



Department  
for Transport

# Unlocking Etruria Valley Enterprise Area

Local Pinch Point Fund  
Application Form



# Local Pinch Point Fund Application Form



Department  
for Transport

**Scheme:** Unlocking Etruria Valley Enterprise Area

**Lead authority:** Stoke-on-Trent City Council

## SECTION A

	<b>Section / page</b>	<b>Guidance Ref</b>
A3. Have you appended a map?	p4	N/A
A6. Have you included supporting evidence of partnership bodies' willingness to participate in delivering the bid proposals?	Annex B	Para 10-14
A7. Have you appended a letter from the relevant LTB(s) / LEP(s) confirming the priority of the proposed scheme?	Annex C	Para 10-14

## SECTION B

	<b>Section / page</b>	<b>Guidance Ref</b>
B4. Have you enclosed a letter from an independent valuer to verify the market value land if land is being included as part of the non-DfT contribution towards scheme costs?	Annex B Annex H	Para 40-42
B4. Have you enclosed a letter confirming the commitment of external sources to contribute to the cost of the scheme will be required?	Annex I	Para 40-42
B6. Have you provided a completed <a href="#">Appraisal Summary Table</a> in a format readable by Excel 2003?	Annex L	Para 35-39
B6. Have you provided a completed <a href="#">Scheme Impacts Pro Forma</a> in a format readable by Excel 2003?	Annex K	Para 35-39
B6. Have you provided relevant supporting material – and for large schemes – a WebTAG compliant bid?	Annex E	N/A
B7. Have you attached a joint letter from the local authority's Section 151 Officer and Head of Procurement confirming that a procurement strategy is in place that is legally compliant and is likely to achieve the best value for money outcome?	Annex I	Para 43-45
B8. Has a letter been appended to demonstrate that arrangements are in place to secure the land to meet the construction milestones?	Annex B Annex H	N/A
B8. Has a Project Plan been appended to your bid?	Annex M	Para 43-45
B11. Has a QRA been appended to your bid?	Annex J	Para 40-42
B11. Has a Risk Management Strategy been appended to your bid?	Annex O	Para 40-42

## SECTION D

	<b>Section / page</b>	<b>Guidance Ref</b>
D1. Has the SRO declaration been signed?	p28	N/A
D2. Has the Section 151 Officer declaration been signed?	p28	N/A

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## Applicant Information

**Local authority name:** Stoke-on-Trent City Council

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City Renewal, City of Stoke-on-Trent, Civic Centre, Glebe Street, Stoke-on-Trent, ST4 1HH

**Website address for published bid:** [www.stoke.gov.uk/ltp](http://www.stoke.gov.uk/ltp)

## SECTION A - Project description and funding profile

### **A1. Project name**

Unlocking Etruria Valley Enterprise Area

### **A2. Headline description**

The scheme includes the creation of a new all-purpose highway access into the Etruria Valley site in Stoke-on-Trent from the A500 Wolstanton junction. The new access will tackle existing transport pinch points and unlock Etruria Valley and surrounding urban development sites to be developed at a much faster rate. The scheme will enhance the local economy by:

- Unlocking a 39 hectare Core Strategy site providing 13 hectares of employment land, a mixed use local centre and 200 houses;
- Reducing congestion on the local highway network;
- Reducing the impact the development site has on local residential areas;
- Accelerating growth by bringing forward the development programme; and
- Reducing severance for transport users.

### **A3. Geographical area**

The Etruria Valley Link Road (EVLR) will connect to the Wolstanton Junction of the A500 trunk road which has direct access to Junctions 15 and 16 of the M6 and the A50 trunk road. The scheme has wide ranging connectivity benefits and proposes a new crossing over the West Coast Main Line railway and Fowlea Brook, providing a direct connection between the A500 and Etruria Valley development site, also providing much improved connections to the city centre and inner urban core from the north and west.

Etruria Valley is located in the heart of the Stoke-on-Trent and Newcastle-under-Lyme urban area. Strategically, Stoke-on-Trent is located in the heart of the country, with good highway connections to conurbations in the Midlands and North West.

