all useful	Can't say
1a Amount of floorspace developed for employment by type					
1b Amount of floorspace developed for employment by type, in employment or regeneration areas					
1c Amount of floorspace by employment type, which is on previously developed land					
1d Employment land available by type					
1e Losses of employment land in (i) employment/regeneration areas and (ii) local authority area					
1f Amount of employment land lost to residential development					
2a Housing trajectory measures					
2b Percentage of new and converted dwellings on previously developed land					
2c Percentage of new dwellings completed measures					
2d Affordable housing completions					
3a Amount of completed non-residential development within UCOs A, B and D complying with car-parking standards set out in the local development					

framework					
3b Amount of new residential development within 30 minutes public transport time of a GP; a hospital; a primary school; a secondary school; areas of employment; and a major retail centre(s)					
4a Amount of completed retail, office and leisure development					
4b Amount of completed retail, office and leisure development in town centres					
4c Amount of eligible open spaces managed to Green Flag Award standard					
5a Production of primary land won aggregates					
5b Production of secondary/recycled aggregates					
6a Capacity of new waste management facilities by type					
6b Amount of municipal waste arising, and managed by management type, and the percentage each management type represents of the waste managed					
7 Number of planning permissions granted contrary to the advice of the Environment Agency on either flood defence grounds or water quality					
8 Change in areas and populations of biodiversity importance					
9 Renewable energy capacity installed by type					

15. Please add any comments you have on the use of the core output indicators

16. To what extent have you encountered problems in collecting the core output indicators when preparing the AMR?

	Major problems	Minor problems	No problems
1a Amount of floorspace developed for employment by type			
1b Amount of floorspace developed for employment by type, in employment or regeneration areas			
1c Amount of floorspace by employment type, which is on previously developed land			
1d Employment land available by type			
1e Losses of employment land in (i) employment/regeneration areas and (ii) local authority area			
1f Amount of employment land lost to residential development			
2a Housing trajectory measures			
2b Percentage of new and converted dwellings on previously developed land			
2c Percentage of new dwellings completed measures			
2d Affordable housing completions			
3a Amount of completed non-residential development within UCOs A, B and D complying with car-parking standards set out in the local development framework			
3b Amount of new residential development within 30 minutes public transport time of a GP; a hospital; a primary school; a secondary school; areas of employment; and a major retail centre(s)			
4a Amount of completed retail, office and leisure development			
4b Amount of completed retail, office and leisure development in town centres			
4c Amount of eligible open spaces managed to Green Flag Award standard			
5a Production of primary land won aggregates			

5b Production of secondary/recycled aggregates			
6a Capacity of new waste management facilities by type			
6b Amount of municipal waste arising, and managed by management type, and the percentage each management type represents of the waste managed			
7 Number of planning permissions granted contrary to the advice of the Environment Agency on either flood defence grounds or water quality			
8 Change in areas and populations of biodiversity importance			
9 Renewable energy capacity installed by type			

17. Please add any comments you have on the collection of the core output indicators

18. Have you had difficulties in interpreting the core output indicators when preparing the AMR?

	Major difficulties	Minor difficulties	No difficulties
1a Amount of floorspace developed for employment by type			
1b Amount of floorspace developed for employment by type, in employment or regeneration areas			
1c Amount of floorspace by employment type, which is on previously developed land			
1d Employment land available by type			
1e Losses of employment land in (i) employment/regeneration areas and (ii) local authority area			
1f Amount of employment			

land lost to residential development			
2a Housing trajectory measures			
2b Percentage of new and converted dwellings on previously developed land			
2c Percentage of new dwellings completed measures			
2d Affordable housing completions			
3a Amount of completed non-residential development within UCOs A, B and D complying with car-parking standards set out in the local development framework			
3b Amount of new residential development within 30 minutes public transport time of a GP; a hospital; a primary school; a secondary school; areas of employment; and a major retail centre(s)			
4a Amount of completed retail, office and leisure development			
4b Amount of completed retail, office and leisure development in town centres			
4c Amount of eligible open spaces managed to Green Flag Award standard			
5a Production of primary land won aggregates			
5b Production of secondary/recycled aggregates			
6a Capacity of new waste management facilities by type			
6b Amount of municipal waste arising, and managed by management type, and the percentage each management type represents of the waste managed			
7 Number of planning permissions granted contrary to the advice of the Environment Agency on either flood defence grounds or water quality			
8 Change in areas and populations of biodiversity importance			
9 Renewable energy capacity installed by type			

