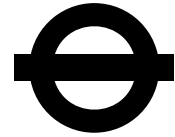


Transport for London



**LIP Reporting and Funding
Submission Guidance**

2007/08 – 2009/10

Borough Partnerships

Transport for London

Issue date: 22 March 2006

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Guidance Appendices (A-F) and Forms are also available on:

<http://www.tfl.gov.uk/BSP>

<https://extranet.tfl.gov.uk/boroughs/glp/lips/>

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LIP Reporting & Funding Submissions: Checklist of key items

By 21 July 2006, authorities are requested to submit 1 hard and 1 electronic copy of their LIP Reporting & Funding Submission. **Hard copies** should be sent to:

Pat Hayes,
Director of Borough Partnerships,
Transport for London, 10th Floor - Windsor House,
42 – 50 Victoria Street,
London SW1H 0TL

Each hard copy is to include paper copies of:

- Financial Summary Form (F1 Form)
- Baseline Submission Forms
- LIP Statutory Targets Proforma

and where relevant:

- Business Case Summary forms
- Local Targets Proforma
- Supporting material (e.g. maps, plans, photos, etc.) – 2 copies of these, please (1 for the Programme Manager, 1 reference copy).

Authorities should send **electronic copies** of the full submission to BSP@tfl.gov.uk. Electronic copies should be in Word or Excel format, or similar. A reference PDF version may be sent.

Proposals relating to partnerships should be sent to the relevant lead borough in time for inclusion in the submission document.

NOTE: Respondents should be aware that all e-mails and attachments sent to BSP@tfl.gov.uk will be made available to relevant TfL, GLA and LDA staff to view.

1 INTRODUCTION

- 1.1 Under the Greater London Authority Act 1999 (GLA Act) section 145, each London borough council shall prepare a Local Implementation Plan (LIP) containing its proposals for implementing the Mayor's Transport Strategy (MTS). The Mayor's LIP Guidance and Transport Strategy Implementation Targets, both first published in July 2004, provide the framework for common content and pace of delivery within which each LIP has been prepared. The targets arise from the GLA Act section 41(9).
- 1.2 London boroughs are currently submitting Final LIPs to Transport for London (TfL) for assessment prior to approval by the Mayor. Each LIP must cover proposals to implement the MTS to the end of 2008/09 and indications beyond for 2009/10 and 2010/11 (LIP Guidance 3.2). To meet the adequacy test required for Mayoral approval (GLA Act section 146(3.b)), each LIP needs to set out the funding of proposals.
- 1.3 TfL provides financial assistance to boroughs, sub-regional partnerships and cross-borough initiatives for transport related projects and/or proposals under the GLA Act section 159.
- 1.4 Until this Guidance for 2007/08, this assistance has been via the Borough Spending Plan (BSP) process, within which boroughs have bid for funding for transport proposals using a series of forms and reports to outline 'bid' details, financial and monitoring information.
- 1.5 The advent of approved LIPs heralds the introduction of a new framework within which TfL intends to provide financial assistance to the boroughs. TfL will continue to use the GLA Act section 159 and plans to contribute to the costs of implementing LIPs (a borough duty under the GLA Act sections 151 & 152). TfL considers that each LIP should provide both the policy and delivery justification for applications for funding from boroughs and, therefore, supply the basis on which TfL allocates funding in future. This is supported by the TfL Investment Programme and Business Plan, which themselves are under-pinned by TfL access to agreed longer-term funding.
- 1.6 The LIP process enables boroughs to plan their transport projects, related expenditure and therefore their financial requirements for longer than the previous annual basis. It also allows TfL to plan more effectively for borough expenditure both in terms of its own business planning process and its submission to Government Spending Reviews. This should give boroughs more financial certainty on which to base work programmes and enable boroughs better to demonstrate valuable contributions to improving London's transport infrastructure and service provision.
- 1.7 Boroughs will continue to submit proposals and financial details which will continue to be co-ordinated, overall, within Borough Funding and

evaluated by Programme Managers, but there will be a number of changes to:

- Terminology (e.g. 'LIP Reporting and Funding Submission Guidance' rather than 'BSP Guidance')
- Type, frequency and process of information submission
- Aggregation of similar proposals valued up to, or equal to, £25,000 in total into a single proposal, for some transport programmes.

- 1.8 It is envisaged that these changes will benefit boroughs and TfL in reducing the time and resources previously dedicated to the BSP, thereby, enabling time to be spent more productively in implementing LIPs. There will be, nevertheless, much in this guidance which is familiar, e.g. generic matters to which TfL will have regard (section 2).
- 1.9 However, TfL recognises that the LIP approval process will not be complete for all boroughs by the date this year's applications are required to be submitted. As such, this guidance should be viewed as a hybrid of past BSP and new LIP Reporting and Funding Submission Guidance. Until all LIPs have been approved by the Mayor, it will not be possible to introduce all the planned changes and TfL also wants to consult more thoroughly on these with the ALG and the boroughs. **More details about this will be discussed later in 2006.**
- 1.10 Boroughs are strongly encouraged only to apply for funding of those proposals that are contained in LIPs and which have been identified as due for implementation in the relevant year, e.g. 2007/08. It is no longer appropriate to apply for funding for large numbers of proposals or amounts without the LIP context made explicit. TfL does not expect similar ratios of applications/allocations as experienced in previous BSP 'bids' (e.g. in 2006/07 there was a general ratio of 2:1, with 3:1 for Principal Road Renewal and 11:1 for CPZs).
- 1.11 The deadline for LIP Reporting and Funding Submissions will be 21 July 2006, similar to that for last year. This is partly in recognition of the impact on borough approval processes caused by the May 2006 borough elections. However, given the new streamlined information requirements, and those that may follow from further developments during 2006/07, TfL and boroughs will consider changing future submission dates. This could decrease the impact of borough elections on future years' submissions and would allow TfL the opportunity to more effectively feed the information received within the submissions into its Business Planning. **Discussions regarding this will also be discussed with the ALG and boroughs during 2006.**
- 1.12 This guidance sets out new reporting requirements for proposal delivery and for funding applications relating to the:
- Content and structure of progress reports relating to how boroughs are meeting the Mayor's statutory targets for the year 2005/06
 - Information requirements and structure of applications for LIP proposal funding for 2007/08 onwards.

- 1.13 During 2006/07, further developments are planned, e.g.:
- An automated mechanism for submitting payment claims via the Internet as part of the BSP Phase 2 Project
 - Increased flexibility and freedom regarding the frequency of reporting 2007/08 activity, linked to the Audit Commission Comprehensive Performance Assessment (CPA) and a borough's recent record in delivering BSP funded projects.
- More information on both these developments will be made available to the ALG and the boroughs as they proceed.
- 1.14 TfL will continue to have regard to a number of generic matters in assessing the proposal and target delivery performance of boroughs and in allocating financial assistance. These are set out in section 2. Specific transport programme requirements are set out in section 7.
- 1.15 TfL will focus funding assessments on proposals which support the implementation of, and which have been included in, a borough's LIP and a reference to the proposal outlined in any of the following: relevant Form 1s; Chapter 5 'Proposals'; the School Travel Plan (STP); the Parking and Enforcement Plan (PEP); or similar appropriate reference will be required. In future years, it should be expected that most references will be made to a borough's relevant Form 1 as a result of some revisions to these that will be undertaken during 2006/07. This will also allow boroughs to update their LIP proposals in recognition that those LIP Form 1s submitted during the LIP Approval process may change over the lifetime of the LIP (see 2.11).
- 1.16 Rarely, a borough may submit a funding application for a proposal that has not been included in its LIP. This will be acceptable only if proposal background and specific information, relating to its programme, is supplied (LIP referenced, where feasible).
- 1.17 TfL recognises that not all borough Final LIPs will have been approved by the submission date of 21 July 2006 (see 1.9), although most will have been submitted to TfL by then. Therefore, where a Final LIP has been received and passed its initial assessment by TfL as approvable (i.e. the end date of '100 days' has been communicated to the borough), TfL will accept reference to the Form 1s included in that version of a LIP.
- 1.18 For the few remaining boroughs, with a Consultation Draft LIP published, applications for funding should reference proposals in that version of the LIP. However, please note that Borough Funding and/or TfL Programme Managers may need to discuss potential issues arising from these circumstances with the relevant boroughs and that additional information to that included in the Consultation Draft LIP may be required.
- 1.19 Applications for funding of proposals that have been included in a borough LIP will be evaluated using similar appraisal criteria to previous

BSP Guidance for individual transport programmes. These criteria are set out in section 7.

- 1.20 In the future, TfL wishes to consider introducing a common appraisal methodology, 'Project Initiation Appraisal and Prioritisation' (PIAP). This methodology is used for evaluating TLRN proposals in Surface Transport, and has several programmes in common with LIPs. Its benefits include: requiring graduated levels of information depending on the cost / complexity of proposals based on problem assessment and a structured mechanism for cost-benefit analysis. Again, TfL plans to discuss this with the ALG and the boroughs during 2006.
- 1.21 Completion of the appraisal of proposals by TfL will be followed by:
- a. Funding being provisionally allocated to a number of proposals
 - b. Aggregate draft funding being appraised for boroughs and in total
 - c. Preparing an 'allocation letter' with provisional funding for each borough. This is provisional on TfL subsequently confirming approval of the specific proposals to be delivered using the funding
 - d. Notification of any additional criteria and/or conditions for funding to those specified in this document in section 2 or section 7
 - e. Formal announcement to the borough of funding for proposals followed by proposal confirmation by boroughs using Baseline Programme Forms, with subsequent approval by TfL
 - f. During the course of the year, proposals may change and require either further funding or the 'release' of funds from other committed allocations. Boroughs will retain a 'delegated authority' (to be defined in 2007/08 Financial Guidance due in early 2007) to move funding between proposals. If a borough is unable to use 'released' funding, TfL must be informed so that the funding may be reallocated. TfL must approve each new proposal, and will evaluate it on the same basis, using a Baseline Submission Form
 - g. Allocation of additional funding, either for approved or new proposals, may be made with conditions specified if funds are to be paid. These conditions may be set out in this guidance, in the allocation letter or in the communication (email or letter) to the borough that confirms any new allocation.
- 1.22 Proposals which involve the removal or substantial modification of transport infrastructure or traffic measures previously installed using TfL funding need to be justified further with an explanation included in the submission for funding applications (see 2.8).
- 1.23 Table 1 sets out the LIP Transport Programmes, grouped into three themes, for which funding can be applied and to which this Guidance specifically relates. Section 3 FUNDING PROFILE AND ISSUES provides summary funding included in the TfL Business Plan and Investment Programme, so that boroughs can consider overall

availability of funds. The total and individual programme amounts may change to reflect new TfL Business Plans.