OS Grid Reference: 386280, 348440  
 Postcode: ST1 5GP

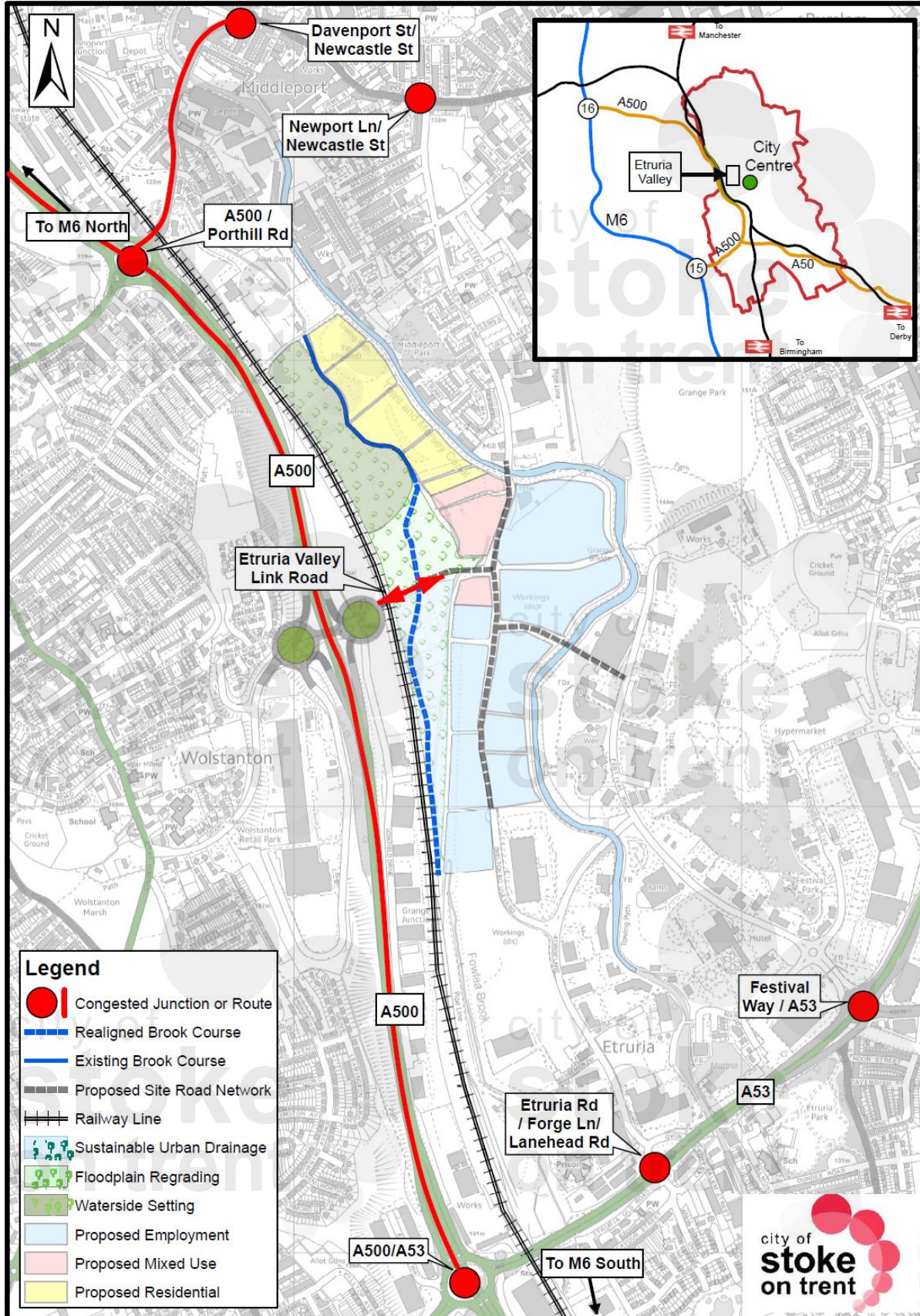


Figure 1 Location Plan

#### A4. Type of bid

**Small project bids** (requiring DfT funding of between £1m and £5m)

Scheme Bid   
Structure Maintenance Bid

**Large project bids** (requiring DfT funding of between £5m and £20m)

Scheme Bid   
Structure Maintenance Bid

#### A5. Equality Analysis

Has any Equality Analysis been undertaken in line with the Equality Duty?  Yes  No

The Equality Analysis document in relation to 8 Social and Distribution Impacts (SDIs) is included in **Annex A**.

In addition, an Equality Impact Assessment (EIA) Form has been completed in relation to the Supplementary Planning Document (SPD) for Etruria Valley. The EIA Form demonstrates that the Etruria Valley SPD aims to establish acceptable development principles for the site which protect existing surrounding businesses and residents in terms of amenity. The document also indicates that the SPD is aimed at maximising job opportunities, creating new housing and supporting community's facilities with access for people from all equality strands. In particular, the EIA reviews the impact the proposals have on each protected characteristics (as set out in the Equality Duty), and specifies that there will be a positive impact on all. The inclusion of the all-purpose Etruria Valley Link to the A500 junction will assist in this improvement of access.

#### A6. Partnership bodies

The city council is looking to deliver the Etruria Valley Enterprise Area project through a partnership with the private sector.

#### A7. Local Enterprise Partnership / Local Transport Body Involvement

A letter of support for this Etruria Valley Local Pinch Point Fund Bid from Stoke-on-Trent and Staffordshire Local Enterprise Partnership is included at **Annex C**. It should be noted that the Etruria Valley Local Pinch Point Fund bid is the number one priority bid for investment through the Local Pinch Point Fund from a city council perspective.

Have you appended a letter from the LEP / LTB to support this case?  Yes  No

## **SECTION B – The Business Case**

### **B1. The Scheme - Summary**

The Etruria Valley Link Road (EVLN) is trying to achieve the following:

- Improve access to a development site that will create housing;
- Improve access to a development site that will create jobs;
- Improve access to surrounding urban employment centres;
- Improve access to Enterprise Zones; and
- Ease congestion / bottlenecks in the surrounding area and vastly improving connectivity.

Refer to **Annex D** for full scheme details.

### **B2. The Strategic Case**

#### **Issues Addressed**

The introduction of the EVLN will address a number of problems relating directly to the local transport network and economy. The existing undeveloped area of Etruria Valley includes vacant, derelict and former industrial land covering approximately 39 hectares and is categorised as brownfield, previously developed land. Having been derelict since 2002 following the closure of a steel rolling mill, the site is in much need of improvement. Hence, Etruria Valley forms a key site within the adopted Newcastle-under-Lyme and Stoke-on-Trent Core Spatial Strategy. The site is very prominent and highly visible from a regeneration perspective, as it sits adjacent to the A500 trunk road and West Coast Mainline Railway. The site is a true symbol of the city's health and forms a key element of the regeneration agenda under the 'Mandate for Change' policy which looks to make Stoke-on-Trent a 'great working city'.

"The transformation of the Inner Urban Core of the City is a regeneration priority ... The historic heart of the conurbation has suffered marked decline over recent years with the loss of population and employment opportunities. Turning the area around for the benefit of existing and future residents will be critical to the health and well being of the conurbation." –*Newcastle-under-Lyme and Stoke-on-Trent Core Spatial Strategy 2006 - 2026*

Due to the limited route choice both across the A500, and from the A500 to Stoke-on-Trent City Centre, many highway sections and associated junctions that surround the development site operate at, or above, capacity. This is evident at the A53/A500 grade separated junction, where strategic traffic from the A500 and M6 and from Newcastle-under-Lyme meet in order to access the inner urban core.

In addition, accessibility for all modes of travel is a key issue that would be addressed by the EVLN. Due to the location of the site, east-west connectivity between urban centres is hindered by the A500, West Coast Mainline and Fowlea Brook. As a result, all modes of transport are forced to travel via the A53 Etruria Road to the south, or A5271 Porthill Road to the north, both of which have congestion issues that would be compounded further by development traffic. As demonstrated in WebTag Unit 3.6.2 (The Severance Sub-Objective), groups that are potentially more vulnerable to severance often experience longer journey times, or are often required to use pedestrian routes that are inappropriate and difficult to use. It is suggested that, following the guidance and definitions provided within the sub-objective, the severance classification across the A500 improves from severe to slight, as a result of the introduction of the EVLN.

“Etruria Valley, being a major mixed use area for employment in the south and housing in the north; improved sustainable transport facilities will be used as a catalyst for a major inward investment offer. A new link from the A500 to the City Centre and Burslem plus park and ride facilities will be a critical element.” – *Etruria Valley Enterprise Area Supplementary Planning Document*

The EVLR is a critical element in the delivery of the Core Spatial Strategy and the Etruria Valley Enterprise Area. It will be the main driver in removing barriers to growth for business and industrial users in this development site and also across the inner urban core. The Core Spatial Strategy targets for over 4,000 additional houses in the inner urban core area over the remainder of the plan period. Regarding the phased delivery of the mixed use Etruria Valley Enterprise Area, the residential and employment development will rely significantly on the provision of the necessary infrastructure for more direct access. Therefore, the accelerated delivery of the EVLR, as a result of Pinch Point Funding, will stimulate the phasing and delivery of the internal site development, realising the benefits of growth much earlier and with more certainty than previously expected. This development will include:

- A 13 hectare employment zone;
- A mixed use local centre, including retail, restaurant, business enterprise hub and hotel; and
- 200 houses.

