Transport for London

Programme

Project

Document reference

Consultation Plan

		Signature	Date
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Checked by	Endorsement statement <Name> <Role (PB4 or above)>		
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Document History

Revision	Date	Summary of changes
	xx/xx/xx	First draft

Table of Contents

1. Overview: What consultation is needed and why?

Project aims

What does the project aim to achieve?

Project objectives

What are its objectives? What business objectives does it support?

Project proposals

The aim is to give readers an overview of the project remembering that some (for example, senior managers) may not know the specific business or operational context.

This can be taken from project documentation (e.g. Project Initiation Document); it must paint a vivid picture of where the project came from, when and why it started, and how it relates to one or more of Surface Transport's business areas. All of this information will help to determine what questions need to be asked in the consultation.

Decisions already made

Decision	By whom	Position
List any option decisions here	Record who approved	
What decisions have already been taken?	As above	
Who made the decision to consult	As above	

2. Internal Monitoring and Governance

The Consultation Team is aware of the timetable and planned consultations. Approval for this consultation plan will be sought from the Lead Sponsor and Lead Consultation Team (Band 4 or above)

Roles and responsibilities – how we work with people involved to get the job done
Although there are individuals from other internal and external departments involved in the process, the table below identifies the key roles and responsibilities which will support delivery of this consultation.

Team/Individual	Responsibilities
Insert team name Responsible for the co-ordination and build of the scheme	*Pre-consultation* List here – examples below: • Contribute to first draft of web copy • Brief ODE to generate maps, plans and CGIs • Work with Consultation Team to set out proposed changes, impacts, benefits and rationale; liaison with Boroughs, internal stakeholders and City Hall on proposals • Identify any potential impacts of the proposals on groups with protected characteristics under the Equality Act 2010
	During consultation List here – examples below: • Contribute to responses to queries and requests for clarification of proposals • Attend consultation events • Ongoing liaison with Boroughs, internal stakeholders and City Hall as required
	Post-consultation List here – examples below: • Draft TfL responses to issues raised during consultation • Liaise with ODE and PPD on design changes (including any mitigations to address adverse impacts on protected groups), informing Consultation Team • Obtain appropriate approvals for the consultation report (Band 5 or above) • Liaison with Boroughs, internal stakeholders and City Hall on outcome of consultation and next steps
Insert Consultation team name / LCP team name	*Pre-consultation* List here – examples below: • Pre-consultation engagement with businesses and

Responsible for the consultation process and engagement with stakeholders in relation to the consultation, including public events	councillors • Draft letters, email and web copy • Draft consultation plan • Arrange the design and production of consultation materials
	During consultation List here – examples below: • Monitoring responses – online, email, postal and telephone. Logging and adding any responses received through other channels to the consultation hub • Updating project manager and other key internal stakeholders on number of responses and any key emerging themes or issues
	Post consultation List here – examples below: • Analysis of responses – agree coding framework etc • Produce and publish consultation report • Contact respondents following publication of the consultation report • Liaison with boroughs, stakeholders and City Hall on the outcomes of consultation and the next steps
Insert name of any groups or individuals who will be involved in decision making – one entry per cell eg. Director, City Hall etc	*Pre-consultation* Eg. Approval of consultation material
	Post consultation Eg. Outcome decision

Which of the three core MTS themes does this proposal aim to deliver?

Delete as appropriate

Healthy Streets and healthy people Investment will focus on improving the experience of being in the places where people live, work, go to school, spend time and travel. Reducing traffic dominance and prioritising walking, cycling and public transport use will help Londoners live active, healthy lives and help create a city that works well for its residents.
A good public transport experience The right investment will ensure that public transport becomes an increasingly attractive alternative to using a car. Proper planning for the whole journey will help integrate public transport and street-level investment. Making sure the right services are available where people need them, reducing overcrowding and keeping fares affordable will help to reduce car dependency.
New homes and jobs Transport improvements are vital to the creation of new homes and jobs, and can ensure that London's growth supports healthy lives. Our investment will help to create communities where local amenities are within walking and cycling distance and public transport is available for longer journeys, reducing car dependency and improving quality of life.