19. Please add any comments you have on the interpretation of the core output indicators

20. When analysing the core output indicators do you bundle them for analysis of cross-cutting issues?

- Yes
- No

21. If you answered 'Yes' to the previous question, please state how you find this useful:

Section A: Part 3

22. To what extent are you concerned about the following issues over the collection and use of the core output indicators?

	Serious concerns	Some concerns	No concerns	Can't say
Availability of data sources				
Quality of data sources				
Inconsistency of data sources				
Spatial scale of data				
Spatial coverage of data				
Having up-to-date information				
Time required to collate the data				
Data purchase costs				
Making sense of the indicators and their definitions				

23. If you have any other concerns in relation to the collection and use of the core output indicators, please specify:

24. What do you perceive as the main role of the core output indicators in the plan-making process?

	Very important role	Some minor role	Not important at all
a) For the submission of the AMR			
b) To highlight issues for the development of core strategy and other policies			
c) To develop a robust evidence base for the LDF			
d) To monitor the performance of core strategy and other policies			
e) To use the analysis for partnership working (e.g. LSP)			
f) For benchmarking of performance			

25. How useful do you find the process of the AMR in the overall plan-making process?

- Very useful
- Quite useful
- Not very useful at all
- Can't say

26. Please briefly explain the reasons for your answer to the above question:

Section B: Partnership Working and Ownership of Core Output Indicators

This section relates to partnership working and the ownership of core output indicators. If you engage with other teams and stakeholders outside of the local planning team i.e. within and across other local authority departments and with organisations outside of the local authority, please answer the questions in the following section. If your organisation does not engage in partnership working in relation to AMR core output indicators, most questions will not apply. If this is the case, please answer the question below and move on to Section C, Question 32.

27. Does your organisation engage in partnership working with regard to the collection of the core output indicators.

- Yes
- No (go to Section C, Question 32)

28. How well do you think the partnership arrangements are working?

- Working well (go to Question 29)
- Not working well (go to Question 30)

29. Please comment on the reasons behind successful partnership arrangements:

30. Reasons why the partnership arrangements do not work well: (select all that apply)

- Difficult to achieve consensus on the definition of indicators
- Difficult to achieve consensus on the time frame of data collection
- Difficult to agree on the spatial units of analysis
- Difficult to coordinate and manage the data sharing process
- Issues over the costs involved
- Any other reasons, please specify:

31. If you have been sharing core output indicators outside your authority's LDF preparation team, please indicate this by providing the lead partner responsible for collecting the data in the boxes provided below (otherwise, leave box blank):

Indicator	Comment
1a Amount of floorspace developed for employment by type	
1b Amount of floorspace developed for employment by type, in employment or regeneration areas	
1c Amount of floorspace by employment type, which is on previously developed land	
1d Employment land available by type	
1e Losses of employment land in (i) employment/regeneration areas and (ii) local authority area	
1f Amount of employment land lost to residential development	
2a Housing trajectory measures	
2b Percentage of new and converted dwellings on previously developed land	
2c Percentage of new dwellings completed measures	
2d Affordable housing completions	
3a Amount of completed non-residential development within UCOs A, B and D complying with car-parking standards set out in the local development framework	
3b Amount of new residential development within 30 minutes public transport time of a GP; a hospital; a primary school; a secondary school; areas of employment; and a major retail centre(s)	
4a Amount of completed retail, office and leisure development	
4b Amount of completed retail, office and leisure development in town centres	
4c Amount of eligible open spaces managed to Green Flag Award standard	
5a Production of primary land won aggregates	

5b Production of secondary/recycled aggregates	
6a Capacity of new waste management facilities by type	
6b Amount of municipal waste arising, and managed by management type, and the percentage each management type represents of the waste managed	
7 Number of planning permissions granted contrary to the advice of the Environment Agency on either flood defence grounds or water quality	
8 Change in areas and populations of biodiversity importance	
9 Renewable energy capacity installed by type	

Section C: Prospects for Improving the Collection and Use of Core Output Indicators.