In addition, there are three strategic housing development sites located in Middleport (northeast of the Etruria Valley Site), totaling 378 dwellings, that will also benefit from improved accessibility as a result of the EVLR.

### Option Appraisal

In support of the recent Supplementary Planning Document (SPD) for the Etruria Valley Enterprise Area, a considerable amount of option testing has been completed to ascertain the most efficient and cost effective access strategy for the development site. In order to complete this testing, the North Staffordshire Transport Study Phase III transport model was used as a source of baseline traffic information, with associated Transport Assessment and Option Testing reports completed.

A number of initial access options were considered to ascertain the key access routes into the site. The findings demonstrate that without the EVLR, access to the site would be limited, constraining the level of development that can be achieved on the site, with many local junctions and road sections already operating over capacity:

*Table B-1 Options Examined*

Option	Advantages	Disadvantages
No New Access Links		A53 over capacity
		Significant impact on A500/A53 junction
		Parallel lane gains on A500 to be investigated
A500 Link (EVLR)	Significant reduction in flows on A500 between Link road and A53 Etruria Road	Significant impact on A500 between Longport Road and Link road
	Significant reduction in flows through A500/A53 junction	
	Vastly improved connectivity to the site	

Option	Advantages	Disadvantages
Porthill Link	Negligible impact on A500 between Longport Road and A53	Significant impact on A5271 Longport Road (over capacity)
		Increase in traffic through A5271/A500 junction
		Increase in traffic through congested A500/A53 junction
Newport Lane Link	Negligible impact on the A500 between Longport Road and A53	Significant increase in traffic along Newport Lane through residential area (over capacity)
	Reduction in traffic along A50 Waterloo Road	Significant increase in traffic through congested A500/A53 junction
Enoch Street Link	Negligible impact on A500 between Longport Road and A53	Significant increase in traffic through Burslem Town Centre
	Reduction in traffic along A50 Waterloo Road	Significant increase in traffic through congested A500/A53 junction
Stoner Street Link		Moderate increase in traffic on A500 between Longport Road and A53
		Significant increase in traffic through Burslem Town Centre
		Significant increase in traffic along A50 Waterloo Road
		Significant traffic flow through residential area
		Significant increase in traffic through congested A500/A53 junction

Following the initial interrogation of options, it was found that the A500 Link (EVLR) would provide the most significant benefits regarding the provision of direct access onto the trunk road network, whilst protecting the surrounding residential communities and reducing the impact on already congested routes surrounding the site.

As part of the SPD work, development land use and trip rates were refined. Based on the initial testing, a further 15 options were tested to ascertain which access mix, in addition to the EVLR, would produce the most efficient and cost effective access strategy for the site. The options included variations to the access point on Newport Lane and the operation of the junction at Newcastle Street/Newport Lane. The results suggested that, in addition to the EVLR, a traffic calmed through route to Newport Lane (with the Newcastle Street/Newport Lane remaining a priority junction) as a tertiary access to the site will help mitigate the impact of the Etruria Valley development on the road network.

## Potential for Cost Optimisation

Due to the current stage of project development, there is scope for costs to be reduced as a result of value engineering both in the detailed design stage and at the construction stage. During detailed design, material efficiencies will be at the forefront of design enhancements to ensure cost efficiencies whilst ensuring that design standards are followed.

## Related Activities

Primarily due to the location of the scheme and the number of stakeholders, there are a number of related activities that could potentially result in the full economic benefits of the EVLR not being realised, although significant benefits will still be realised:

1. A500 lane gain – Transport and access assessments undertaken as part of the preparation for planning permission indicate that in order to reduce the impact of additional traffic on the surrounding highway network, the development of the Etruria Valley site will need to be supported by additional points of vehicular access into the site. It is recognised that the A500 lane gain is likely to result in some departures from Highways Agency standards, and through consultation with the Highways Agency, acknowledged that detailed design would need to be completed in order to approve the associated departures.
2. Enlarging the two existing roundabouts at the Wolstanton Junction - In order to provide the EVLR and its associated access for all transport users, the existing roundabouts at Wolstanton Junction would require enlarging. If junction improvements are not implemented at this location, resultant congestion would impact on the economic benefits unlocked by improving the efficiency of the local transport network.
3. Etruria Valley internal site roads – in parallel with the EVLR, it is proposed to create new all-purpose highway links through the Etruria Valley site to connect the A500, Shelton Boulevard, Festival Way and Newport Lane. In doing so, the full economic benefits of the EVLR will be realised through greater accessibility and reduced congestion at key hotspots surrounding the site. It is also proposed to implement traffic management on these highway links in order to prevent rat-running through the site and to ensure that the key focus of the EVLR is the accessibility to growth areas.
4. Additional Consents – the key to unlocking the full economic benefits of this scheme will be the approvals and consents of stakeholders whose priority is the maintenance and use of their existing assets. In relation to construction of the EVLR, the Highways Agency, Network Rail, Staffordshire County Council, the Canal and Rivers Trust and the Environment Agency will be working with Stoke-on-Trent City Council to ensure suitable resolution of issues and to provide consent to the delivery of the scheme. Currently, all of these bodies have been consulted and are supportive of the proposals in their detailed feedback, as demonstrated in **Annex F**. As part of the design process, the approvals from key stakeholders will be prioritised to ensure efficient delivery as demonstrated in the Detailed Project Plan – **Annex M**.

## What if Scheme Funding is not secured?

The Core Spatial Strategy for Newcastle-under-Lyme and Stoke-on-Trent suggests that improved sustainable transport facilities will be used as a catalyst for a major inward investment offer. As a critical element in the delivery of the Etruria Valley development site, the EVLR provides the most robust and suitable option in providing access into the development. Having assessed the impact that alternative options have on the local transport network, the EVLR is the only option that provides a major gateway into the employment site, allowing direct access to the Strategic Road Network, in addition to relieving congestion at key hotspots surrounding Etruria Valley and improving sustainable transport links that reduce severance.

If the Local Pinch Point Funding (LPPF) was unavailable for the project the Local Authority would need to look at alternative methods of funding this element of the project which would have broad implications on the timing and delivery of key access infrastructure with a knock-on effect on the timing of the delivery of development and ultimately jobs. Without the LPPF funding, the scheme would have to be delivered in a much longer timeframe, subject to funding sources becoming available. The key benefit of the LPPF funding would be the accelerated delivery of the scheme, resulting in accelerated economic growth through major inward investment.