The local communications situation statement

Summarise here the history of TfL engagement and consultation with key local stakeholders including politicians, local media, residents, businesses and modal interest groups, and anyone else the scheme is likely to have an impact on.

Summarise also what is known about their preferences and their perceptions of the relationship with TfL. What is the risk of opposition to the scheme?

Also include here summaries of relevant demographic, safety and traffic flow data, and data that provides an understanding of the physical environment including e.g. schools, hospitals, care facilities, community groups, etc.).

Why consultation is (or is not) needed

Record here what legal obligations there are to consult and what legal obligations there are to notify?

- Refer to our Consultation Policy for principles you have to adhere to.

At what stages of the project lifecycle are we consulting?

Is this consultation at the problem identification, study, design of options, detailed design, or implementation stage? Or is it a multi-stage consultation?

If this is a multi-stage consultation then record here what the different stages are, calling them stage 1, stage 2 etc., and use this distinction in defining the remaining steps of this strategy.

Has the right level of pre consultation taken place YES / NO

Provide evidence that pre consultation has / has not been done or considered

Who knows about the scheme internally and externally? Have any meeting taken place? If so, provide details of where meeting logs and notes can be found. There is no need to list the meetings here.

Has there been any specific pre-consultation with representatives of groups with protected characteristics under the EQIA?

Budget Resources

What budget is required?

What budget and support has already been identified for the consultation?

Provide full breakdown of budget projected costs and then updated as the consultation exercise evolves.

WBS Code to be used for this consultation

Who is budget holder?

Equality Impact Assessment

Complete Equality Impact Assessment for this consultation. Please insert link as to where EQIA can be found once completed.

Provide Link as to where the overarching EQIA is for the project.

(If there is not an EQIA complete for the project discuss this with your Senior Manager as there is a legal requirement for this to be in place and it will need to be reviewed by the Diversity & Inclusion team)

2. Scope of consultation

This section is intended to provide a clear statement of the scope of the consultation and should provide details under the following headings.

Key benefits anitcipated from the consultation

What are the anticipated key benefits to the project for the consultation? And for whom?

Possible disbenefits from the consultation

What are the anticipated key disbenefits to the project for the consultation? And for whom?

Key benefits of the project

What are the anticipated benefits of the project? Who will benefit? What modes? Pedestrian impacts? If the consultation raises no issues when will the scheme be implemented? This will serve as a checklist of information that consultees need to be told (in an appropriately edited and summarised form).

Risks and issues of the project

What are the anticipated risks of the project or scheme? What are the anticipated issues? This will serve as a checklist of information that consultees may need to be told (in an appropriately edited and summarised form).

This can be taken from project documentation (e.g. Project Initiation Document or the Risks Register and Issues Register).

Highlighted positive and negative impacts from the Equality Impact Assessment

Who is impacted? What is the impact? What are the mitigations?

What is outside the scope of this consultation

What falls outside the scope of this consultation (e.g. because it is outside TfL control, or not affordable, or ruled out by previous research, etc.). This will serve as a checklist of information that consultees will need to be told (in an appropriately edited and summarised form).

3. Consultation objectives

Record here (under the headings below) the specific consultation objectives (i.e. what we need to do, by when with which specific groups of people in order to find out what information, or to get what response from them)? This should be based on the summary information you have recorded in steps 1 and 2, above.

Consultation objectives should be closely linked to, but distinct from, the project objectives. For most TfL projects the consultation objectives generally fall into two groups.

These objectives will serve as a checklist in developing detailed questions in the topic guides and surveys of the consultation and in the detailed workplan, including who needs to be communicated with and in what ways.

Generally, most consultation strategies may have between 3 – 5 objectives. For some simple projects there may only be a single consultation objective.