Table 1 – Transport Programmes

LIP FUNDED TRANSPORT PROGRAMMES	Section No.
Routes and Corridors	7.2
Principal Road Renewal	7.2.1
Bus Stop Accessibility	7.2.6
Local Bus Priority Measures	7.2.13
Parallel Initiatives	7.2.20
Places and Spaces	7.3
Bridge Strengthening & Assessment	7.3.1
Road Safety (incl. Local Safety Schemes, 20mph Zones and Education, Training & Publicity)	7.3.7
Area Based Schemes (incl. Town Centres, Streets-for-People & Station Access)	7.3.14
Sustainability	7.4
Walking	7.4.1
Cycling – LCN+ & Non-LCN+	7.4.1
Freight	7.4.9
Regeneration Area Schemes	7.4.14
Environment	7.4.17
CPZs	7.4.23
Accessibility	7.4.29
Travel Demand Management (incl. School Travel Plans, Work Place Travel Plans, Travel Awareness)	7.4.33
Community Transport	7.4.43

- 1.24 Section 7 sets out the appraisal criteria and information requirements (to be set out in the ‘Element’ part of the Baseline Submission Form, see section 8) for each Transport Programme.
- 1.25 TfL encourages boroughs to consider submitting proposals for which implementation may last up to three years. This timeframe keeps borough submissions in line with the current TfL Business Plan (see 3). TfL intends to work with the boroughs to assess the implications of the advent of LIPs on overall and individual programme funding.
- 1.26 As submission of funding and reporting is now embedded in the LIP process, boroughs should ensure that borough personnel contributing to preparation of submissions are familiar with LIP Guidance, advice and the borough’s LIP. Boroughs should circulate this Guidance to other departments to ensure the information submitted to TfL arising is integrated with activities for other Mayoral strategies and other borough strategic planning and monitoring.

2 LIP REPORTING AND FUNDING – CONDITIONS AND ISSUES

- 2.1 This section sets out a number of issues to which boroughs must have regard in compiling their submissions in response to LIP Reporting and Funding Submission Guidance.
- 2.2 As a result of the introduction of the LIP process (see 1.5 - 1.19), much of the BSP process has been revised. The changes include:
- A change in terminology, e.g.:
 - 'BSP' generally becomes 'LIP', so that 'BSP Guidance' becomes 'LIP Reporting and Funding Guidance'
 - 'Schemes' become 'proposals' to reflect better the alignment with the LIP process and the trend over recent years of this TfL funding being applied to more than 'highway schemes'
 - 'Transport Topic' becomes 'Transport Programme'
 - The need to explicitly reference proposals for funding applications to a borough's LIP (in a relevant Form 1, Chapter 5, STP, PEP or other relevant place)
 - For the 2007/08 submission only, there is a requirement to submit an interim report on borough progress to the end of 2005/06 towards meeting Mayoral statutory targets (future reporting arrangements for these targets will be agreed with the ALG and the boroughs during 2006/07)
 - Explicit encouragement to boroughs not to submit proposals that do not appear in their LIP and that cannot be delivered in the relevant year (2007/08 and beyond), in order to reduce significantly the numbers of proposals submitted
 - An attempt to reduce the number of schemes of less than £5k
 - The use of one modified Baseline Submission Form for each transport programme's submissions, rather than the SIMPLA form, including an accurate as possible indicative cost of any traffic signal requirements
 - The removal of the need to submit contextual information stating to which Mayoral strategy or policy a LIP proposal is linked
 - The aggregation of similar, whole proposals that are valued up to, or equal to, £25,000 in total into one single proposal for some transport programmes
 - The reduction in the formal frequency of reporting of 2007/08 delivery for boroughs with a record of good performance (in relation to CPA and BSP delivery)
 - The way in which funding applications by partnerships are treated in the submission of funding applications
 - The removal of the need to submit causal chains as part of the outcome monitoring reporting requirements
 - A submission date of 21 July 2006.
- 2.3 Each of these changes is addressed in the following paragraphs, along with advice in relation to other issues to which boroughs may need to have regard in their LIP Reporting and Funding Submissions.

GENERIC MATTERS TO WHICH TFL WILL HAVE REGARD IN ALLOCATING FINANCIAL ASSISTANCE

- 2.4 Under section 159 of the Greater London Authority Act 1999 (“the Act”), financial assistance provided by TfL must be for a purpose which, in TfL’s opinion, is conducive to the provision of safe, integrated, efficient and economic transport facilities or services to, from or within Greater London.
- 2.5 In order to ensure this purpose is met, TfL will have particular regard to the following matters when exercising its functions under section 159:
- (a) Whether the proposed recipient has used funding provided by TfL for the projects or proposals for which the funding was provided
 - (b) Whether the proposed recipient has removed or substantially altered works carried out or infrastructure installed, with the benefit of TfL funding, without the prior written consent of TfL
 - (c) Whether the proposed recipient’s transport activities are, in TfL’s opinion, conducive to the provision of safe, integrated, efficient and economic transport facilities or services to, from or within Greater London, and to the implementation of the policies and proposals of the Mayor’s Transport Strategy
 - (d) Whether the proposed recipient has submitted a completed statutory target proforma on which it has reported progress to meeting those targets (see 2.26).
- 2.6 TfL will also take account of whether the proposed recipient has complied with TfL requests for reports on target and proposal progress or, outcome monitoring and any other reasonable requests for project management reports. A borough’s performance in relation to delivery of its LIP is set out in the GLA Act sections 151 – 153.
- 2.7 Section 159 of the Act also allows TfL to impose conditions on the financial assistance it provides and in specified circumstances to require repayment. As a general condition of all future funding, TfL may require repayment if the recipient uses the funding other than for the purpose for which it was provided, without prior written approval from TfL.
- 2.8 Any proposals which involve the removal or substantial modification of transport infrastructure or traffic measures previously installed using TfL funds need to be justified with an explanation included in the submission for funding. If the reasons for the modification or removal are not made clear in the submission and this is not subsequently approved by TfL, yet is carried out, TfL may withdraw funding allocations, reject claims for proposal costs or reclaim funding. Where boroughs propose to modify or remove infrastructure or measures for upgrading and/or modernising, e.g. installing demand responsive humps, speed responsive messaging or the piloting of other approaches to traffic management, approval will normally be given. **Borough Funding intends to develop an assessment framework with clear criteria regarding how this may be managed.**

OTHER ISSUES TO WHICH BOROUGHES SHOULD HAVE REGARD IN COMPLETING SUBMISSIONS

References to LIPs

- 2.9 It is important that, in submitting applications for funding, boroughs refer explicitly to a LIP proposal and that they are realistic in terms of what they are able to deliver as part of their LIP in 2007/08 and beyond (see 1.5 - 1.19). Boroughs must make clear reference to the relevant LIP Form 1, Chapter 5 'Proposals', STP or PEP paragraph, or another part of the LIP, from which the proposal comes.
- 2.10 It will also be acceptable for this application round only, for boroughs to make reference to proposals that are included in their submitted Final LIP, which has yet to be approved; failing which, to proposals in their Consultation Draft LIP. If boroughs have particular concerns about this aspect, please contact Kate Holgate in Borough Funding.
- 2.11 Boroughs will be asked to update their Form 1s during 2006/07 to ensure that the correct information is contained in them for future year applications (see 1.15). This will also allow boroughs to update their LIP proposals in recognition that those LIP Form 1s submitted during the LIP Approval process may change over the lifetime of the LIP. **Further advice on this matter will be developed and consulted on with the ALG and the boroughs later in 2006.**
- 2.12 Where Borough Funding or Programme Managers find that the proposal to which the reference has been made is either inaccurate or inappropriate then this will be discussed with the borough and appropriate remedial action or further information may be requested.
- 2.13 A borough (or partnership) may wish to apply for funding in relation to a proposal that does not currently appear in a borough LIP. This must, in the first instance, be discussed with either of TfL's Head of Borough Funding (Mark Bennett) or Head of LIPs and BSP (Kate Holgate). For individual borough proposals, it is anticipated that this is only likely to occur where a new or innovative initiative arises that could not reasonably have been identified previously in a LIP, e.g. a new waste transfer or environment related proposal. It is also expected that these will require, at least initially, only the funding of feasibility studies. Each instance will be treated on a case-by-case basis.
- 2.14 Funding applications for these types of proposals should be made using the same Baseline Submission Forms as for others arising from directly from a LIP but a short contextual note should be attached which describes how the proposal contributes to the Mayor's cross-cutting goals, priority areas and relevant statutory target(s). Boroughs (or partnerships) should ensure they also respond to relevant programme specific appraisal criteria and any other information requirements within this Guidance in completing the relevant Baseline Submission Form.

Volume of Submissions

- 2.15 Boroughs are strongly recommended to apply for funding only for those proposals that it is reasonably practicable to implement, or to begin to implement, in the year/s for which funding is required and as stated as part of the LIP (in the associated Form 1 or elsewhere).
- 2.16 Boroughs are also strongly recommended as part of this process to list their proposals in order of priority to better inform Programme Managers of those proposals which boroughs rank as being of highest importance to the implementation of their LIPs.
- 2.17 TfL does not expect, therefore, that boroughs will submit the volume and total value of applications received in previous years. This should not only decrease the resources required to prepare the submission but will also improve TfL's ability to appraise the submissions and inform the boroughs of their allocations.

LIP Proposal Coverage

- 2.18 If a borough identifies a proposal which overlaps a number of transport programmes as listed in Table 1 and in section 7, it is suggested that the proposal is allocated to its primary transport programme. The programme specific information in section 7 provides more detailed advice. Figure A is provided to indicate where responsibilities for the programme areas lie within TfL. Contact details for TfL are in Table 9 and Table 10.
- 2.19 For the first time and as a pilot, boroughs will be able to apply for funding for a group of proposals providing the proposals are:
- Of a similar nature
 - From the same transport programme
 - Are to be implemented as whole proposals in one step (this will not apply to proposals comprised of a number of stages, e.g. feasibility, design and implementation)
 - Listed in terms of individual locations.
- 2.20 For 2007/08 submissions, this will only be applicable to two programme areas only, bus stop accessibility and cycle racks proposals. Its success will be monitored and reported back to boroughs in developing future guidance.
- 2.21 Further guidance on how to complete the relevant Baseline Submission Forms can be found in section 8. Broadly speaking, for a group of proposals within the programmes listed above and which together total a funding application of £25,000 or less, boroughs will only be required to provide the following information on each proposal:
- The name
 - The type of proposal, e.g. the type of bus stop accessibility works to be undertaken
 - The location/s where the proposal is intended to be implemented

- Programming information, e.g. completion of the mini-Gantt chart in the Baseline Submission Form
- An indication as to the need for, or relevance to links, dependencies, traffic signals, Olympics and TfL Branding as currently found on the Baseline Submission Form.

2.22 Further advice can be obtained from Borough Funding (Kate Holgate or Giovanni Nacci) – see Table 9 - Borough Funding Contacts.

Funding Information

2.23 Boroughs should identify all related significant sources of funding contributing to a proposal (including their own sources). Although such funding may have been already generally identified in a LIP, it may be that the proposal specific information has not been supplied or has not remained the same. Examples of such funding, as set out in LIP Guidance, include s. 106 obligations (or similar), LAA funding, New Deal, BID funding, European funding, net parking revenue and other central government sources.