### **Impact on Statutory Environmental Constraints**

Following the completion of a Phase 1 Habitat Report, it was found that there are no international or national habitat designations within 2km of the site. Westport Lake Local Nature Reserve is the nearest locally designated habitat and is situated 1.2km north of Etruria Valley site. The potential for remobilisation of contaminants (due to the former uses of the land) during site development may have environmental impacts. However, the proposal will ensure that the planned construction of the EVLR will not impact the groundwater and surface water quality. In contrast to the potential detrimental impact of the construction phase, the reduction in congestion as a result of the EVLR will have a positive impact on air quality through reduced vehicle emissions. In 2006, an Air Quality Management Area encompassing the whole city of Stoke-on-Trent was introduced. Monitoring has shown that several areas of the city continue to exceed the UK NO<sub>2</sub> annual mean objective, including a number of locations surrounding the proposed Etruria Valley development site. Reducing congestion at these key locations (e.g. A53/A500 junction) will assist in the reduction of pollutant levels both at these specific locations, but also across the city. In particular, the implementation of the EVLR should reduce levels at the following three monitoring sites<sup>1</sup>:

- A53 Etruria Road / A500 junction – currently 84µg/m<sup>3</sup>
- A53 Etruria Road – currently 55µg/m<sup>3</sup>
- Newcastle Street / Davenport Street junction – currently 51µg/m<sup>3</sup>

### **B3. The Financial Case – Project Costs**

The funding profile is broken down into the years within which the scheme will be delivered.

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<sup>1</sup> Data extracted from 2012 Air Quality Updating and Screening Assessment

#### B4. The Financial Case - Local Contribution / Third Party Funding

The Etruria Valley Enterprise Area project is predicated on Stoke-on-Trent City Council making a significant capital contribution to front-funding the main access infrastructure requirements of the Etruria Valley site, available public sector grant, to open up a key strategic employment site, deliver economic uplift and job opportunities, alongside the delivery of significant connectivity and reduced congestion at key localised pinch points.

The high level of commitment to the project from key landowners is noted through the supporting letters from the two key private sector landowners, Stoke-on-Trent Regeneration Ltd. and Morston Assets at **Annex B** and **Annex H**, respectively. The site is currently within the control of Stoke-on-Trent Regeneration Ltd., Morston Assets and Severn Trent.

Have you appended a letter(s) to support this case?  Yes  No  N/A

As noted above, the balance of scheme costs will be met by the city council. This situation is noted in the letter from the local authority at **Annex I** which has been signed by the city council Section 151 Officer.

Have you appended a letter to support this case?  Yes  No  N/A

There have been no other funding applications made for this scheme or variants thereof.

#### B5. The Financial Case – Affordability and Financial Risk

The city council has identified a number of risks associated with delivery of the scheme from the initial scheme development to contractor construction risks, as demonstrated in the Risk Register (**Annex J**). The vast majority of the risks relate to either delay to the scheme delivery programme or to increased costs.

The city council will proactively manage the project to ensure that the scheme is delivered on time and to budget. If, through actions outside of the scope and control of the project management team, cost overruns occur, then the city council has apportioned a capital sum, in excess of the value of the portion of city council funding allocated to complete the Local Pinch Point Fund project at Etruria Valley, which could be used to ensure the project is completed.

The city council understand that the level of investment from the Local Pinch Point Fund is capped at £5m and any cost overruns on the project will solely relate to the city council funded element of the project.

The following sections provide the full range of impacts of the EVLR, and include the following:

- Significant positive and negative impacts;
- A description of the key risks and uncertainties; and
- A short description of the modelling approach used to forecast the impact of the scheme and the checks that have been undertaken to determine that it is fit-for-purpose.

### Modelling Approach

The EVLR has a number of key benefits to the economy, most notably improved access, reduced severance and reduced congestion on the local network. The traffic forecasts produced to inform and support these benefits have been carried out using the North Staffordshire Transport Study Phase III (NSTSIII) transport model. With a 1999 base-year, traffic forecasts created to assess the impact of the Etruria Valley Enterprise Area were produced for a 2010 present year, 2015 scheme opening year and 2026 forecast year in line with the expected completion of the proposed Etruria Valley Enterprise Area. The 2010 present year model was validated by comparing observed and modelled traffic and turning flows on appropriate sections of the strategic road network and adjacent areas to the Etruria Valley Enterprise Area. The flows were validated based on the criteria documented in the Design Manual for Roads and Bridges (DMRB) Volume 12. In relation to the 2026 forecast model, the following approach was adopted:

- The proposed highway infrastructure associated with the Etruria Valley development was added to the 2026 Do-Minimum<sup>2</sup> network;
- The proposed Etruria Valley development traffic was then assigned as additional traffic to the resultant traffic flows; and
- A comparison of the above traffic with the Do-Minimum traffic levels was used to facilitate the identification of the magnitude and extent of the impact of the development on the highway network and in identifying the preferred access arrangements for the site.

A number of options were then examined to ascertain the access arrangements, resulting in the EVLR being the preferred choice. In assessing the impact that the EVLR has on the highway network, the model network was cordoned in order to ascertain the key areas of impact surrounding the scheme location, especially where junction or link flows changed significantly. Following a review of the 2026 Do-Minimum (without EVLR) and Do-Something (with EVLR) model traffic data, a number of key statistics demonstrate the impact of the scheme on the local highway network and a number of key junctions surrounding the Etruria Valley site, as demonstrated in **Tables B-5** and **B-6**.

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<sup>2</sup> Do-Minimum network does not include the EVLR.

Table B-5 Network Statistics

Statistic	2026 Do-Minimum		2026 Do-Something		Difference	
	AM Peak-Hour	PM Peak-Hour	AM Peak-Hour	PM Peak-Hour	AM Peak	PM Peak
Matrix Total	51,500	52,400	51,900	53,000	400	600
Vehicle Distance (kms)	193,000	195,000	194,000	197,000	1000	2000
Vehicle Time (mins)	353,000	361,000	352,000	357,000	<b>-1000</b>	<b>-4000</b>

**Table B-5** demonstrates that the EVLR will have a significant positive impact on the operation of the local highway network. In both the AM and PM peak models, vehicle times across the network dropped even though total vehicle distance increased. This clearly demonstrates that congestion throughout the local network has reduced in both peaks in an area where many junctions are currently at their operational capacity. In addition, the network results from the traffic model cordon suggest that 30% of journeys made have a reduction in journey time as a result of the proposed scheme.