The majority of consultation objectives for most TfL projects generally fall into two categories:

- Objectives for achieving local support for, and mitigating opposition to, the scheme
- Objectives for key areas of questioning designed to encourage responses that will add value

Examples of objective

- To give stakeholders and public enough information about the scheme to allow them to give informed responses (using varied techniques)
- Gauge level of support for the proposed scheme
- Understand concerns and objections
- Identify issues not already thought of
- Allow stakeholders and public to make suggestions about things not already decided and where this is not our sole decision
- Allow stakeholders and public to influence our final decision about the scheme and the impact on the local area
- Work with the council to gain their assistance in implementing the changes

Any changes to the objectives during the course of the project must be described and explained, together with an assessment of the impact on the objectives, costs and benefits of consultation. Where a project has been re-scoped the consultation rationale should be fully explored.

4. Who needs to be communicated with and how?

Internal departments

Record separately here the internal TfL departments that you need to take advice from and the communication methods you will use to work effectively with them (because it is important to distinguish between external stakeholders you need to consult with and internal TfL departments that you need to engage with). What work has already been done by the project sponsor?

This can be presented either as plain text or in the form of a table

Internal TfL departments	What communication methods will be used?

Geographical context

Record here the geographical area affected. For example, the impact on individual properties, specific streets, and defined wider areas such as wards. This will help those carrying out the distribution of consultation materials target all those who need to be contacted, including individuals in those areas and also organisations or elected members.

External consultees

Record here the different categories of stakeholder and how communication methods you will use to consult with them.

Most TfL consultations tend to involve four categories of stakeholder:

- Elected members and appointed watchdogs
- ‘Close’ stakeholders: i.e. boroughs and other partner organisations
- Other stakeholder groups including residential, business and modal special interest groups; representatives of any groups with protected characteristics
- The general public who are likely to be affected by the proposals (including residents, road users, transport users)

The table of potential consultees has been pre-populated with categories of stakeholder to consider. Not all of these will be relevant to all consultations. Equally, there may be other stakeholders not included in this list. Replace this list with your own more specific and detailed mailing list. Take in to account different dialogue methods available for use when trying to consult with particular stakeholders.

The list of different dialogue methods is not definitive. You may consider some or all not to be relevant for your consultation. Or, have another method. Please consider each method and state why or why not the method is going to be or not to be used in this consultation.
Please refer to the Consultation Toolkit for further guidance.

- Public exhibitions
- Stakeholder only exhibition
- Focus groups
- Workshops
- Deliberative event
- Online consultation material
- Letters
- Leaflets
- Public meeting arranged by you
- Public meeting arranged by another stakeholder
- Online webchat
- Social Media

Type of Stakeholder	What communication methods will be used?
Elected council members	
Elected GLA members and local MPs	
London TravelWatch	
Local Government Ombudsman	
Council officers with transport portfolios	
Other relevant Council departments such as planning	
Any other key partner stakeholders (such as Regeneration initiatives)	
Local networks and groups such as residents or trade associations or heritage groups)	
Emergency services	
Businesses (and frontages) in the area	

Type of Stakeholder	What communication methods will be used?
Public service institutions in the area, such as schools, hospitals, etc.	
Residents	
Pedestrians	
Cyclists	
Motorists	
Users of Public Transport	
People with disabilities	
People with mobility issues, e.g. older people and other protected groups	
People who work or deliver or collect in the area	

Comment [a1]: Other protected groups should be added in here

Summary of consultation methods

Record here a summary of the key data collection methods that will be used, based on the table above.

Often these may include:

- Surveys linked to leaflets
- Collection of individual responses at exhibitions
- Electronic surveys
- Social media

Logistics of the consultation methods

Record here important logistical details of how each of the consultation methods will be rolled out, e.g.

- what advertising and publicity will be used to maximise consultation responses
- sampling and distribution

- sequencing
- how responses will be recorded and acknowledged
- other logistical details relevant to the local situation or the specific project
- how feedback at public events will be captured
- what will be done with the feedback received

5. Quality standards for this consultation

Table of quality standards

Record in the table overleaf what the quality standards will be for the consultation. This will normally involve a range of different kinds of standards, including standards designed to encourage valid responses and maximise appropriate participation in the consultation (e.g. advertising, promotion, how wide to cast the net, making it easy for people to respond, etc.), and standards to ensure that consultees can provide informed responses.