2.24 This requirement forms part of the Baseline Submission Form - General (see section 8) and will assist TfL consideration of how best to place funding both in order to benefit the boroughs, e.g. through providing essential match-funding for a proposal, and how TfL can achieve most added value. The inclusion of this information will not necessarily confer advantage but will enable a more accurate and coherent assessment to be made. Where this information has been included on a proposal specific basis in the LIP, an appropriate reference should be included in the Comments box of the Baseline Submission Form - General.

LIP TARGET AND BSP PROPOSAL REPORTING

2005/06 LIP Target Reporting

2.25 For the first time, and as a direct consequence of the advent of LIPs, boroughs are required to submit a progress report on how they are meeting the Mayor's statutory targets during 2005/06. A proforma will be provided in which boroughs can detail their progress and/or plans and further guidance for completing this proforma can be found in section 8. Boroughs should note that there is a part of the proforma in which explanations may be included regarding over- or under-performance (see 5.9 - 5.11).

2.26 TfL reserves the right to take into account the submission of this proforma in allocating funding for 2007/08. However, as this is the first year in which boroughs are required to report performance against the statutory targets, and not all LIPs will have been approved by the Mayor by the submission date, it is unlikely that any direct action will result.

2.27 Boroughs should be aware, however, a direct link between performance and funding allocations may be introduced in the future and that this

initial reporting process should be viewed, therefore, as a 'practice run'.
Further discussion on this feature will be carried out in due course.

2006/07 BSP Implementation Progress Reporting

- 2.28 To fulfil its obligations, TfL requires regular reporting on the proposals which it has funded. Regular reports (usually bi-monthly) are required to be submitted by each borough and the lead borough for each partnership. In these reports, boroughs report on each proposal, any change in expected total or spend profile in the proposal delivery timetable, any transfers of funding between proposals and any problems experienced. The bi-monthly report is TfL's main source of information on progress of proposal delivery. TfL reserves the right to withdraw payments for failure to submit requested and accurate reports, and may take such failure into account when assessing borough eligibility for future funding.
- 2.29 In addition, dissemination of good practice findings, and/or a written study report, may form an essential part of reporting of innovative, rather than standard, proposals. Requirements for innovative proposals should be discussed with the relevant Programme Manager and the Head of LIPs and BSP.
- 2.30 Guidance on how to complete these bi-monthly forms is in section 8.
- 2.31 During 2007/08 boroughs with a record of 95% plus in previous BSP delivery and a good or excellent CPA rating, overall and in transport, for the last two years will be given the opportunity to report less frequently on both financial and proposal progress. Rather than requiring bi-monthly reporting, relevant boroughs will be invited to report on a half-yearly basis, using the same bi-monthly reporting structure. This does not remove the obligation for boroughs to report to TfL any significant changes (see 2.28). More discussion on this will occur during 2006/07.

New LIP Funding Submission Form

- 2.32 Rather than continue to use the SIMPLA forms for detailing LIP proposals for which funding is being applied, boroughs should complete a 'Baseline Submission' Form for all proposals in one transport programme area using one form (like the Baseline Programme Form used currently for 2006/07 proposal approval and bi-monthly reporting), providing the proposals are referenced to the borough's LIP.
- 2.33 The Baseline Submission Form – General will form the basis of most programme information needed to be submitted. Different Baseline Submission Forms will be used by some programmes, (e.g. Principal Road Renewal, Bridge Strengthening and Assessment, Local Safety Schemes, 20mph Zone proposals and Road Safety Education). These latter forms are the same forms as the old 'Bid Support' forms previously used by these programmes simply renamed and better aligned with the LIP funding process.

- 2.34 Provided the proposals for which funding is being requested are in the borough's LIP, the information requirements have been reduced to cover only proposal name, LIP reference (usually to a Form 1 or other appropriate reference), description, location (geocode), cost and programme milestones for each stage as appropriate, whether signal work will be required, any relation to the Olympics (see 2.47 - 2.49), whether Network Rail are a major stakeholder (see 2.82 - 2.93) and whether an EIA or EQIA will need to be done (see 2.37 - 2.40).
- 2.35 It is anticipated that this will reduce the amount of detailed information that both boroughs have to produce throughout the process and allow TfL to undertake the proposal approval process simultaneously with the provisional allocation of funds. Further details are set out in section 8.
- 2.36 These forms use an Excel spreadsheet and should more easily facilitate the export / linkage of financial information into the Finance submission form, the requirement for which remains

Equalities and Environment

- 2.37 Boroughs will already be familiar with the need to take into account and have regard to the impact of proposals on different equality target groups and on the environment. Should boroughs apply for funding proposals not contained in their LIPs, statements should be included with submissions that show how any such impacts have been addressed. This should use the comments column of the Baseline Submission Form, in a similar way to the previous SIMPLA form.
- 2.38 Boroughs are also reminded that individual proposals may need, or benefit from, undertaking an Equality or Environment Impact Assessment (EQIAs or EIAs respectively) prior to submitting applications for funding, or prior to implementation planning and that information relating to these aspects should accompany the relevant submission.
- 2.39 For EIAs, the required threshold over which an EIA should be carried out relate to activity, size and the level of environmental impact, not cost. Criteria are set out in Circular 02/99 Environmental Impact Assessment. An Environment Statement ('ES' - the reporting mechanism for EIA) is usually required for large infrastructure projects as they are classed as schedule 1 projects, whatever the approval mechanism (TWA etc). The Town & Country Planning (EIA) Regulations apply to many of TfL's smaller projects and some boroughs' larger projects. If there is any doubt as to whether an ES is required, it is usual to obtain a screening opinion from the local planning authority (LPA). In the case of the LPA making that decision itself, it would need to publish a notice of determination to make clear their decision <http://www.odpm.gov.uk/index.asp?id=1144396>. The likely impact and an indication of whether a full EIA will need to be undertaken should be included in the relevant columns in the Baseline Submission Form.

- 2.40 Best practice and the TfL EQIA toolkit recommend that an EQIA initial screening should be undertaken:
- For all new projects at the feasibility stage
 - During the initial stage of development of a policy or strategy
 - During the development of a business case (if not already undertaken at the feasibility stage).

However, the identification of those proposals requiring an EQIA should be made by the borough. If it is decided to undertake an initial screening, the borough should be able to determine whether there is an adverse impact on a particular group, and if so the borough should conduct a full EQIA. The likely impact and an indication of whether a full EQIA will need to be undertaken should be included in the relevant columns in the Baseline Submission Form.

- 2.41 TfL's 'Five Year Investment Programme 2006/07-2009/10' incorporates a summary of environmental impacts for each TfL project, including the programmes implemented by the boroughs funded by TfL.

Major TfL-led projects

- 2.42 Boroughs are invited to submit proposals that complement TfL-led projects. However, these should not include proposals that should properly be funded via the project itself. The TfL Business Plan 2006/07-2009/10 and 5 year Investment Programme 2005/06-2009/10 provide details of TfL plans and are available at:
http://www.tfl.gov.uk/tfl/reports_library_business.shtml.
- 2.43 Information on TfL projects is available at:
<http://www.tfl.gov.uk/tfl/initiatives-projects/ip-index.shtml>.
- 2.44 TfL supports a range of initiatives within boroughs via a number of funding streams such as complementary measures to TLRN and bus initiatives. As stated in 2.9 - 2.14, boroughs should provide information or an appropriate reference to their LIP on all potential or confirmed funding sources for LIP proposals in their Baseline Submission Form, including sources within TfL, from the authority's own resources and from other sources.
- 2.45 Submissions should not be made for works directly associated with major transport projects being led by TfL. Where works are required off the line of a major TfL project, these would normally be addressed by the major project budget if these are due to an impact that is significant and directly related to the TfL project. Where the scale or cause of an impact is less clear, submissions may be considered.
- 2.46 No submissions should be made for physical works on the TLRN. Submissions for studies on borough roads affected by TLRN initiatives will need the agreement of the relevant TfL Surface Transport Road Network Management Team before it is included within the LIP Funding

submission. The existence of this agreement should be set out clearly within the Baseline Submission Form.

2012 Olympic Games

- 2.47 London will host the 2012 Olympic and Paralympic Games (Games). Accordingly, TfL will apply additional criteria (involving review by the Olympic Delivery Authority if necessary) across all programmes to ensure that:
- Proposals of demonstrable or potential benefit to the Games and their legacy are supported in a co-ordinated manner
 - Proposals of demonstrable or potential harm to the Games and their legacy are either not supported or contain additional measures mitigating the identified harm.
- 2.48 Funding submissions this year should therefore be marked on the Baseline Submission Form, according to the potential impact of the proposal on the Games. The suggested marking covers four categories of funding submission in relation to the Games, as follows:
- 'Required for successful delivery of the Games'
 - 'Would be of benefit to the Games'
 - 'No impact on the Games'
 - 'Could have negative impact on the Games'.
- 2.49 Information on Games sites and corridors is available from the London 2012 website www.london2012.org or by telephoning 0203 201 2000.

North Circular Road (A406) complementary measures

- 2.50 TfL has agreed to allocate a fund of up to £4 million pounds to design and implement measures on nearby borough roads that complement the TfL proposal to improve the A406 within the boroughs of Barnet, Enfield and Haringey only. These measures are expected to be predominantly in the form of traffic calming to reduce impacts from 'rat-running' traffic before, during and after construction of TfL's improvement proposal.
- 2.51 This funding is ring-fenced as a part of TfL's project budget. However, in the interests of process efficiency and synergy with other LIP programmes it has been agreed that TfL payments to boroughs (or partnerships) under this fund will be via the ICS system. Where the three boroughs have projects that are complementary for the NCR improvements they are urged to apply for funding via Robert Frost, Project Manager TfL (see contact details in section 6). The three boroughs will still be eligible to apply for funding for other proposals beyond those allied to the NCR improvements.

Western Extension to Congestion-Charging Zone

- 2.52 In August 2004, following a period of stakeholder and public consultation, the Mayor published an amendment to his Transport Strategy to enable an extension to the congestion-charging zone to cover most of Kensington & Chelsea and Westminster. During autumn 2004, TfL engaged in discussions with those boroughs most directly

affected by the proposals, in order to more closely define the scheme. In January 2005, the Mayor's preferred scheme was published and key stakeholder organisations were consulted. Public consultation on a Scheme Order was initiated in spring 2005. The Mayoral decision to proceed with the scheme was made in autumn 2005 with a scheduled implementation date of February 2007.

- 2.53 Only those boroughs whose areas are traversed by the boundary of an extended zone, or which are predicted to suffer direct impacts from displaced traffic or increased pressure on on-street parking as a result of an extended zone, will be eligible for funding for Congestion Charging complementary measures. Applications for funding proposals requiring Congestion Charging funding will be assessed separately from the LIP Funding process. It is envisaged that the approval process will continue to be on a regular, on-going basis, in a similar manner to that experienced by boroughs who received such funding for the original central London congestion charging scheme. Similarly, TfL payments to boroughs will be via the ICS system.