Table B-6 Junction Statistics

Junction	Difference			
	AM Peak-Hour		PM Peak-Hour	
	Flows (veh)	Veh-Delay (min)	Flows (veh)	Veh-Delay (min)
A500/Wolstanton Retail Park (West)	600	291	800	437
A500/Wolstanton Retail Park (East)	2000	202	2050	315
A500/A5271 Porthill Road	-50	-12	-200	-121
A500/A53 Etruria Road	-1150	-2995	-800	-7231
A53 Etruria Road/Forge Lane	-800	28	-600	-21
A53 Etruria Road/Lanehead Road	-400	0	-400	0
A53 Etruria Road/Festival Way	-150	-10	-300	29
B5051 Newcastle Street/Newport Lane	-200	652	-150	-2650
A5271 Davenport Street/B5051 Newcastle Street	-350	-92	-400	-105
<b>Total</b>	<b>-500</b>	<b>-1936</b>	<b>0</b>	<b>-9347</b>

The examination of delay across a number of junctions within the local area, demonstrates that the EVLR would result in significant improvements. For example, the A500/A53 Etruria Road junction has significant reductions in peak hour delay as a result of vehicles exiting the A500 at the Wolstanton junction.

## Economic Appraisal

In order to forecast the impact of the scheme on a number of quantitative indicators, economic appraisal software<sup>3</sup> was used in accordance with the DfT's published guidance in Unit 3.5 of WebTAG. The following scheme and economic input data (with associated assumptions) were used to calculate the benefits over a 60 year period:

1. Benefits were based on traffic data from 2015 (scheme opening year) to 2074, covering a 60 year period;
2. Annualisation factors based on the modelled time periods of 8am to 9am, and 4pm to 6pm average hour. Using the number of working days in a year (253), the total number of hours that contributed to the economic benefits was 2,277, consisting of 253 in the AM peak, 1,518 in the IP and 506 in the PM peak;
3. Scheme construction to occur between 2013 and 2015;

<sup>3</sup> Transport User Benefit Appraisal (TUBA) software

4. Scheme costs based on the information provided in **Table B-3**;
5. Traffic data split into 5 user classes (Car Commute, Car Business, Car Other, LGV and HGV). The proportion of traffic for each user class was taken from WebTAG Unit 3.5.6, Table 7; and
6. Economic values based on a 2010 present value year for discounting, consistent with the May 2012 version of WebTAG Units 3.5.6 and 3.3.5.

For further details on the modelling approach, the assumptions made and the checks undertaken to ensure that it was fit-for-purpose, refer to **Annex E**.

These benefits relate directly to a number of indicators, including reduced congestion, reduced journey time and improved accessibility, but also the contribution that the EVLR will have on unlocking both the major urban development of Etruria Valley Enterprise Area and also existing employment areas to the east of the A500.

The following documents have been provided as annexes to support the impacts of the EVLR:

- A Scheme Impacts Pro Forma (**Annex K**) which summarises the impact of proposals on the traffic levels on the local highway network. The data present the findings of the AM and PM peak transport models; and
- An Appraisal Summary Table (**Annex L**), including the impacts on economic, environmental, social and financial indicators. Where possible, the impact of the scheme has been quantified following analysis.

## B7. The Commercial Case

As noted in the joint letter from Stoke-on-Trent city council's Section 151 Officer and Head of Procurement at **Annex I**, the city council will ensure that the selected contractor to deliver the physical works on the project, will be appointed through a procurement strategy that is legally compliant with European Union Public Procurement Legislation and Stoke-on-Trent City Council's Procurement Contract Procedure Rules. The city council will look to ensure that a best value for money outcome is delivered through the procurement strategy.

Using the NEC ECC Option C form of contract, risk to the Client / Promoter will be minimised through the use of the Client / Contractor share clause. Also, risk to cost overrun and delays to programme will be reduced through the use of Early Contractor Involvement. Overall project risks during the works stage will be carefully managed through the requirement to produce, review, maintain and share a Risk Register as part of the contract documentation.

Should the Midlands Highways Alliance (MHA) MSF2 framework be available for use (see below) to undertake the works within this bid document, which currently it is fully expected to be, then time savings on the project programme could be achieved by not having to undertake the full OJEU tender procurement process, thereby further reducing risk to the timely delivery of this project.

The timescales for procurement are as shown on the overall project programme. These could be reduced if the MSF2 contract (see below) is used. Under the existing MSF1 contract, the risk allocation is managed through the NEC3 ECC Option C form of contract, whereby the Client/Promoter and Contractor cost risks are shared as outlined below.

Hence the Client / Promoters financial risk above the Target cost plus 10% is zero. This arrangement also helps to drive the Contractor's adherence to shortest possible timescales for delivery. This arrangement is expected to be similar for the upcoming MSF2 contract and would also be the arrangement should the Client proceed with a standalone Works contract using the same form of contract.

The preferred procurement route will be an Open Tender through a full OJEU process and will use the NEC3 ECC Option C form of contract. However, the MHA MSF2 Framework Contract will become available prior to procuring the works for this project and, once available, will most likely be the preferred route.

The City Council is currently a full member of the MHA and, as such, is eligible to use their Framework Agreement. Included within this framework is a works contract (MSF1) specifically aimed at Highways, Civil and Municipal Engineering Projects, the main aims of which are to improve performance and to generate efficiency savings.

MSF2 will be fully OJEU compliant and is programmed to be in place from 1 April 2014 or most likely, earlier.

The MSF1 contract has been used very successfully to date and has allowed the successful completion of 11 major schemes across member Authorities.

Has a joint letter been appended to your bid?  Yes  No

For joint Section 151 Officer and Head of Procurement letter please refer to **Annex I**

## B8. Management Case - Delivery

Refer to **Annex M** for the detailed project plan. The plan includes tasks covering the following:

- Network Rail Agreements;
- Environment Agency approval process;
- Land agreements;
- Public liaison;
- Planning process;
- Environmental Impact Assessment;
- Statutory undertakers tasks;
- Detailed design;
- Open tender; and
- Construction.

Has a project plan been appended to your bid?  Yes  No

In summary, the following key milestones have been identified throughout the construction process:

*Table B-8 Overarching Construction Milestones*

Milestone	Estimated Date
Start of works	18 <sup>th</sup> September 2014
Site Clearance and Earthworks Completion	22 <sup>nd</sup> October 2014
Foundations Completion	8 <sup>th</sup> December 2014
Abutments Completion	8 <sup>th</sup> April 2015
Deck Completion	2 <sup>nd</sup> December 2015
Completion of works	7 <sup>th</sup> December 2015

Has a letter relating to land acquisition been appended?  Yes  No  N/A

Letters of support for the bid from the two major site landowners (Stoke-on-Trent Regeneration Ltd. and Morston Assets) are included at **Annex B** and **Annex H** respectively. As a major stakeholder in this project, Severn Trent have been involved in dialogue with the city council for over 12 months and are fully supportive of the councils position and aspirations to bring the area forward for major employment and investment. All three landowners played a major part in shaping the Supplementary Planning Document for the Etruria Valley Enterprise Area and are committed to the delivery of the scheme.