For convenience the first column of the following table is pre-populated with some quality standards typically relevant for most TfL consultations.

Some may not apply to this consultation and these should be deleted. Equally, others may need to be added to the table.

Then fill in the second column indicating what steps will be taken to ensure that the quality standard is achieved. Examples are provided in the accompanying guidance.

Quality standard	What will be done to achieve the standard?
Communications will be in accessible plain language with clear visual depictions where needed	
Consultees will be provided with sufficient clear information about why the issue is important, the expected benefits, disbenefits and constraints to be able to provide informed responses	See checklist in section 5.2.1 below.

Quality standard	What will be done to achieve the standard?
There will be proper briefing for anyone involved at each level of planning and implementing the consultation	
Consultees will be able to ask questions and discuss any details of the proposals that are unclear	
There will be a clear process for identifying all *relevant* stakeholders and members of the general public, that it is proportionate to consult with	
The consultation will encourage consultees to respond with rich information that can impact on decision-making, such as adding value to the proposed benefits of the scheme, or mitigating negative impacts, rather than being limited to support or opposition for the proposals.	
There will be robust management of responses, including recording and responding.	
There will be proportionate and timely feedback to all consultees, explaining what has been decided and why, and what happens next	
We will ask consultees about what we did right in the consultation and what could have been done better, and provide clear information about the complaints procedure	

Quality standard	What will be done to achieve the standard?
There will be adequate time for responses. We will give consultees a minimum of six weeks to respond to major consultations. On more minor local ones we will give consultees between four and six weeks to respond. In general, where a consultee requests flexibility to respond after the formal close of consultation, we will exercise our discretion to accept late responses where this would not have an adverse effect on timelines for the scheme.	
Information in alternative formats and languages will be available when proportionate and cost-effective.	
Additional quality standard?	
Additional quality standard?	
Additional quality standard?	

Checklists relating to particular quality standards

A number of different individuals and agencies may be involved in carrying out the consultation (for example, designers, consultants, administrators, data inputters, analysts, etc.).

There is always a risk, wherever several people are engaged in a joint enterprise, that the focus on defined objectives quality standards will drift. One way of minimising such drift is to specify some detailed checklists that can be cascaded down the project management hierarchy.

Checklist of what needs to be included in consulation communications

The following information should be included in consultation or engagement communications. Adopt or amend this checklist as relevant to your consultation.

- How we got to this proposal, i.e. What were the previous stages of the process? What consultation has taken place so far? What other research/studies have been undertaken, or are planned?
- What decisions have already been made, and why? How does this fit with Mayoral or other strategies? What is outside the scope of this consultation and why?

- Why the issue(s) is/are important, i.e. The rationale for the proposals, and what problems and opportunities they are addressing, including what the intended benefits of the scheme are
- What are the known impacts and possible disbenefits of the scheme?
- The specifics of the elements of the proposal in sufficient detail
- How far consultees can influence the detailed design, i.e. what impact might responses have? What added value we are hoping to get from local responses. What we are trying to find out? What specific questions are we hoping to get answers to?
- How consultees can talk to someone to find out more, get clarification, make suggestions or complain
- Timescales for the consultation
- Who we are consulting with. How responses will be weighed up and used and how the final decisions will be made
- How and when the results will be reported and how we will tell consultees what happens next
- How we will test the outcome after implementation
- [Anything else specific to this consultation]

Monitoring the consultation

What is going to be done during the consultation to make sure the standards outlined in the table above are met? Are there any minimum standards that need to be achieved? If so, what are they? Consider a table or timeline to monitor the consultation.

Petitions

Record how the project team are going to deal with any petitions received during the consultation. These may be received in person, by change.org or other online petition formats.

It may be that none are anticipated and this can be stated. However, state that and how these will be responded to in the report. e.g. "It is not anticipated any petitions will be received. However, if we receive a petition, this will be detailed in the consultation report and presented to the project manager."