North London Railway

- 2.54 TfL is to assume overall responsibility for the North London Railway passenger service and station facilities in November 2007. TfL will be funding a programme of improvements to the stations and train service. Proposals by boroughs for the development and implementation of complementary measures around the stations would be welcomed. The proposals are likely to link to boroughs LIPs, focus upon personal security and probably submitted within the station access programme (see 7.3.14 onwards).
- 2.55 Such proposals may best be delivered via a task specific partnership (see 2.94 onwards, especially 2.104).

Design Issues

- 2.56 Well-designed streets and spaces are central to delivering the Mayor's Transport Strategy. Design gives order to streets and other spaces, making them durable, maintainable, usable and pleasant for people and communities, as well as attractive for businesses. Both TfL and boroughs have a responsibility to make these places usable and pleasant for pedestrians and cyclists, as well as for car users. These should be places to linger, as well as places to pass through safely and efficiently for all users including those with impaired mobility, sight or hearing.
- 2.57 A well-designed streetscape requires consideration of a great many characteristics that influence amenity, modal choice and level of use, such as:
- Permeability and accessibility for all users
 - Durability and cost-effective maintenance
 - Visual order, simplicity and legibility
 - Careful and considered design and use of materials

- Recognition of suitability with place and local context
 - Acoustic design e.g. surfaces conducive to quieter (un)loading.
- 2.58 TfL has recently issued Streetscape Guidance for the TLRN to boroughs. Boroughs are strongly encouraged to apply similarly high standards to designing proposals that have an impact on the public realm.
- 2.59 TfL's Urban Environment Team helps deliver co-operation between the boroughs and TfL in order to improve the quality of the public realm across all parts of London's network.

Information Requirements

- 2.60 As last year, TfL wishes to ensure that the works it funds achieve the highest standards of design quality in terms of the materials and processes used. Therefore, boroughs should provide, separate to their Baseline Submission Forms, a summary review of any changes that made to their borough design manual or statement of design standards submitted last year.
- 2.61 Where any new significant public realm works are proposed, such as in the CPZ programme, the relevant Baseline Submission Form should include the *name of the person* who will provide the skills involved in developing the design and oversee implementation of the proposal and *an outline* as to how the designer will be procured. The assessment of such proposals will take into account the design strategy of the borough.

Publicity associated with LIP funded proposals

- 2.62 TfL seeks to continue working with the boroughs to enhance the public profile of improvements to local transport. TfL also needs to harmonise its approach to the branding of its funding to boroughs with other GLA functional bodies, such as the LDA. Like last year, boroughs are required to include the appropriate publicity for TfL funded proposals. This will incorporate inclusion of the TfL logo or TfL 5 year Investment Programme logo on construction signs and project brochures / material / publicity. Specific instruction on how to apply this to a TfL funded proposal is available from Kristel O'Rourke, TfL Corporate Design (020 7126 4456 or kristelorourke@tfl.gov.uk).
- 2.63 It is a condition of every proposal funded by TfL where TfL support exceeds £15,000 or 15%, to acknowledge the TfL contribution by inclusion of the TfL logo on any permanent or semi-permanent structure, signage, project publicity or project materials such as consultation material, notification materials, websites or announcements where the council or partnership would normally display its own logo. In cases where an alternative TfL logo (e.g. Good Going) has been agreed, that logo applies. The logo to be used should be according to Table 2:

Table 2 – Logo Criteria

Funding level and % of proposal funded by TfL	Logo/signage
Below £15,000 or less than 15%	None necessary
Above £15,000 but less than £50,000 And TfL has contributed 15% or more	TfL Logo
Above £50,000 and TfL has contributed between 15% and 50%	TfL Logo
Above £50,000 and TfL's contribution is 50% or more of the total	TfL logo and TfL 5 Yr Investment Programme logo*
Above £500,000	TfL logo and TfL 5 Yr Investment Programme signage (individually agreed per proposal)

*For permanent branding, only the TfL logo is necessary.

- 2.64 The logo and further information may be obtained from the Boroughs Extranet: <https://extranet.tfl.gov.uk/boroughs/glp/bsps/signage-logos.aspx>. TfL Guidelines for Use of the TfL logo must be adhered to.
- 2.65 Where a borough or partnership considers a proposal, structure or material inappropriate for branding, they must consult the TfL programme manager responsible for the proposal and obtain a waiver of this condition.
- 2.66 TfL is pleased overall with the initial results of logo application. **Borough Funding intends to review the application of logos during 2006.**

TLRN Spending Plan (TSP)

- 2.67 The first TLRN Spending Plan (2005) was published by TfL in July 2005, for 2005/06 and the three years up to 2008/09. It contains TfL proposals for TLRN development. It also provides a record of the aspirations of TfL Street Management and will be used to support internal business planning.
- 2.68 The document was well-received by several boroughs. TfL plans to update, improve and publish it again in 2006 (contact John Cryer, 020 7126 1019, johncryer@streetmanagement.org.uk). Boroughs are encouraged to use the information provided in the TLRN Spending Plan (2006) to plan the implementation of BSP proposals during 2006/07 and to plan delivery of their LIP proposals in 2007/08 and beyond.

Traffic Management Act 2004 (TMA)

- 2.69 Boroughs will be familiar with the “notification” process in relation to the Strategic Road Network (TLRN / SRN), established through the Traffic Management Act 2004 (TMA), for both new highway proposals and proposed works. Boroughs are reminded of the need to contact TfL Network Assurance Team (NAT) with details of 2006/07 BSP funded proposals at an early stage. Prior to construction boroughs should

forward details of the proposed works to TfL's NAT (referring to the BSP or LIP proposal reference number and any previous proposal identification). Full details of when and how to notify are given in TfL's TMA Notification Guidance. TfL is developing an on-line training tool to support borough notification submissions and more details will be available from the NAT in due course.

- 2.70 The TMA 2004 also places a statutory Network Management Duty (NMD) on Local Traffic Authorities (LTAs). The duty applies to all London Boroughs and TfL. Each is required to appoint a Traffic Manager. The role of the Traffic Manager is to seek to ensure that the LTA has the processes and arrangements in place to fulfil NMD requirements. It is envisaged that a borough's Traffic Manager will have interests similar to those of TfL's Traffic Manager regarding the safeguarding of the operation of strategic roads (TLRN / SRN). A borough's Traffic Manager is likely, therefore, to need the same sort of information from a notification as will be required by TfL or a neighbouring borough, to allow the borough's Traffic Manager to gain a full understanding of the proposal, the problem it aims to address and the impact of the proposal on network operations.
- 2.71 To facilitate this process for **all relevant** proposals being implemented in 2007/08 it will be a requirement to record in the relevant Baseline Submission Form the status of the TMA notification in order to alert the Network Assurance Team. There are cells for this purpose in the Baseline Submission Forms (see section 8, Form Completion for more details). It is hoped that this will give boroughs the opportunity to notify NAT at the provisional allocation and approval stage and allow boroughs an earlier opportunity to plan their forthcoming year's works, enabling those works to start earlier in the new financial year.
- 2.72 However, boroughs are reminded that the submission of inaccurate data may result in the provisional approval for the proposal, and its relative funding, being delayed or not being given.

TMA and the Network Management Duty (NMD)

- 2.73 The NMD Guidance has a specific "London" section which recognises that unique circumstances exist in the capital requiring a large number of LTAs to work together to deliver the improvements that the NMD encourages. It is evident that NMD requirements cannot be delivered in isolation. The interactivity between the TLRN and the borough's main local roads prohibits anything but a collective approach. Road users have the right to expect a joined up and consistent approach to Network Management across the Capital. So, TfL and boroughs, individually and collectively, will need to work closely to deliver their NMD.
- 2.74 Boroughs should also be aware that at the time of issuing this LIP Reporting and Funding Submission Guidance, the DfT has had discussions in relation to the criteria for intervention under the provisions set out in Part 2 of the TMA 2004. Further advice as to what information

TfL and the boroughs will be required to supply, how and to whom, will be available in the near future. It is anticipated that the LIP Reporting and Funding process will provide an integrated way in which boroughs can report this information.

Network Management Plans

- 2.75 In undertaking its NMD on the TLRN, TfL is establishing Network Management (Corridor) Plans that establish a holistic, cross-mode approach to managing road space and balancing road user hierarchies leading to “target based” programmes of corridor investment. In developing Network Management Plans (NMP), TfL will work with the boroughs to ensure plans also take account of the road user balances they wish to achieve on the principal and local roads that impact the TLRN, and how these can be delivered in conjunction with TfL aspirations for the TLRN itself.
- 2.76 It is envisaged that the London Boroughs, in demonstrating compliance with the NMD, will wish to look at their network of ‘A roads and Busy Bus Routes’ in a holistic and integrated manner and with particular consideration to the interface with, and opportunities arising from, TLRN corridors running through the borough, to develop similar plans. This approach is therefore being developed as part of Parallel Initiatives proposals that boroughs are developing as part of implementing their LIPs. **More information about this work will be discussed with the ALG and boroughs during 2006.** However, it is envisaged that proposals under the Parallel Initiatives programme will complement the planning and implementation of NMPs.
- 2.77 TfL recognises that alone it will be unable to deliver the full NMD for London, as described in DfT Guidance on the NMD. Similarly, boroughs will be unable to deliver their NMD requirements by planning alone (particularly on their principal roads), without discussions with their neighbouring boroughs and TfL, and their active involvement in the introduction of complementary or supportive measures. To enable a joined up approach, and to inform boroughs about the progress of Network Management Plans and the interface with Parallel Initiative proposals, regular meetings are planned to be held with, or facilitated by, TfL’s Traffic Manager or representatives.

Traffic Signals

- 2.78 TfL is the traffic signal authority for London. Signal installation and maintenance is managed by the Directorate of Traffic Operations (DTO) within TfL. Traffic signals are subject to constraint relating to available funding, technical approvals and the continued restrictions on available technical staff to implement proposals. The concept of whole life costing remains to be further considered.
- 2.79 More detailed guidance on the approval process and funding mechanism for traffic signals was agreed after extensive discussion

through the joint TfL/ALG/borough TCLC in 2005. These details are contained in the following ALG papers (<http://www.alg.gov.uk/>):

- Process diagram: ALG circular reference TEP 05/05 Appendix 3 entitled “Traffic Signals Funding Update”.
- Funding arrangements: ALG TEC paper reference Agenda Item 6 entitled “Traffic Signals Budget 2006/7” dated 9 December 2005
- Due to traffic signal delivery constraints, boroughs should consider alternative means of delivering desired outcome wherever relevant e.g. the use of different types of traffic management tools
- In order to assist in project planning, boroughs are asked to indicate what proposals will include works involving traffic signals. The type of works and type of signals, with locations, should be given along with a cost estimate (a ‘ready-reckoner’ is provided in Table 12).

2.80 Resource constraints within TfL can lead to a proposal’s implementation being delayed. It is hoped that by supplying the information as outlined above in the Baseline Submission Form, DTO can give boroughs an early indication of when the work may be carried out and, therefore, enable the boroughs to re-programme any works accordingly.