The following major transport schemes have recently been delivered in Stoke-on-Trent:

### **A50 Trentham Lakes Grade Separated Junction**

The 400 acre Trentham Lakes development on the former Hem Heath Colliery has, through the delivery of key infrastructure, attracted major investment in employment. The project in many ways mirrors the proposals to unlock the Etruria Valley Enterprise Area. Funded and delivered by Stoke-on-Trent Regeneration Ltd., the £7million grade separated junction completed in 2006 provided improved access from the A50 trunk road. This removed a constraint on the remaining sites for development and has enabled the internal development roads to operate as a through route and has enabled improved bus routing. Trentham Lakes is now a high quality employment led, mixed use business park with over two million sq. ft. of business space, 435 houses and a local centre, together with the Britannia Stadium, home of Stoke City Football Club.

### **City Centre Link Road (Phase 1)**

In 2010 construction of the A5008 Potteries Way was completed between new junctions with the A5006 at Broad Street and A5010 Etruria Road. This high quality new dual carriageway link forms part of the City Centre ring road and was entirely funded through a Section 278 associated with the development of a new superstore in the City Centre, for which the link road provides vehicle access.

## **B9. Management Case – Statutory Powers and Consents**

**Table B-9** provides a summary of powers and consents that have been obtained, including details of data acquired, challenge periods and date of expiry of powers and conditions attached to them.

*Table B-9 Obtained Powers and Consents*

<b>Management Case - Statutory Powers and Consents</b>		
<b>Obtained Powers and Consents</b>	<b>Details of date acquired</b>	<b>Challenge period</b>
<b>Town and Country Planning (Local Planning) (England) Regulations 2012 – Preparation of a Supplementary Planning Document</b>		
Cabinet Approval of Draft Etruria Valley Enterprise Area Supplementary Planning Document	26 <sup>th</sup> July 2012	
Formal Public Consultation	20 <sup>th</sup> August 2012 – 17 <sup>th</sup> September 2012	
Cabinet Approval of Final Supplementary Planning Document including Development Objectives; Concept Plan; Development Principles	13 <sup>th</sup> December 2012	
Regulation 13 Consultation Period on revised SPD and Statement of Consultation	1 <sup>st</sup> February – 4 <sup>th</sup> March 2013	
<b>Environmental Assessment of Plans and Programmes Regulations 2004 (the SEA)</b>		

<b>Management Case - Statutory Powers and Consents Regulations)</b>		
Sustainability Compatibility Assessment	Cabinet Approval 26 <sup>th</sup> July 2012	
Formal Public Consultation	20th August 2012 – 17th September 2012	
Cabinet Approval of Final Supplementary Planning Document including Sustainability Appraisal	13th December 2012	

**Table B-10** provides a summary of powers and consents that are outstanding, including details of the timetable for obtaining them and the associated challenge periods.

*Table B-10 Outstanding Powers and Consents*

<b>Management Case - Statutory Powers and Consents</b>		
<b>Outstanding Powers and Consents</b>	<b>Details of date to obtain</b>	<b>Challenge period</b>
<b>Town and Country Planning (Local Planning) (England) Regulations 2012 – Preparation of a Supplementary Planning Document</b>		
City Council Approval to Adopt SPD	21 <sup>st</sup> March 2013	3 month Challenge Period
<b>Environmental Assessment of Plans and Programmes Regulations 2004 (the SEA Regulations).</b>		
City Council Approval to Adopt SPD	21 <sup>st</sup> March 2013	3 month Challenge Period
<b>Highways Act 1980 Section 38 Agreement</b>		
Technical approval to the structure design as highway authority using BD2/12 "Technical Approval of Highway Structures	April 2013- May 2014	
<b>Transport Act 2000 and the Railways Act 1993</b>		
Basic Asset Protection Agreement and an Over Bridge Agreement with Network Rail.	April 2013 – Dec 2013	
<b>Town and Country Planning Act</b>		
Planning Permission for Development Scheme including new infrastructure	April 2013 – April 2014	3 month Challenge Period
<b>The Town and Country Planning (Environmental Impact Assessment) Regulations</b>		
Schedule 2 Development Requiring EIA	April 2013 – Dec 2013	
<b>Flood and Water Management Act 2010, the Environment Act 1995 and the Water Resources Act 1991</b>		
Environment Agency would consent to the crossing of the Fowlea Brook flood plain and the associated flood plain and water quality improvement works through a Flood Defence Consent application	June 2013 – October 2013	

## **B10. Management Case – Governance**

The Project is covered by the City Council's Surety Review Process. The organogram for this scheme is attached at **Annex N**. The Director of City Renewal is the Project Executive,

supported by a Project Board. The Project Board meets at least on a monthly basis, or more frequently if required. The project manager is responsible for the day to day management of the delivery through the key programme and project disciplines of planning, resourcing, risk and issue management. As part of the delivery process, the project is reviewed by the appropriate project board to ensure the project is on programme. These reviews are generally in the form of board meetings where the project progress, risks, issues and changes are reviewed via the project plan, risk log, issue log and progress reports.

It is the project manager's responsibility to ensure that the appropriate project management techniques are employed to ensure that the project remains on track and that, where any project issues arise, that they are brought to the attention of the Project Executive and Board so that appropriate measures can be taken to resolve the issues as quickly as possible. The project manager can work within tolerances of 5% cost and 2 weeks in time. These tolerances are set and reviewed by the Project Board.

The Planning Performance Agreement is required between the decision making Authorities, which include:

- Stoke-on-Trent City Council – Local Planning Authority / Highway Authority;
- Newcastle-under-Lyme Borough Council – Local Planning Authority; and
- Staffordshire County Council – Highway Authority for Newcastle-under-Lyme.

## **B11. Management Case - Risk Management**

### **Risk Register**

The logging of risk associated with the EVLR scheme has been undertaken using a structured Draft Risk Register (see **Annex J**). The register will be updated and reviewed on a monthly basis during the design and development process, and currently contains 73 risks associated with the following themes:

1. Scheme Development;
2. Implementation;
3. Project Management;
4. Scheme Approval and Funding;
5. Procurement and Delivery; and
6. Construction.

### **Quantified Risk Assessment**

Each of the risks has been assessed against the probability of incurred delays or additional costs, as explained within the Risk Management Strategy. Based on the current stage at which the scheme has been developed, it is envisaged that a number of the risks associated with planning, management and funding will be reduced significantly as the scheme progresses towards construction.

An associated Project Plan has been created to reflect the delays associated with the risk elements identified within the QRA, and can be provided if required.