This is the final section of the survey and is aimed at establishing the prospects for improving the collection and use of core output indicators. The majority of the questions are in tick-box format, with room for elaboration where necessary.

32. Do you think any of the core output indicators should be collected at different time intervals than is currently the case? If so, please indicate below which indicators, and your suggested time intervals for collection.

33. In your opinion, what are the relevant spatial scales to analyse the core output indicators in the AMR? (select all that apply)

- Sub-district (e.g. neighbourhood, ward, etc.)
- District/Unitary authority
- Settlement type (e.g. market town, rural areas, etc.)
- County
- Other sub-regional level
- Region

- England
- Other (please specify)

34. Does the preparation of the AMR for the Regional Spatial Strategy synchronise with your own AMR preparations?

- Yes
- No

35. Please comment in relation to your answer to the above question:

36. Does the collection of the core output indicators for the AMR offer synergy in meeting the demands of other policy monitoring requirements (e.g. for Sustainability Appraisal)?

- Yes
- No

37. Please comment in relation to your answer to the above question:

38. Are there any other policy areas you think could benefit from having consistent and comparable core output indicators?

- Yes (please comment below)
- No

39. If you answered 'Yes' to the above question, please comment:

40. Who do you think should take a lead in organising and managing the collection of the core output indicators? (select all that apply)

- Local Planning Authority itself
- County
- DCLG
- Regional Planning Body
- Regional Intelligence Partnership
- Partnerships at the sub-regional level
- Other central government departments
- Other (please specify)

41. Please give reasons for above answer/s:

42. Do you envisage that the collection of core output indicators will be enhanced by the development of the Planning and Regulatory Services On-line (PARSOL) system, and other electronic data platforms (e.g. Standard Planning Application Form - 1APP)?

- Yes
- No

43. Please comment in relation to your answer to the above question:

44. Do you collect any indicators that measure the socio-economic or environmental outcomes of spatial planning policies, in relation to the measurement of performance?

- Yes (please comment below)
- No

45. If you answered 'Yes' to the above question, please comment:

46. Do you think it is important to collect indicators to measure the outcomes of planning policy?

- Yes
- No

47. Please comment in relation to your answer to the above question:

48. Do you have any suggestions on ways to improve monitoring of the spatial planning system?

49. Would you be willing to give a personal interview in relation to the AMR process and collection and use of core output indicators?

- Yes
- No

Survey Complete!

Thank you for completing the survey! We would like to remind you that the information collected here will be treated in strictest confidence and will not be reported on an individual basis.

If you have any comments or questions about the research project, please contact Professor Cecilia Wong at the University of Manchester

email: cecilia.wong@manchester.ac.uk

If you have any comments or questions about this survey, please contact Alasdair Rae at the University of Manchester

email: alasdair.rae@manchester.ac.uk

Click on 'Done' below to exit survey and submit results.

Annex 5

Summary of Key Findings from the On-line Survey

Response Rate by Area Type

TYPE	Responses	Contacts	Rate
<i>London Boroughs</i>	15	33	45.5%
<i>Unitary Authorities</i>	25	46	54.3%
<i>National Parks</i>	5	9	55.6%
<i>Metropolitan Districts</i>	16	36	44.4%
<i>Non-Metropolitan Districts</i>	113	239	47.3%
<i>County Councils</i>	12	31	38.7%
Total	186	394	47.2%

Response Rate by Government Office Region

GOR	Responses	Contacts	Rate
<i>East of England</i>	23	55	41.8%
<i>East Midlands</i>	21	48	43.8%
<i>London</i>	15	33	45.5%
<i>North East</i>	7	25	28.0%
<i>North West</i>	25	47	53.2%
<i>South East</i>	41	75	54.7%
<i>South West</i>	24	49	49.0%
<i>West Midlands</i>	22	38	57.9%
<i>Yorkshire and the Humber</i>	8	24	33.3%
Total	186	394	47.2