Importance of 3rd Party approvals

2.81 The experience of both TfL and many boroughs shows that project costs, programmes and scope can often be heavily dependent upon 3rd Party approvals. Early attention to these has been shown to give better chances of successfully delivering a proposal on time and within budget. TfL wishes to continue to work with boroughs to reduce risks associated with 3rd Party approvals wherever possible.

Network Rail (NR)

2.82 NR is responsible for the vast majority of National Rail land and infrastructure. This ranges from railway stations to bridges. Whilst in many cases the Train Operating Companies (TOC’s) will staff and lease passenger stations, the ownership of the assets remains with NR.

2.83 Analysis of previous BSP funded proposals shows NR is a key 3rd Party approver. Working well with NR from early stages can help mitigate cost and programme risks.

2.84 NR interfaces are present in a wide range of TfL-funded transport programmes but those most likely to be involved are:

- Bridge Strengthening
- Station Access
- Regeneration.

Network Rail Contacts

2.85 NR has indicated to TfL a wish to work with boroughs and TfL to further improve the interface.

2.86 Where boroughs do not have existing contacts please note that initial enquiries should be made as follows:

- LNE (line out of King's Cross and St Pancras, team based at York) contact 01904 389909
 - LNW (lines out of Euston, team based at Birmingham) contact 0121 345 3529
 - All other areas, (team based at Waterloo) contact 020 7921 5789.
- 2.87 Network Rail will need to know project implications in the following areas
- What permanent or temporary land acquisition is envisaged
 - What is the outline nature of any physical works proposed
 - What arrangements are proposed for maintenance of new / altered structures.
- 2.88 It is standard practice for NR to seek to recover their costs from 3rd parties. With the exception of an initial scoping meeting boroughs may be asked for a contribution towards Network Rail's costs in the project development / approvals phase.
- 2.89 A formal legal agreement will usually be required by NR as a project moves to implementation. For large projects e.g. a new bridge this will consist initially of a Basic Services Agreement followed by a full Asset Protection Agreement (APA).
- 2.90 On smaller scale projects a less comprehensive document termed a Basic Asset Protection Agreement (BAPA) will be required.
- 2.91 Boroughs do not need to have concluded the APA / BAPA before approaching TfL for funding
- 2.92 To avoid the need to start each negotiation afresh, boroughs' attention is drawn to the existence of a standard template for highway works agreed by the County Surveyors Society in 'Strengthening of Railtrack Owned Highway Bridges – Guidance For Implementation' (CSS / SCOTS / LoBEG. / Railtrack) Published 1999 (www.cssnet.org.uk).

Implications for LIP Funding Applications

- 2.93 For 2007/08 and beyond, proposals for funding that have an interface with NR will be required to show evidence of initial contact with NR and the progress or outcome of such discussions on the relevant Baseline Submission Form (see section 8).

Partnerships

Introduction of the LIP Process

- 2.94 TfL has worked satisfactorily with several partnerships within the BSP process. It is hoped that this can continue to the mutual benefit of TfL and the boroughs involved, with the introduction of the LIP process.
- 2.95 In the past TfL has found that partnerships have greatest value where they deliver one or more of the following benefits
- Economies of scale in delivery, e.g. travel plan co-ordinators

- Projects with a strong cross borough boundary component, e.g. LCN+
 - Projects of sub-regional importance / impact, e.g. major town centres
- 2.96 These factors have tended to feature more in the following programmes:
- Walking
 - Cycling
 - Bus Priority Measures
 - Town Centres
 - Streets for People
 - Station Access
 - Travel Awareness
 - Workplace Travel Plans
 - Freight
 - Environment
 - Regeneration Area Schemes
- 2.97 The LIP process and the way in which the implementation of LIPs will take place have resulted in changes to the way in which partnerships will now apply for funding.
- 2.98 The GLA Act 1999 does not recognise the partnerships as transport authorities and so they cannot produce a LIP in the same way as individual London authorities. However, this should not preclude partnerships remaining an important part of project development, delivery and monitoring activity where boroughs and TfL agree.
- 2.99 As the majority of TfL funding for borough transport projects is now to support delivery of LIPs, all partnerships will need to ensure that their applications for funding are linked to one or more borough LIP proposals, wherever possible. Boroughs should already have included in their LIP any proposals in which partnerships have a role. TfL recognises that the process by which partnership proposals are included in individual borough LIPs has not been straightforward. As a consequence, further development of individual boroughs' LIPs may be required. As discussed at the sub-regional 'Guidance' consultation meetings, further discussion will be carried out as to how best address this issue, but it is likely that individual borough Form 1s will be revised to enable the inclusion of partnerships' proposals.
- 2.100 Therefore, instead of a partnership submitting an independent application for funding, the lead borough for any partnership will need to make the submission on behalf of the partnership. On the Baseline Submission Form the lead borough should enter their name in the box marked 'Authority' and the partnership's name should appear in box marked 'Partnership' below. The Baseline Submission Forms will need to include a reference to either the lead borough (or other borough/s) LIP for each proposal (see section 8), in their submission.

2.101 Where no linkable proposal has been included in a borough LIP, the process for submitting applications for funding proposals not included in a LIP should be followed (see 2.13). Any partnership unclear how to proceed should contact Kate Holgate, Head of LIPs and BSP.

2.102 It is appreciated that many partnerships will still wish to produce collated documents summarising the totality of proposed partnership activity across their constituent boroughs. TfL supports (but does not require) this approach as an addition to the lead borough submission (see 2.100).

Changes to partnerships

2.103 Partnerships have formed around specific programmes or geographical areas. Occasionally, there may be a case for a partnership to cease to be involved in LIP funding, or delivery activity be modified, or for a new partnership to be recognised. It is important to notify Borough Funding of significant decisions to amend a partnership scope or membership.

New partnerships

2.104 TfL is willing to consider recognising new partnerships for LIPs purposes from the commencement of the 2007/08 financial year. If boroughs wish to propose a new grouping, they are asked to provide the following material to TfL prior to the closing date for 2007/08 submissions.

- Formal written support from each constituent borough
- A written statement of objectives for the partnership
- A list of all borough members of the partnership
- The agreed name of lead contact and lead borough for communications purposes
- Agreement that the lead borough in the new partnership will provide the reports required by TfL's Financial Guidance and take an active role in managing funded projects
- A summary of the aspects of the constituent boroughs' LIPs, with relevant Mayoral Strategies referenced, that the partnership is expected to support or deliver.

2.105 New partnerships will not be considered by TfL where they clearly overlap an existing TfL supported partnership. Subject to TfL approval of the new partnership, that grouping will be eligible to submit a LIP funding submission from 2007/08 onwards in accordance with this Guidance (i.e. via the lead borough for the partnership).

Withdrawal of partnership from the LIP or BSP process

2.106 If the constituent boroughs agree that a partnership is to cease to engage in LIP related activity this should be notified in writing to TfL by the lead borough. Other than in exceptional circumstances, such a withdrawal should come into effect at a financial year-end. Where future year funding commitments remain, these should be formally transferred (in writing), either to an individual borough or another partnership, and such intention notified to TfL.

Modification of partnership within the LIP or BSP process

2.107 From time to time a partnership may wish to alter its membership or its main focus. They may, for example, wish to align to other groupings' boundaries more closely, such as London Plan sub-regions. If the constituent boroughs agree that a partnership is to amend its role or membership this should be notified in writing to TfL by the lead borough. Other than in exceptional circumstances, such a modification should come into effect at a financial year end. Where future year funding commitments remain that are directly affected by a modification these should be formally transferred (in writing), either to an individual borough or another partnership, and such intention notified to TfL.

Partnership running costs

2.108 TfL remains willing to make a contribution towards the transport delivery related running costs of partnerships. A number of partnerships have benefited from this in the past. For 2006/07, TfL has provided support for running costs using a "top-slicing" formula.

2.109 The recent Partnerships Forum hosted by TfL raised several issues regarding the potential need to modify this approach. TfL accepts that this issue needs further review for 2007/08. TfL intends to develop changes in collaboration with partnerships after this 2007/08 LIP Reporting and Funding Submission Guidance is issued, to allow sufficient consideration of options. Further guidance is likely to be issued once additional discussion has taken place with the partnerships.

2.110 Boroughs and partnerships should understand that money allocated for partnership administration is likely to reduce funds available for delivery.

Other TfL Borough funding

2.111 Separately from running costs, partnerships may be allocated funds to carry out special projects or tasks agreed with TfL. These allocations will be in addition to running costs. Examples are the Station Access development funding made available in 2005/06 and non-administrative support posts such as travel plan co-ordinators. These allocations are not to be top sliced.

Non-Borough Organisation Funding Applications

2.112 Community groups seeking funding for a transport-related proposal should apply via their local borough. Boroughs may incorporate proposals proposed by local community groups, as part of their LIP proposals. A borough needs to fully support the proposal, consider the proposal a priority within its LIP and apply for funding from TfL. The borough will be responsible for managing the proposal development and delivery and the application should conform to the requirements and standards for all other submissions presented by the borough.

Internet Interface

2.113 Boroughs will be aware that TfL are currently working with a number of boroughs in developing a computerised process for submitting invoice

claim statements (ICS), for introduction later in 2006/07. This is part of the BSP Phase 2 project. It is anticipated that in April 2006, five boroughs will pilot a trial in which they will enter ICS claims directly onto TfL's SAP accounting system through an Internet-based portal.

2.114 There will follow a pilot in which trials will be held to enable boroughs to submit other LIP Reporting and Funding Submission information directly via the Internet. This is the BSP Portal project which is being developed as part of the Boroughs Portal project for beginning in 2006. This may include proposal funding submissions and integration with LondonWorks notifications and permitting by 'workflow' methodology.

2.115 More details concerning both these developments will be made available to the ALG and the boroughs during 2006.

Working with Boroughs

2.116 TfL will continue to listen and work with boroughs at a variety of levels to meet our joint aspirations. Partnership working between TfL and boroughs continues to develop and joint working relationships have been developed, with boroughs taking the lead for particular transport themes, for example Road Safety (Kensington & Chelsea). TfL also relies upon management partnerships for bus priority (Bromley), strategic cycle network / LCN+ (Camden) and infrastructure programmes (Westminster, Hammersmith & Fulham).