Has a QRA been appended to your bid?  Yes  No

Has a Risk Management Strategy been appended to your bid?  Yes  No

## B12. Management Case - Stakeholder Management

The city council has considered the interest of all major stakeholders to the scheme through the process of developing the Supplementary Planning Document (SPD) for the Etruria Valley Enterprise Area. All key stakeholders have been consulted through a statutory four week consultation process (August/September 2012) on the draft SPD document. As part of the consultation, a half day session was arranged specifically for stakeholders where organisations had the opportunity to discuss the project in detail with both the project management and technical teams from the city council. All comments from stakeholders made through this process have been considered and helped to shape the SPD document into its final format.

In addition to the above, a number of key stakeholders were identified at the inception stage of the project and the city council has been working closely with these organisations for in excess of twelve months on the project:

*Table B-11 Stakeholder Management*

Stakeholder	Influence/interest
<p><b>Highways Agency (HA)</b></p>	<p>The HA hold direct responsibility for the adjacent strategic road network (A500 Trunk Road). The city council has been liaising directly with the HA since the project began in early 2012. The HA are wholly supportive of the aims and objectives of the project and have provided input at both a strategic and technical level. The HA have approved, in principle, a design for the main access infrastructure at the site and the necessary mitigation measures.</p>
<p><b>Staffordshire County Council Highway Authority (SCCHA)</b></p>	<p>Staffordshire County Council are the Highway Authority responsible for the road network to the west of the site running across the Stoke-on-Trent city council administrative border into Newcastle-under-Lyme. The overall project concept has been worked up in close consultation with SCCHA and they are fully supportive of the bid for to the Local Pinch Point Fund to bring this project forward. The close working relationship between the two Highway Authorities is evidenced by the letter of support for the bid from the Local Enterprise Partnership (at <b>Annex C</b>) who have highlighted the site as a major employment opportunity.</p>
<p><b>Network Rail (NR)</b></p>	<p>NR is the organisation responsible for the West Coast Mainline Railway which runs along the western border of the site. The project team has engaged with officers from NR from both a technical perspective and a property /asset management perspective regarding air rights to cross the railway line. NR is supportive of the overall concept of the project, its aims and objectives, as evidenced by the letter of support for the bid noted at <b>Annex F</b>. The city council has worked in close consultation with technical officers from NR to gain an approval in principle for the bridge design. In addition, the city council has liaised closely with officers from the asset management section of NR in order to understand and agree the process of obtaining air rights to cross the railway line. These conversations have been fed into the overall programme for this element of the project.</p>

Stakeholder	Influence/interest
<p><b>Environment Agency (EA)</b></p>	<p>The EA will have responsibility for approving any works to be carried out along the length of the Fowlea Brook watercourse, which runs through the site, and any planned mitigation works to areas of land within the Flood Plain. The city council has been liaising with the EA for over twelve months regarding the project. The first stage of works agreed with the EA was to undertake a full invasive ground investigation survey and flood risk assessment. This work was completed in July 2012. The survey and assessment provided a baseline position regarding ground conditions and flood risk issues and allowed the technical team at Stoke-on-Trent city council to understand the critical issues that need to be tackled through the remediation proposal.</p>
<p><b>Canal and River Trust (CRT)</b></p>	<p>The CRT have responsibility for the Trent and Mersey Canal which runs adjacent to the eastern boundary of the Etruria Valley site. The watercourse is a unique environmental asset and will be a valuable commodity for the plans to deliver a high quality canal-side residential setting and development at the northern section of the site. The city council has been liaising closely with the CRT since the inception of the project and the technical team at the city council has produced designs for two new bridge crossings (one upgrade / one new) which have been approved by the technical team at CRT.</p>

The project team has worked closely with key stakeholders to de-risk the project and ensure there is both a collective understanding of the importance of the project for the city, the county and the wider region and to agree workable timescales for the delivery of the project which all organisations can collectively sign up to.

The table below summarises our proposed approach to consulting with stakeholders throughout the scheme development and delivery process.

*Table B-12 Project Consultation*

Consultation Stage	Timescale	Main Consultation Methods	Principal Benefit
<p>Detailed design</p>	<p>5 months</p>	<p><b>Stakeholder workshops</b> – presentations by the project team on the initial proposals, followed by workshops aimed at achieving consensus on key design principals and any issues. These could be undertaken through the Ward Forums.</p>	<p>‘Buy-in’. Early identification of issues</p>
		<p><b>Exhibitions, brochure distribution, project website and questionnaire surveys</b> – formally presenting the scheme proposals, in an easily understandable form, to all affected and interested parties including statutory consultees, businesses and the wider public.</p>	<p>Ensures design reflects (as far as possible) key issues raised by stakeholders</p>

Consultation Stage	Timescale	Main Consultation Methods	Principal Benefit
Local Planning Authority Consultation	4 months	<b>Consultation with Local Planning Authority</b> - Under no circumstances shall works be permitted within the limits of the publicly maintained highway until the Section 278 Agreement is completed and the bond (if applicable) is secured.	Formal approval proposals through Section 278 Agreement
Pre-Construction	2 months	<b>Consultations with stakeholders, businesses, landowners and residents</b> – Individual consultations through meetings, letters etc, providing clear information on the construction programme including proposals for maintaining access and servicing provision	Avoids conflict and delays during construction
Construction	4 months	<b>Information on progress to stakeholders, landowners, residents and potential users</b> – information on the progress of construction disseminated primarily through newsletters and the council website. Individual consultations with key stakeholders maintained where necessary	Helps to maintain support during periods of disruption

Can the scheme be considered as controversial in any way?

Yes       No

Have there been any external campaigns either supporting or opposing the scheme?

Yes       No

### B13. Management Case - Assurance

**Section D** provides confirmation from the Section 151 Officer that adequate assurance systems are in place.

## **SECTION C – Monitoring, Evaluation and Benefits Realisation**

### **C1. Benefits Realisation**

The purpose of benefit evaluation is to determine whether the EVLR has been successful in achieving its intended objectives and to assist in understanding the scheme's impacts in sufficient detail to enable feedback to take place.

It is proposed to produce a monitoring plan for the EVLR scheme which will clearly define the scope, context and rationale for the monitoring, set out the objectives and present the input, output and outcome monitoring, including the indicators to be used. The main components of the monitoring plan are set out below, along with the likely benefits of the scheme.