Question 4: Number of Indicators Collected

	Unitary/District			County		
	Minimum	Maximum	Average	Minimum	Maximum	Average
Total Indicators	3	230	54	4	35	22
Core Output Indicators	4	53	21	4	25	4*
Other Local Output Indicators	0	75	15	0	22	10
Contextual Indicators	0	131	18	0	16	5
Any Other Indicators**	1	110	51	0	2	2

*Denotes median value rather than arithmetic mean.

**Out of 174 Unitary/District Authorities who responded, 41 use other indicators. Only 1 out of 12 counties who responded used any other indicators.

Question 5: Combining Indicators

	Unitary/District	County	All
Most Useful	12.9%	11.1%	12.8%
Useful	67.1%	55.6%	66.5%
Total	80.0%	66.7%	79.3%

Question 6: Core Output Indicators and Spatial Scale

Spatial Scale	Unitary/District	County	All
Sub-District	15.5%	0%	14.5%
Settlement Type	16.1%	16.7%	16.1%
County	10.9%	41.7%	12.9%
Other Sub-Regional Level	7.5%	8.3%	7.5%
Region	6.9%	8.3%	7.0%
England	2.9%	0%	2.7%

Question 7: Other Local Output Indicators and Spatial Scale

Spatial Scale	Unitary/District	County	All
Sub-District	21.8%	0%	20.4%
Settlement Type	19.5%	16.7%	19.4%
County	12.6%	41.7%	14.5%
Other Sub-Regional Level	6.3%	8.3%	6.5%
Region	10.9%	0%	10.2%
England	6.3%	0%	5.9%

Question 8: Analysis of Change in Indicators Informs Planning Performance

	Unitary/District	County	All
Yes	48.7%	42.9%	48.5%
No	51.3%	57.1%	51.5%

Question 10: Significance of Data Sources Used to Compile Core Output Indicators

	Unitary/District			County			All		
	<i>Very Important</i>	<i>Important</i>	Total	<i>Very Important</i>	<i>Important</i>	Total	<i>Very Important</i>	<i>Important</i>	Total
Development Control statistics	63.7%	21.4%	85.1%	60.0%	10.0%	70.0%	63.5%	20.8%	84.3%
Other in-house data	65.5%	21.4%	86.9%	66.7%	22.2%	88.9%	65.5%	21.5%	87.0%
Office for National Statistics	19.3%	28.6%	47.8%	14.3%	28.6%	42.9%	19.0%	28.6%	47.6%
DCLG	3.9%	20.8%	24.7%	28.6%	0%	28.6%	5.0%	19.9%	24.8%
Regional Intelligence Partnership	4.7%	7.3%	12.0%	0%	0%	0%	4.5%	7.0%	11.5%
Private sector	3.2%	6.4%	9.6%	37.5%	0%	37.5%	4.9%	6.1%	11.0%
Regional planning body	11.5%	16.0%	27.6%	42.9%	28.6%	71.4%	12.9%	16.6%	29.5%
Data from other central government departments	9.6%	21.8%	31.4%	0%	14.3%	14.3%	9.2%	21.5%	30.7%

Question 12: Significance of Data Sources Used to Compile Other Output Indicators