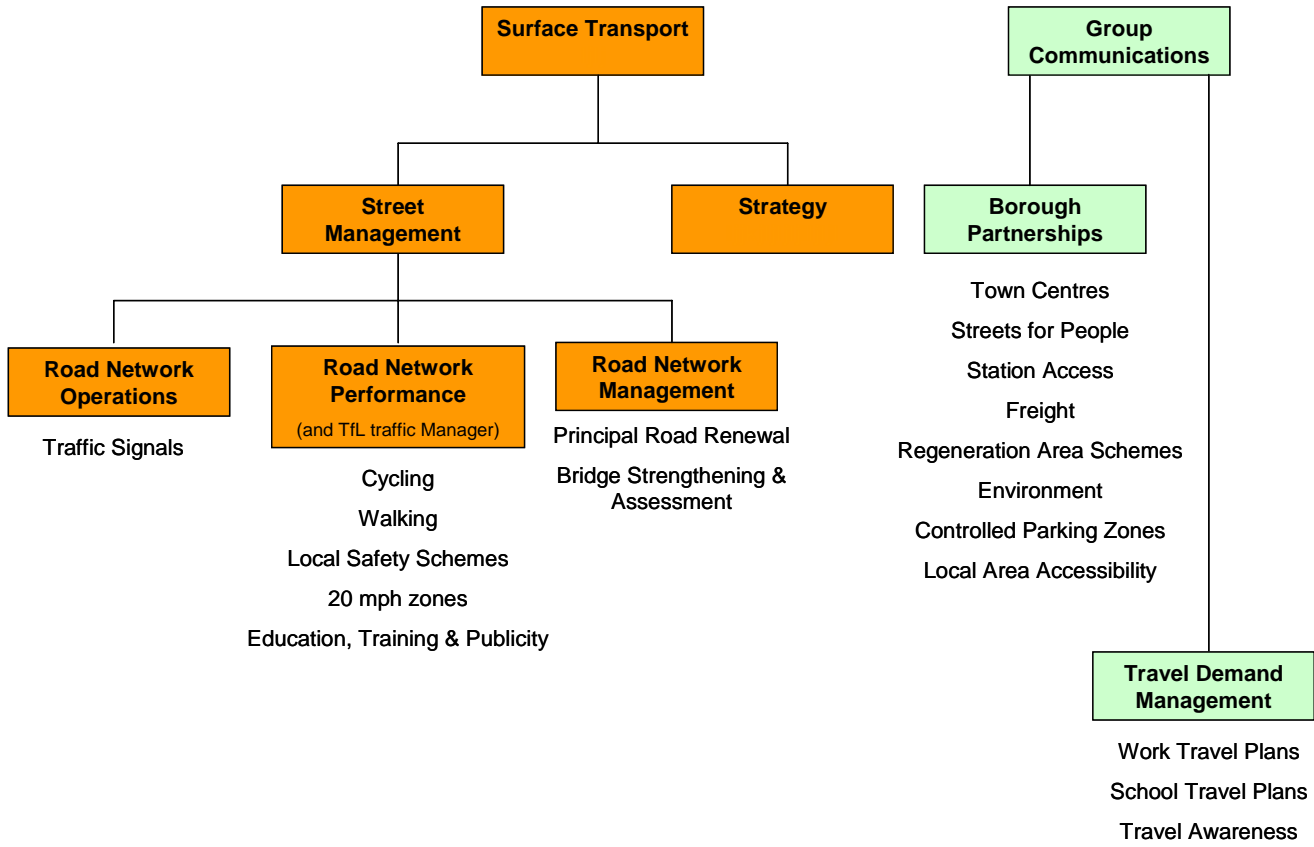
TfL – Boroughs Joined-Up Working Group

2.117 This group is examining streets work areas where there is potential for beneficial joined-up working between participating London organisations. The work areas currently being explored are:

- Reuse and Recycling of Materials
- Winter Maintenance – joint procurement of material and equipment
- Winter Maintenance – Shared operations and resources
- High Friction Surfacing and Road Markings
- Framework contracts for Agency Staff.

Please contact either Keith Ollier, Director of Operational Support, Transport for London – Streets (keithollier@streetmanagement.org.uk, 020 7654 3772) or Gareth Davies, Chair of LoTAG and Assistant Director Transportation, London Borough of Bromley (Gareth.Davies@Bromley.gov.uk, 020 8313 4540).

Figure A - Transport for London - LIP Programme Responsibilities



3 FUNDING PROFILE AND ISSUES

- 3.1 2007/08 LIP funding will again reflect the TfL Investment Programme commitment of £154 million¹. As in previous years the funding for LIP proposals overall will be apportioned according to TfL's current priorities, with the greatest emphasis being placed on the following:
- Reducing the number of people killed and seriously injured on London's transport networks
 - Improving the bus network
 - Bringing infrastructure, such as bridges and roads links, into a state of good repair.

Table 3 – TfL Investment Programme Funding for Boroughs

£m	2005/06	2006/07	2007/08	2008/09	2009/10	Total
Capital	103	142	141	139	140	666
Revenue	47	14	13	13	13	99
Total	150	156	154	152	153	765

- 3.2 In December 2005, the Mayor announced £159 million of schemes to be delivered by boroughs in 2006/07. An 'average' borough could therefore anticipate around £4.7 million.
- 3.3 During the last three rounds of BSP funding, TfL has supported some proposals for longer than one year. Again, this year's submissions can cover a three-year period (in line with TfL's Business Plan) so that boroughs can apply for funding that reflects proposals included in LIPs.
- 3.4 Submissions for funding for specific proposals can include an element of funds to take account of the costs of designing and monitoring the proposal. An element funding may also be included within a proposal requiring "pump-priming" which will subsequently become self-financing or be supported by non-TfL funds. Generally, TfL will fund activities that have been previously supported by the boroughs using their own resources or allocate funds to boroughs for them to pay back the cost of services provided by TfL e.g. new bus services.
- 3.5 TfL is keen to support boroughs in negotiations with developers in securing s. 106, s.247 and s.278 agreements so that developers fund a representative and realistic proportion of the cost of providing appropriate infrastructure changes and services that accurately reflect the transport demands generated by new developments. When submitting funding applications for LIP proposals, boroughs should clearly indicate where funding will complement the delivery of proposals of developments supported by s.106 agreements. LIP funding should not be used to top-up developer funds for proposals directly relating to the impact of new developments, but can play an important role in adding value to proposals which can usefully be extended to areas beyond the confines of specific developments.

¹ Less non-BSP schemes, e.g. Thames Road Bexley

4 FORMAT OF LIP REPORTING AND FUNDING SUBMISSIONS

- 4.1 The core of the LIP Reporting and Funding Submission is a set of forms, listed in Table 4. These forms provide a structure in which boroughs and partnerships can provide more detail about the specific LIP proposals they wish to implement in 2007/08 and beyond. The forms provide a common format for all submissions and a minimum level of information for each programme assessment.

Table 4: All LIP Reporting and Funding Submission forms

Form	Purpose and comments
LIP Statutory Target Proforma	Contains the information boroughs need to submit to report on progress towards meeting the Mayor's statutory targets. See section 8.
LIP Local Targets Proforma (optional)	Captures information boroughs can submit to report on progress towards meeting their local targets / PIs. See section 8.
Finance Form 3 (F3)	Summarises total funding requested and provides a financial profile of the borough's LIP funding submission for 2007/08 and beyond
Baseline Submission General	Captures structured information about proposals to enable Programme Managers to undertake assessments.
Baseline Submission RO	Captures all boroughs' proposals for Principal Road Renewal.
Baseline Submission BR1	Captures all boroughs' proposals for Bridge Strengthening.
Baseline Submission BR2	A structure register of boroughs' bridges.
Baseline Submission Safety	Captures all boroughs' proposals for Local Safety Schemes and 20mph zones.
Baseline Submission ETP	Captures all boroughs' proposal for Safety Education, Training and Publicity.
Business Case Summary	Proposals with a total cost of £2m or more (even if TfL funds only a part), have an additional evaluation process supported by this form.

- 4.2 The new Baseline Submission Forms (see 2.32 - 2.36) will cover the proposal information requirements for all programmes.
- 4.3 These forms will be partially pre-populated and sent out to all boroughs. Blank forms and form completion instructions are also available on the Boroughs Extranet. Boroughs must ensure that all officers who return these forms have followed the form instructions.
- 4.4 TfL will use the financial information supplied within Form F3 (see section 8) as a summary of all submission figures. Boroughs and partnerships must ensure that these figures are consistent with those referred to in the Baseline Submission Forms, any other LIP funding

submission text and any quoted in the borough's LIP. It is appreciated that figures produced as part of the LIP submission process may change after more accurate planning has taken place. To help with this, boroughs will be asked to revise their LIP Form 1s in this regard, as far as is practicably possible, during 2006/07. This may be done whilst they are also being revised to account for proposals that boroughs wish to include after reviewing partnerships arrangements or as a result of any other changes.

- 4.5 Boroughs should use their judgement to present proposals in the most effective manner. However, they should provide the required information in the Baseline Submission Forms, but can, if necessary, add short unstructured text in the relevant Comment box to support the submission and which cannot be easily supplied in other parts. Maps of the proposal location, and any diagrams or supporting information (as requested under specific programme submission guidance in section 7 or considered relevant by individual boroughs), can be provided where useful. These should be clearly referenced to the relevant Baseline Submission Form to draw the Programme Managers attention.
- 4.6 Boroughs may wish to consider compiling a map to show the totality of all the proposal sites in borough, and in relation to the 'A Roads and Busy Bus' routes shown in their respective LIP. Further, boroughs may consider providing a GIS-based map (hard and soft copy) from which geocodes for proposals could be extracted, similarly to those found on an increasing number of borough websites.
- 4.7 Proposals with a total cost of £2m or more must submit a separate Business Case Summary form as part of their LIP Reporting and Funding Submission, with the relevant Baseline Submission Form. The total cost includes all sources of funding, including sources outside TfL, and for the entire life of the proposal. Boroughs submitting applications for proposals that cost £2m or more must review the Business Case Guidance and contact Borough Partnership's Head of LIPs and BSP, a member of the Business Case Development team or the relevant Programme Managers, with any questions.

Format of Submissions

- 4.8 One hard and one soft copy of all the documents that make up the borough submission (see Table 4) should be submitted to TfL Borough Funding according to the instructions immediately after the index, by 21 July 2006. Boroughs may provide PDF versions but are also requested to supply Word and Excel versions of all documents and forms. The soft copies can be provided on a CD given the restricted size of emails imposed by many councils and TfL.
- 4.9 Given the new format of submission forms, it is not expected that boroughs need to provide TfL with the numbers of bound copies as in previous years. There is no requirement as to how the hard copy of the submission should be presented, but it is expected that the overall

document will be indexed, coherent and contain copies of spreadsheets and relevant attachments (additional text, maps, drawings etc.). It is recommended that hard copies of the Baseline Submission Forms are kept to A3 size for convenience when printing.

- 4.10 Should further advice be required, boroughs should contact Giovanni Nacci in Borough Funding (see **Table 9**).

Submission requirements by Transport Programmes

- 4.11 All transport programmes require the same basic information that should be included in the Baseline Submission Form, e.g. cost, location, milestone dates. However, as set out in 2.33, some programmes have different information requirements. More specific details can be found in sections 7 and 8.