Campaigns

Record what monitoring is in place to capture any campaigns that may start during this consultation.

Consider options for dealing with the campaign group, for example meetings if appropriate. Consider how the group's replies will be reported on as they could submit hundreds of replies that are exactly the same. For example are the results going to be reported separate with and without the campaign group's replies?

Other checklists

Include here any other relevant checklists that may be needed to ensure that the implementation of the consultation does not drift off track. Examples of relevant checklists to consider are provided in the accompanying guidance.

6. Detailed workplan and approval matrix

Checklists relating to particular quality standards

On the basis of the previous sections of this strategy list the consultation tasks that need to be included in the workplan in an appropriate level of detail.

This is a list of typical key tasks that are often needed in TfL consultations

- Complete the final version(s) of this strategy (making appropriate changes if the project itself changes)
- Performance manage the list of tasks below
- Brief staff/consultants carrying out the engagement or consultation
- Draft and design communications materials and associated data collection instruments
- Review communications materials for quality standards
- Print, upload, etc
- Secure/procure advertising slots and publicity
- Distribute to elected members
- Distribute to boroughs and key partners and other 'close' stakeholders
- Distribute to other stakeholders
- Distribute to public
- Organise meetings/exhibition where relevant (e.g. identifying suitable venue, duration, timing, creating printing and setting out display panels, etc.)
- Manage the information received (collect and collate, input, cleanse and verify, initial analysis, final analysis and decision-making)

- Report on the consultation, making stakeholders and public aware of the outcome
- Evaluation tasks
- Who considers responses and makes decision

Please include a project plan for consultation preparation tasks here. This should include, who will draft the material, who will sign-off content and who will make the final decision as to whether to go ahead with the scheme or not. The information provided in Section 2 should be referred to and included here.

The Tasks highlighted in green are those that require approval or a decision; this detail must be included in this plan and only deleted in scenarios when not required.

For large-scale projects, it is also good practice to produce a detailed project plan. This can be done in Microsoft Excel or Project (you can request for free from IM Service Desk). If producing a separate document please include a hyperlink or detailed plan as an Appendix. Ensure you provide a copy of this when your plan gets signed off.

- Your workplan and approval matrix should be continually updated.

Task	When	Who is responsible for making it happen?	Who is responsible for making the decision? What is their job title? (if required)	Budget and non-financial resources allocated
e.g. consultation material drafting				
Consultation plan sign-off				
Consultation material sign-off (includes questions, content, publicity)*				
Confirm and approve budget for consultation material				

Confirm and approve budget for external analysis (if required)				
Approve CRM email				
Agree distribution area				
Agree number of events (if required)				
Approve press release (if required)				
Approve Consultation Report				
Approve Consultation Response to Issues Raised Report*				
Consider consultation responses*				
Decide and agree next steps/consultation outcome*				

Please ensure that a Record of Decision is completed and a signature received for approvals listed above that are marked with an asterisk * Some of these approvals can be combined.

Checklists relating to particular quality standards

Record here how the consultation workplan will be monitored and performance managed.

Record who is responsible and what steps will be taken (e.g. Surface Transport Stakeholder Engagement).

7. Using and recording the results

Logging of consultation responses

Record here how, by whom and when the responses and decisions will be logged, and where they will be filed and archived.

Data management and analysis

Record here how, by whom and when the data will be managed and analysed. How will this be reported to the project manager? What provision is there for making changes to the proposal(s) in the light of the responses?

Reporting the results

Record here how, by whom and when the decisions and results of the consultation will be reported (distinguishing between reporting to key stakeholders and reporting to other consultees)?

Evaluation of the consultation process

Record here what provision there is for evaluation and/or performance review of the results of this consultation.

What evaluation of the process is going to be done?

Contacting respondents? If so how? Or, reviewing comments received about the consultation during the consultation period?

What will be done with the evaluation feedback?

How will the evaluation of this consultation be published?

If this consultation is not being evaluated, please state why.