	Unitary/District			County			All		
	<i>Very Important</i>	<i>Important</i>	Total	<i>Very Important</i>	<i>Important</i>	Total	<i>Very Important</i>	<i>Important</i>	Total
Development Control statistics	59.3%	24.0%	83.3%	42.9%	28.6%	71.4%	58.6%	24.2%	82.8%
Other in-house data	65.1%	23.7%	88.8%	57.1%	42.9%	100%	64.8%	24.5%	87.3%
Office for National Statistics	25.7%	37.5%	63.2%	50.0%	16.7%	66.7%	26.7%	36.7%	63.3%
DCLG	7.4%	22.1%	29.4%	50.0%	16.7%	66.7%	6.4%	14.3%	20.7%
Regional Intelligence Partnership	3.1%	12.5%	15.6%	0%	0%	0%	3.0%	12.0%	15.5%
Private sector	5.2%	14.2%	19.4%	33.3%	16.7%	50.0%	6.4%	14.3%	20.7%
Regional planning body	7.3%	20.4%	27.7%	50.0%	16.7%	66.7%	9.1%	20.7%	29.4%
Data from other central government departments	10.3%	20.6%	30.9%	16.7%	16.7%	33.3%	10.6%	20.4%	31.0%

Question 14: Core Output Indicators – Useful and Relevant?

	Unitary/District			County			All		
	<i>Most Useful</i>	<i>Useful</i>	Total	<i>Most Useful</i>	<i>Useful</i>	Total	<i>Most Useful</i>	<i>Useful</i>	Total
1a	36.5%	44.3%	80.8%	44.4%	11.1%	55.6%	36.9%	42.6%	79.5%
1b	24.6%	40.7%	65.3%	22.2%	22.2%	44.4%	24.4%	39.8%	64.2%
1c	32.3%	43.7%	76.0%	22.2%	33.3%	55.6%	31.8%	43.2%	75.0%
1d	37.7%	46.7%	84.4%	37.5%	25.0%	62.5%	37.7%	45.7%	83.4%
1e	26.7%	47.9%	74.5%	22.2%	22.2%	44.4%	26.4%	46.6%	73.0%
1f	34.9%	45.2%	80.1%	22.2%	22.2%	44.4%	34.3%	44.0%	78.3%
2a	58.7%	25.1%	83.8%	25.0%	12.5%	37.5%	57.1%	24.6%	81.7%
2b	52.1%	34.7%	86.8%	44.4%	22.2%	66.7%	51.7%	34.1%	85.8%
2c	56.2%	30.9%	87.0%	22.2%	33.3%	55.6%	54.4%	31.0%	85.4%
2d	66.1%	26.7%	92.7%	44.4%	22.2%	66.7%	64.9%	26.4%	91.4%
3a	6.0%	29.5%	35.5%	11.1%	0%	11.1%	6.3%	28.0%	34.3%
3b	9.6%	40.1%	49.7%	33.3%	0%	33.3%	10.8%	38.1%	48.9%
4a	28.3%	54.2%	82.5%	33.3%	22.2%	55.6%	28.6%	52.6%	81.1%
4b	23.4%	56.3%	79.6%	22.2%	33.3%	55.6%	23.3%	55.1%	78.4%
4c	3.6%	20.5%	24.1%	0%	0%	0%	3.4%	19.4%	22.9%
5a	2.1%	9.1%	11.2%	44.4%	33.3%	77.8%	4.6%	10.5%	15.1%
5b	1.4%	9.8%	11.2%	44.4%	33.3%	77.8%	3.9%	11.2%	15.1%
6a	4.2%	16.1%	20.3%	44.4%	22.2%	66.7%	6.6%	16.4%	23.0%
6b	5.6%	22.4%	28.0%	44.4%	22.2%	66.7%	7.9%	22.4%	30.3%
7	6.6%	37.7%	44.3%	11.1%	33.3%	44.4%	6.8%	37.5%	44.3%
8	7.2%	38.0%	45.2%	22.2%	44.4%	66.7%	8.0%	38.3%	46.3%
9	11.4%	41.6%	53.0%	33.3%	22.2%	55.6%	12.6%	40.6%	53.1%