#### **Scheme Objectives**

Scheme objectives help to define the scope of the monitoring and evaluation required. The application identifies the following objectives for the evaluation of the EVLR scheme:

<b>Objectives</b>	
1	Unlock a proposed Enterprise Area that will create housing and jobs
2	Improve access to surrounding urban employment centres
3	Ease congestion / bottlenecks in surrounding area
4	Vastly improve connectivity
5	Reduce the impact the development site has on local residential areas
6	Accelerating growth by bringing forward the development programme
7	Reducing severance for transport users

#### **Logic Map**

Based upon the EVLR objectives, and our detailed understanding of the scheme, a logic map has been prepared for the purposes of this application and is shown in **Annex P**. Logic mapping assists in the clarification of what is being delivered, the anticipated outcomes and opportunities for monitoring, and therefore plays a crucial role in the development of a Monitoring Plan.

The logic map outlines the objectives for the scheme (these are shown on the left and also in the red boxes where they are addressed by the individual causal pathways) and link inputs/outputs with the outcomes that can be derived from the scheme. It is anticipated that the logic map will be reviewed and updated as the baseline monitoring is developed.

#### **Inputs, Outputs and Outcomes**

The logic map has been used to identify and illustrate the contribution of the EVLR scheme to the overall objectives. The logic maps will be used to develop indicator sets, focused around the delivery of the scheme and an understanding of available datasets.

#### **Scheme Inputs**

The Department for Transport's (DfT) Monitoring and Evaluation Framework, published in December 2012, presented the following definition of Inputs:

*Inputs are the resources which are invested in implementing the project. This includes the Department's and local contribution funding, but also human resources such as the time invested, skills required and other inputs, such as equipment, technology and research.*

Historically the collection and reporting of inputs within transportation monitoring has focused on the first two elements of the above, namely the financial (funding) investment and the human resources used. In the logic map, inputs are shown as DfT funding and Local Authority resources.

### Scheme Outputs

In the context of the DfT requirements, outputs should be monitored for each scheme element as a mechanism to enable the analysis of project delivery. Outcome reporting also enables project teams to quantify precisely what has been delivered and thereby identify lessons learned and best practice. The outputs are shown on the left hand side of the logic map.

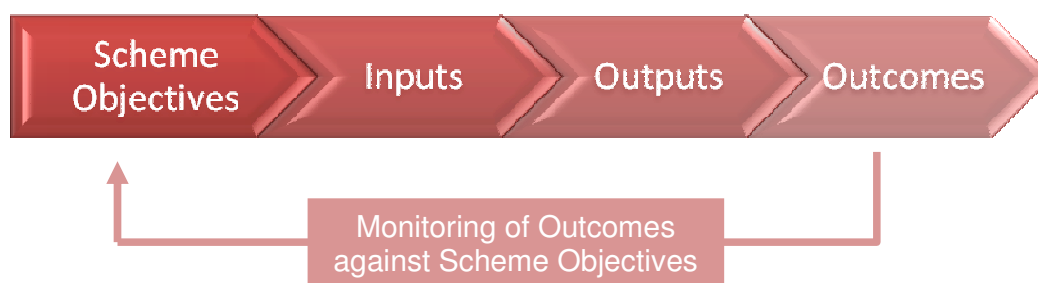
### Scheme Outcomes

A critical decision to be made in developing a robust yet proportional Monitoring Plan, is the extent of outcome monitoring. The logic map prepared highlights a range of first, second and third order outcomes considered likely to result from investment. Another way of considering first, second and third order changes is to present them as scheme specific, network and wider area outcomes. The logic map demonstrates that the majority of objectives will be addressed via third order outcomes.

## **C2. Monitoring and Evaluation**

The derivation of simple key indicators for each scheme objective aims to capture the impacts fully, but without waste. Therefore, the use of SMART (Specific, Measurable, Achievable, Realistic and Time scaled) indicators, as far as possible, enables Stoke-on-Trent City Council to draw accurate comparisons over time.

It is important that the measurement of change can be related back to the scheme objectives and beyond that, to the overall vision for the scheme.



Monitoring and data collection is intended to be synchronised with wider Council data collection and that this takes place at regular intervals, associated with LTP and wider planning exercises. Evaluation is envisaged as being a formal process, with a long term horizon based on the Etruria Valley Enterprise Area staged development. As part of the evaluation of the EVLR, three phases are intended:

1. Data collection;
2. Evaluation of collected data for technical assessment; and
3. Benefit realisation.

The following key indicators will assist in evaluating the scheme outputs against its overarching objectives:

Scheme Outcome	Indicator
Rerouting of bus routes through EVLR	Number of routes changed as a result of the scheme
Reduced congestion on local highway pinch points	Average delay at key junctions
	Total delay on local highway network
Reduced journey times between local centres	Journey times between local centres
Efficient access between regional and national centres, and Enterprise Area	
Improved network of sustainable routes between east and west of A500	Number of cycling facilities implemented
	Number of pedestrian facilities implemented
	Number of walking trips along EVLR
	Number of cycling trips along EVLR
Accelerated fulfilment of development land for businesses and dwellings	Development area utilised by businesses
Improved reliability of journey times	Number of accidents at key junctions surrounding Etruria site
	Average delay at key junctions
Improved journey quality	Journey times through local junctions
Improved air quality within an AQMA	NO <sub>2</sub> levels at existing monitoring sites
Increased bus patronage for local trips	Number of passengers using buses that route via EVLR
Reduced severance between local conurbations	Number of people that live on either side of A500 adjacent to Etruria Valley site

The main conclusions will inform the benefit realisation. There is a close relationship between evaluation and realisation tasks, but while the former is a series of activities which may be carried out by third party observers, the latter will be integrated into the project from the start and will be reflected in the design and management of the project. This work will link to our monitoring and evaluation of our local planning and transportation policies.

## **SECTION D: Declarations**

### **D1. Senior Responsible Owner Declaration**

As Senior Responsible Owner for Unlocking Etruria Valley Enterprise Area I hereby submit this request for approval to DfT on behalf of Stoke-on-Trent City Council and confirm that I have the necessary authority to do so.

I confirm that Stoke-on-Trent City Council will have all the necessary statutory powers in place to ensure the planned timescales in the application can be realised.

Name:	Signed:
Position:	

### **D2. Section 151 Officer Declaration**

As Section 151 Officer for Stoke-on-Trent City Council I declare that the scheme cost estimates quoted in this bid are accurate to the best of my knowledge and that Stoke-on-Trent City Council

- has allocated sufficient budget to deliver this scheme on the basis of its proposed funding contribution
- accepts responsibility for meeting any costs over and above the DfT contribution requested, including potential cost overruns and the underwriting of any funding contributions expected from third parties
- accepts responsibility for meeting any ongoing revenue requirements in relation to the scheme
- accepts that no further increase in DfT funding will be considered beyond the maximum contribution requested and that no DfT funding will be provided after 2014/15
- confirms that the authority has the necessary governance / assurance arrangements in place and, for smaller scheme bids, the authority can provide, if required, evidence of a stakeholder analysis and communications plan in place

Name:	Signed:
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