Table 5: Documentation requirements by Transport Programme

Code	Transport Programme	Baseline Submission requirements
RO	Principal Road Renewal	One Baseline Submission – RO
BR	Bridge Strengthening	One Baseline Submission – BR1 and one Baseline Submission BR2
LSS	Local Safety Schemes	One Baseline Submission – Safety
ZO	20mph zones	One Baseline Submission – Safety
ETP	Education, Training and Publicity	One Baseline Submission – ETP
W	Walking	One Baseline Submission – General
CS	Cycling	One Baseline Submission – General
LCN	LCN+	One Baseline Submission – General
BSA	Bus Stop Accessibility	One Baseline Submission – General
BP	Bus Priority	One Baseline Submission - General
STP	School Travel Plans	One Baseline Submission – General
WTP	Workplace Travel Plans	One Baseline Submission – General
TA	Travel Awareness	One Baseline Submission – General
FS	Freight	One Baseline Submission – General
RP	Regeneration	One Baseline Submission – General
ENV	Environment	One Baseline Submission – General
PC	Controlled Parking Zones	One Baseline Submission – General
AS	Accessibility	One Baseline Submission - General
PI	Parallel Initiatives	One Baseline Submission - General
CT	Community Transport	One Baseline Submission – General
TC	Town Centres	Please refer to ABS submission guidance
SfP	Streets for People	
SA	Station Access	

LCN+ and LBPN Proposals

- 4.12 Proposals relating to LCN+ and LBPN should be sent respectively to the LCN+ partnership (lcplus@camden.gov.uk) and the LBPN partnership (garnet@lbpn.freeserve.co.uk) in time for inclusion in the LCN+ and LBPN submission documents. Copies must also be sent to

BSP@tfl.gov.uk so that a full set lies with Borough Funding. **Borough submissions in relation to LCN+ and LBPB are NOT to be submitted within individual borough/partnership LIP Reporting and Funding Submissions but separately by the appropriate lead borough, e.g. LB Camden and LB Bromley.**

5 MONITORING LIP PROPOSAL TARGETS AND OUTCOMES

- 5.1 LIP Guidance sets out how, through implementation of LIPs and the achievement of cross-cutting goals and the Mayor's priority areas, the boroughs should contribute to the Mayor's statutory targets (LIP Guidance pages 20-26 and Chapter 5). These cross-cutting goals aggregate the Mayor's eight priority areas as shown in Table 6. These cross-cutting goals should also be seen as outcomes delivered by implementation of boroughs' LIPs, monitored as part of outcome monitoring.
- 5.2 The Mayoral statutory targets are those identified as demonstrative of the extent to, and pace of, which TfL and the boroughs contribute to implementing the MTS and their contribution to meeting the Government's Shared Priorities – Congestion, Safety, Accessibility and Air Quality. As such they are a mixture of what are generally described as outcome and output targets. They also provide evidence for demonstrating the achievement of the Mayor's cross-cutting goals, in the same way that output targets form the basis of outcome monitoring in demonstrating the achievement of MTS priorities.
- 5.3 Figure A below outlines how the Mayor's statutory targets and the objectives used in outcome monitoring can be mapped onto the cross-cutting goals.
- 5.4 In order to evaluate boroughs' progress in meeting or contributing to statutory targets, and to understand the contribution being made by boroughs in delivering the outcomes necessary to achieve the MTS, the Mayor's key objectives and the cross-cutting goals, boroughs will be required to report on both their statutory LIP targets and their outcome monitoring proposals.
- 5.5 This will allow TfL to use the results gained from both sets of reports to better present the boroughs' contribution to meeting the Mayor's cross-cutting goals and statutory targets within TfL's next Business Plan and in preparation for the next Government Spending Review in 2007. In conjunction with information taken from boroughs' LIPs, it might support a business case for increasing the overall funding available to boroughs from TfL.
- 5.6 Those boroughs wishing to submit a progress report on their own local indicators (paragraph 5.10) are welcome to do so and a proforma has been provided for this purpose (see section 8).
- 5.7 Under GLA Act section 41 (9), the Mayor may set targets from time to time. At the time of publishing this guidance, TfL has no knowledge of further targets or target revisions. Official notification of the revised Casualty Reduction targets was issued 17 March 2006 – this was separately transmitted and also published on the Boroughs Extranet.

- 5.8 TfL will be reviewing the process and structure of outcome monitoring in the forthcoming year to ensure that it still appropriately supports the monitoring of LIP targets, outcomes and cross-cutting goals. More details will be disseminated to boroughs in due course.

Table 6 – Cross Cutting Goals

Cross Cutting Goal		Priority	Target
1	Safety	i	Road Safety 1,2
2	Sustainable Modes	iii	Relieving congestion, including the use of travel demand management 5,7,8
		vi	Encourage walking 12
		vii	Encourage cycling 13
3	Road-space Allocation	ii	Bus journey times and reliability 3,4
		iii	Relieving congestion, including the use of travel demand management 5,6,7,8
		iv	Fair parking and loading 9
4	Sustainable Development	iii	Travel demand management 9, 5,12, 13
		vii	FRACA programmes
		vii	Parking standards
		vii	Community Transport Planning policies
5	Equality and Inclusion	v	Accessibility and social inclusion Community Transport 10, 11
		viii	Bringing infrastructure to state of good repair 14

LIP Statutory Target Reporting

- 5.9 Boroughs are required to submit a proforma (Proforma A – LIP Statutory Targets Proforma) which sets out progress in meeting, or contributing to, the statutory targets.
- 5.10 A number of boroughs have also identified a number of local indicators (including environment indicators) that they also intend to monitor as part of their LIP implementation, and which is welcomed (paragraph 5.6). Where this is the case, boroughs are also invited to complete a second proforma (Proforma B – LIP Local Target Proforma) to demonstrate how these indicators are also contributing to implementing the MTS. However, this is not a requirement.
- 5.11 More detail on how to complete these proformas is provided in section 8. Generally, the generic target information has been pre-populated, e.g. name and definition of the target, relevant performance indicator (PI) definition, baseline year, target completion date and value. Information such as the reporting year, actual progress and proposed trajectory (where relevant), should be completed by the borough where possible. There are also spaces for the borough to report whether they are on track and what, if any, remedial action is being taken if not on track. The local indicator proforma allows the boroughs to submit what

relevant information they think appropriate. A range of cell headings has been provided for ease of reference and guidance.

- 5.12 It is recognised that many boroughs' LIPs may not have been approved by the 2006/07 submission date. Boroughs are still required to report on their 2005/06 progress towards meeting the LIP statutory targets. This requirement also covers the revised Casualty Reduction target and the new Borough Bus target.
- 5.13 Boroughs are reminded that TfL reserves the right under s. 159 of the GLA Act to take a submission of a satisfactorily completed Statutory Target proforma into account when allocating funding. However, as explained in paragraph 2.25, it is not expected that any issues will arise in relation to this matter in this first year of reporting.

Outcome Monitoring and Reporting

- 5.14 The Mayor's cross-cutting goals are set out in LIP Guidance and the MTS sets out the Mayor's objectives and priorities. Outcome monitoring arrangements are required to assess progress towards meeting those objectives and cross-cutting goals. TfL intends to review the requirements of, and process related to, outcome monitoring during 2006/07 to ensure their continued compatibility with the Mayor's statutory targets and LIP process (paragraph 5.8).
- 5.15 For 2006/07 reporting, boroughs are required to submit five proposals for monitoring BSP funded schemes and TfL will select three which it will then fund. It will not be necessary for boroughs to submit causal chains. However, boroughs are strongly encouraged to continue to use causal chains as it is a widely recognised way of planning such monitoring. Guidance for creating and using causal chains will remain available from the Boroughs Extranet.
- 5.16 Outcome monitoring applies to the following programmes:

Accessibility [AS]	Streets-for-People [SP]
Cycling [CS]	School Travel Plans [STP] ⁴
Environment [ENV] ²	Travel Awareness [TA]
Freight [FS]	Town Centres [TC]
Controlled Parking Zones [PC]	Walking [W]
Regeneration area schemes [RP]	20mph zones [ZO]
Station Access [SA] ³	

Outcome monitoring does not apply to other programmes (i.e. Local Safety Schemes, Road Renewal, Bridge Strengthening and Bus Priority), where alternatives are in place.

² From 2005/06 Air Quality (AQ) changed to Environment(ENV)

³ From 2005/06 Interchanges (IT) changed to Station Access(SA)

⁴ From 2006/07 Safer Routes to Schools changed to School Travel Plans

- 5.17 Outcomes are defined as the impacts and effects of proposal implementation and whether it is meeting its objectives. In considering submissions for LIP proposal funding, the monitoring of outputs, the Mayor's statutory targets and outcomes will all be important parts of TfL's assessment.
- 5.18 The annual cycle of outcome monitoring (OM) is illustrated in Figure B. It shows the process by which monitoring information will support the submission, when performance indicators are to be agreed for approved proposals, when data should be collected and finally reported back via the LIP Reporting and Funding submission. While the diagram contains an indicative timeline, not all proposals will fit this monitoring model. In some cases, reporting may need to take place in subsequent years.
- 5.19 A TfL/ALG/LoTAG working group has developed the outcome monitoring framework for London for proposals previously funded by the BSP process. This has resulted in a framework that can be applied to LIP proposals to ensure a consistent approach across London. Review of OM reports shows that the average quality of scorecards produced has been good in terms of proposal delivery and contribution to objectives. The actual provision of quantified before and after survey data was limited. A report of boroughs' OM reporting for 2004/05 was issued in March 2006 and is available on the Boroughs Extranet.
- 5.20 Submissions for funding LIP proposals, where appropriate, should include the cost of undertaking outcome monitoring. Funding for approved and identified proposals will include the cost of proportional and appropriate monitoring of proposal outcomes. Boroughs are expected to make full use of these funds in developing their OM related LIP Reporting and Funding submissions.
- 5.21 In deciding how to allocate funding for LIP proposals for 2007/08, TfL will take account of boroughs' ability to demonstrate achievements in their OM report with quantified before and after survey data. The monitoring process is focussed on a better understanding of the transport related benefits that these transport programmes offer, and to support future funding by TfL. Outcome monitoring is essential for this and all boroughs should ensure they fully comply with the requirements of outcome monitoring. Any concerns should be addressed to Kate Holgate (contact in **Table 9**), who can provide assistance and further training for boroughs, along with the ALG. TfL reserves the right to withhold future LIP proposal funding if there is a failure to comply with OM requirements. Therefore, it is important that boroughs, TfL and the ALG work together to ensure there is full understanding.

Outcome Monitoring Framework

- 5.22 The key elements of the Outcome Monitoring process are outlined below. The following section outlines the submission requirements. Further instructions can be found in Section 8 and Appendices A – E, which are also available on the Boroughs Extranet.

Planning

5.23 *Performance Indicators (Appendix D)*: TfL proposes to use a standard set of key performance indicators for each programme area. Boroughs are encouraged to use these performance indicators both to plan the proposal through the causal chain analysis method, and to measure and evaluate the proposal's outcomes through the Monitoring Scorecard. The performance indicators were developed from an analysis of the 2003/04 Outcome Monitoring forms submitted by the boroughs, discussions with Programme Managers and the results of the Outcome Monitoring Steering Group. Some will also be the same as PIs used to monitor the Mayor's statutory targets.