Question 16: Major Problems *Collecting* Core Output Indicators

	Unitary/District	County	All
1a	12.9%	28.6%	13.5%
1b	13.3%	33.3%	14.0%
1c	10.5%	28.6%	11.2%
1d	14.1%	14.3%	14.1%
1e	15.3%	28.6%	15.8%
1f	8.2%	28.6%	9.0%
2a	6.5%	14.3%	6.8%
2b	2.3%	0%	2.2%
2c	3.0%	25.0%	4.0%
2d	4.1%	37.5%	5.6%
3a	39.4%	42.9%	39.5%
3b	43.9%	55.6%	44.4%
4a	12.9%	37.5%	14.0%
4b	13.5%	37.5%	14.5%
4c	20.1%	75.0%	21.4%
5a	29.9%	57.1%	32.1%
5b	33.8%	58.3%	39.3%
6a	14.8%	28.6%	15.9%
6b	12.3%	28.6%	13.6%
7	7.0%	16.7%	7.3%
8	60.2%	87.5%	61.5%
9	44.4%	37.5%	44.1%

Question 18: Major Problems *Interpreting* Core Output Indicators

	Unitary/District	County	All
1a	5.7%	37.5%	7.2%
1b	7.0%	37.5%	8.5%
1c	3.8%	37.5%	5.4%
1d	6.9%	25.0%	7.7%
1e	5.0%	14.3%	5.4%
1f	3.8%	12.5%	4.2%
2a	9.9%	12.5%	10.0%
2b	0.6%	0%	0.6%
2c	1.9%	25.0%	3.0%
2d	3.1%	25.0%	4.1%
3a	13.8%	16.7%	13.9%
3b	23.3%	66.7%	35.6%
4a	5.7%	28.6%	6.7%
4b	5.1%	28.6%	6.1%
4c	11.7%	20.0%	11.9%
5a	8.9%	16.7%	9.4%
5b	7.4%	20.0%	8.1%
6a	6.1%	16.7%	6.8%
6b	3.8%	16.7%	4.7%
7	5.9%	14.3%	6.3%
8	26.4%	62.5%	28.1%
9	13.5%	42.9%	14.8%

Question 20: Bundling Indicators for Analysis

	Unitary/District	County	All
Yes	19.5%	22.2%	19.7%
No	80.5%	77.8%	80.3%

Question 22: Concerns Relating to Collection and Use of Core Output Indicators

	Unitary/District			County			All		
	<i>Serious Concerns</i>	<i>Some Concerns</i>	Total	<i>Serious Concerns</i>	<i>Some Concerns</i>	Total	<i>Serious Concerns</i>	<i>Some Concerns</i>	Total
Availability of data sources	30.8%	62.2%	93.0%	50.0%	33.3%	83.3%	32.1%	60.3%	92.4%
Quality of data sources	26.0%	60.4%	86.4%	50.0%	33.3%	83.3%	27.6%	58.6%	86.2%
Inconsistency of data sources	25.6%	58.3%	83.9%	41.7%	33.3%	75.0%	26.7%	56.7%	83.3%
Spatial scale of data	13.2%	46.1%	59.3%	8.3%	66.7%	75.0%	12.8%	47.5%	60.3%
Spatial coverage of data	14.5%	61.2%	58.3%	16.7%	41.7%	58.3%	14.7%	46.3%	61.0%
Having up-to-date information	27.8%	59.2%	87.0%	16.7%	66.7%	83.3%	27.1%	59.7%	86.7%
Time required to collate the data	43.5%	41.2%	84.7%	41.7%	41.7%	83.3%	43.4%	41.2%	84.6%
Data purchase costs	18.6%	23.4%	41.9%	8.3%	8.3%	16.7%	17.9%	22.3%	40.2%
Making sense of the indicators and their definitions	18.9%	62.1%	81.1%	33.3%	50.0%	83.3%	19.9%	61.3%	81.2%

Question 24: Importance of Role of Core Output Indicators in the Plan-Making Process

	Unitary/District			County			All		
	<i>Very Important</i>	<i>Minor Role</i>	Not Important	<i>Very Important</i>	<i>Minor Role</i>	Not Important	<i>Very Important</i>	<i>Minor Role</i>	Not Important
a) For the submission of the AMR	92.3%	6.5%	1.2%	81.8%	18.2%	0%	91.7%	7.2%	1.1%
b) To highlight issues for the development of core strategy and other policies	68.8%	28.8%	2.4%	72.3%	27.3%	0%	69.1%	28.7%	2.2%
c) To develop a robust evidence base for the LDF	70.6%	27.1%	2.4%	72.7%	27.3%	0%	70.7%	27.1%	2.2%
d) To monitor performance of core strategy, other policies	76.3%	22.5%	1.2%	81.8%	18.2%	0%	76.7%	22.2%	1.1%
e) To use the analysis for partnership working	16.4%	70.9%	12.7%	30.0%	50.0%	20.0%	17.1%	69.7%	13.1%
f) For benchmarking performance	43.7%	47.9%	8.4%	50.0%	20.0%	30.0%	44.1%	46.3%	9.6%

Question 25: Usefulness of the AMR in Plan-Making Process

	Unitary/District	County	All
Very Useful	33.9%	45.5%	34.6%
Quite Useful	55.6%	45.5%	54.9%
<i>Total</i>	<i>89.5%</i>	<i>90.9%</i>	<i>89.6%</i>

Question 27: Organisations Engaging in Partnership Working

	Unitary/District	County	All
Yes	60.4%	75.0%	61.3%
No	39.6%	25.0%	38.7%

Question 28: Partnerships Working Well?

	Unitary/District	County	All
Yes	74.8%	100%	76.8%
No	25.2%	0%	23.2%

Question 30: Reasons Why Partnership Arrangement Are Not Working

	Unitary/District	County	All
Difficult to achieve consensus on the definition of indicators	5.7%	8.3%	5.9%
Difficult to achieve consensus on the time frame of data collection	10.3%	8.3%	10.2%
Difficult to agree on the spatial units of analysis	0.6%	0%	0.5%
Difficult to coordinate and manage the data sharing process	12.1%	8.3%	11.8%
Issues over the costs involved	8.0%	8.3%	8.1%

Question 33: Opinions on Relevant Spatial Scale of Analysis for Core Output Indicators

Spatial Scale	Unitary/District	County	All
Sub-District	33.9%	33.3%	33.9%
District/Unitary Authority	85.6%	83.3%	85.5%
Settlement Type	36.8%	50.0%	37.6%
County	27.0%	75.0%	30.1%
Other Sub-Regional Level	24.1%	41.7%	25.3%
Region	26.4%	58.3%	28.5%
England	15.5%	16.7%	15.6%

Question 34: Does AMR Preparation for RSS Synchronise with own AMR?

	Unitary/District	County	All
Yes	55.6%	63.6%	56.2%
No	44.4%	36.4%	43.8%

Question 36: Synergy between COI Collection and Other Monitoring?

	Unitary/District	County	All
Yes	69.1%	70.0%	69.1%
No	30.9%	30.0%	30.9%

Question 38: Could Consistent/Comparable COIs Benefit Other Policy Areas?

	Unitary/District	County	All
Yes	28.9%	54.5%	30.8%
No	71.1%	45.5%	69.2%

Question 40: Who Should Lead Organisation/Management of Collection of COIs?

	Unitary/District	County	All
Local Planning Authority itself	79.3%	66.7%	78.5%
County	37.9%	75.0%	40.3%
DCLG	18.4%	16.7%	18.3%
Regional Planning Body	36.2%	58.3%	37.6%
Regional Intelligence Partnership	5.2%	0%	4.8%
Partnerships at the sub-regional level	10.9%	16.7%	11.3%
Other central government departments	4.0%	0%	3.8%

Question 42: Do you envisage that the collection of core output indicators will be enhanced by the development of the Planning and Regulatory Services On-line (PARSOL) system, and other electronic data platforms?

	Unitary/District	County	All
Yes	60.9%	58.3%	60.8%
No	29.1%	41.7%	39.2%

Question 44: Do you collect any indicators that measure the socio-economic or environmental outcomes of spatial planning policies, in relation to the measurement of performance?

	Unitary/District	County	All
Yes	34.5%	66.7%	36.6%
No	65.5%	33.3%	63.4%

Question 46: Do you think it is important to collect indicators to measure the outcomes of planning policy?

	Unitary/District	County	All
Yes	100%	100%	100%
No	0%	0%	0%