Monitoring

5.24 *Outcome Monitoring Scheme form*: TfL will provide boroughs with a partly pre-populated form highlighting the schemes to be monitored and the performance indicators to be used after TfL has agreed which proposals will be monitored during 2006/07.

5.25 *Survey Manual (Appendix E)*: TfL has provided a survey manual, which provides advice on when, and how to undertake surveys and analysis for monitoring LIP proposal outcomes.

5.26 *Monitoring Scorecard (Appendix A)*: This form allows boroughs to

- Present the results of outcome monitoring
- Demonstrate achievement of stated objectives
- Show evidence of robust assessment.

5.27 Information provided through the Monitoring Scorecard will be very helpful in potentially preparing a TfL business case for increasing the overall level of LIP funding. The outcomes will also be analysed to identify and disseminate 'good practice' among boroughs. It is essential that boroughs are balanced in preparing scorecards, rather than trying to represent only positive impacts of proposals. A worked example of the Monitoring Scorecard is provided in *Appendix B*.

5.28 Boroughs are also requested to outline the outcome monitoring plans for agreed proposals in the Monitoring Scorecard Summary Sheet (*Appendix C*). Together, the Monitoring Scorecard and Monitoring Scorecard Summary Sheet are referred to as the 'Outcome Monitoring Report'.

Table 7: Summary of Outcome Monitoring documents

Documents	Purpose
Outcome Monitoring form	Partly pre-populated form provided by TfL identifying proposals to be monitored
Monitoring Scorecard (<i>Appendix A</i>)	To be submitted by the boroughs with 2007/08 LIP Reporting and Funding submission.
Monitoring Scorecard worked example (<i>Appendix B</i>)	Provided by TfL as guidance for completion of Scorecard 2003/04.

Documents	Purpose
Monitoring Scorecard Summary sheet (Appendix C)	Top sheet to be submitted by boroughs to summarise the outcome monitoring of proposals and Scorecards.
Performance Indicator Grid (Appendix D)	Performance Indicators provided by TfL for the 05/06 proposals, selected for outcome monitoring. Also to provide guidance for the PIs to be included in causal chains.
Survey Manual (Appendix E)	Provided by TfL as guidance for consistent methods of monitoring PIs.

Outcome Monitoring Submission Requirements

5.29 There are three slightly differing monitoring regimes in place for 2004/05, 2005/06, 2006/07 and 2007/08, together, involving increasing commitments from boroughs / partnerships. To assist understanding of the requirements for each of the above years, a summary of each year's requirements is in Table 8.

2004/05

5.30 Boroughs identified proposals to be monitored & performance indicators to be used, via the OM form. Reporting on these borough-identified proposals was required as part of the 2006/07 BSP submission.

2005/06

5.31 Reporting will be expected as part of this year's LIP Reporting and Funding Submission for 2007/08. Boroughs and partnerships are expected to submit an '**Outcome Monitoring Report (2005/06)**' as a part of the LIP Reporting and Funding submission by 22 July 2006, via email to BSP@tfl.gov.uk.

5.32 This report should include the following:

- Monitoring Scorecard Summary Sheet
- Monitoring Scorecards for each of the schemes on which authorities have indicated they would be reporting.

5.33 Although OM submissions only need to report via Monitoring Scorecards, boroughs are reminded that TfL reserves the right to require submission of the original data / supporting material within a period of three years after submission. TfL Programme Managers may occasionally need to analyse the detail of a monitored scheme.

2006/07

5.34 Similar to last year, TfL expects Causal Chains will be submitted in support of larger and more complex scheme of the proposals, with an indication of likely performance indicators that might be monitored. Causal Chains should only be prepared for new schemes, therefore not for bids for continuing schemes.

5.35 TfL anticipates that boroughs will develop Causal Chains to support their BSP 2006/07 in a way that will help identify objectives and

outcomes, and generate potential performance indicators. Causal Chains are of little value if they just repeat the examples given and they should be used as a tool to aid thought processes in scheme development. TfL expects all boroughs to submit Causal Chains but does not expect more than 10 chains to support this year's BSP OM. However, some may wish to submit them for a large number of schemes. Such submissions would be very welcome.

5.36 Reporting will be expected as part of the 2008/09 LIP submission.

2007/08

5.37 While causal chains will not be required as part of the submission for funding LIP proposals beginning in 2007/08, boroughs should continue to identify and include a list of PIs and surveys that will be used to support a submission for funding as part of the 'Comments' section of the Baseline Submission form (see section 8).

5.38 Boroughs are reminded that, although causal chains are no longer a submission requirement, they remain a valuable tool in enabling the planning and communication of a monitoring regime. TfL continues to reserve the right to review the details of a monitored scheme, including the data and/or supporting material, such as causal chains.

5.39 TfL is developing mechanisms to exchange monitoring data through the Boroughs Extranet. The intention is to develop a database of the results of monitoring and for this to be populated by boroughs submitting their monitoring reports directly into that database. **Consultation and piloting on this project will commence shortly.** The intention is to make it easier for boroughs to submit monitoring reports, and to facilitate the sharing of information to propagate lessons learned and best practice.

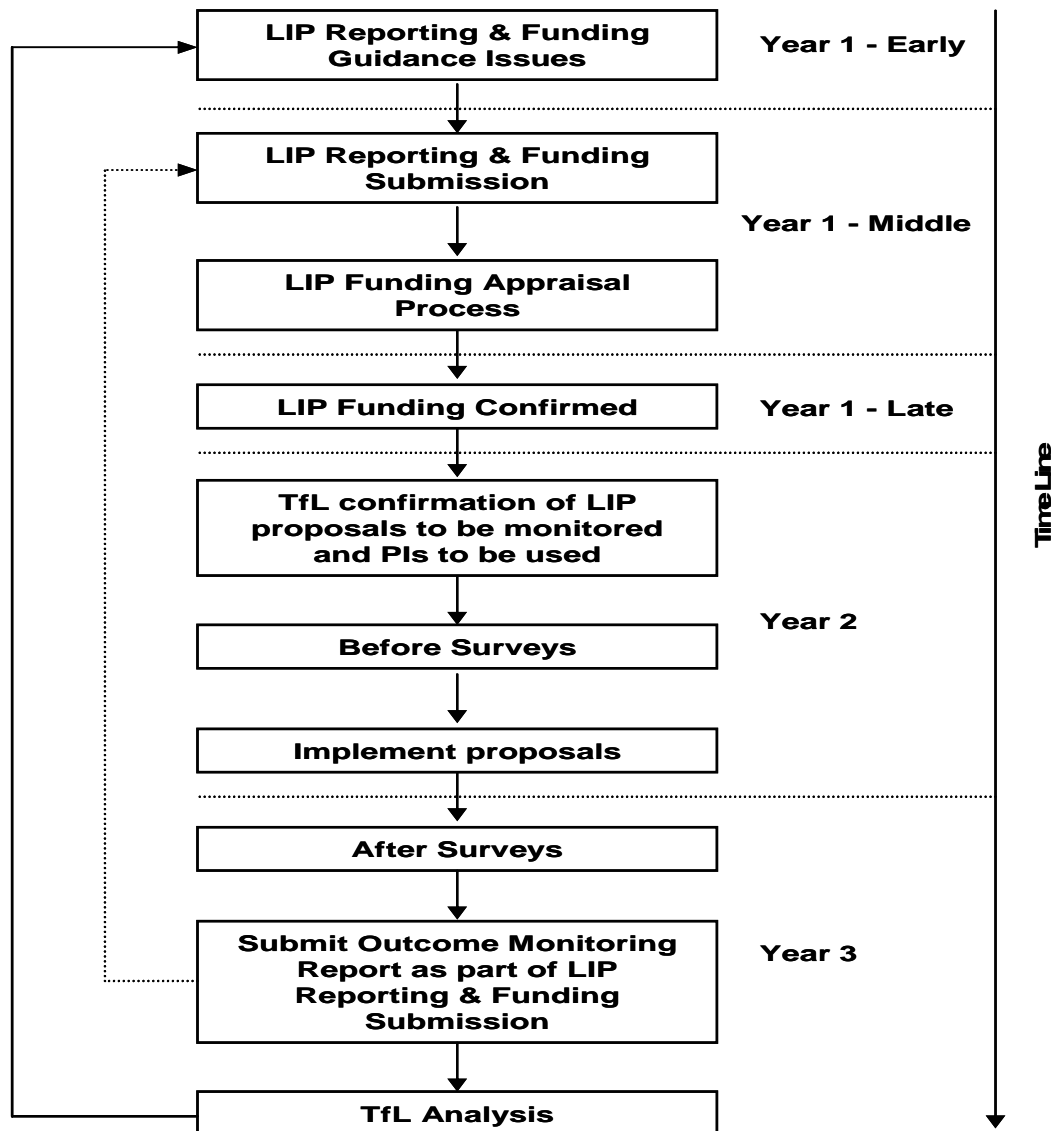
5.40 Boroughs should propose 5 projects for monitoring from each programme area covered by this monitoring regime, and that the performance indicators should follow current guidance on selecting these, and should directly reflect progress made to deliver the MTS, its 14 targets, and the five cross-cutting goals. Each TfL programme manager will select up to three from these schemes for monitoring.

Table 8: Summary of Outcome Monitoring requirements

Year of Delivery	Causal Chain Analysis	Schemes to be monitored	Submission of Scorecard & Summary Report
2004/05	Not required	TfL informed boroughs in 2004	Submitted with BSP submission in 2005 or 2007.
2005/06	Was required/ submitted with summer 2005 submission	TfL informed boroughs in 2005	Required as part of summer 2007 or 2008 submission

Year of Delivery	Causal Chain Analysis	Schemes to be monitored	Submission of Scorecard & Summary Report
2006/07	No longer required.	Boroughs to submit maximum choice of 5 from which TfL will fund 3 in 2006	Required as part of summer 2007 submission
2007/08	No longer required.	Boroughs to identify maximum choice of 5 from which TfL will fund 3 as part 2006 submission for 2007/08 application	Required as part of summer 2008 submission

Figure B – Outcome Monitoring Process



6 CONTACTS

TfL Programme Managers

6.1 Boroughs should contact Programme Managers (Table 10) with questions about the programmes and specific programme information required in the submission.

TfL Borough Funding

6.2 Boroughs should contact the Borough Funding team (Table 9) of Borough Partnerships with questions about:

- Completing Baseline Submission Forms
- Questions on the LIP Reporting and Funding Submission process and aspects of this guidance, excepting section 7.

Borough Funding can also be contacted at BSP@TfL.gov.uk

Table 9 - Borough Funding Contacts

LIP roles	Contact name	Email	Telephone
Head of Group Borough Funding	Mark Bennett	MarkBennett@tfl.gov.uk	0207126 4915
Head of LIPs and BSP	Kate Holgate	KateHolgate@tfl.gov.uk	0207126 4394
Accounting Manager	Stephen Mayers	StephenMayers@tfl.gov.uk	0207126 4595
BSP Assistant Manager	Giovanni Nacci	GiovanniNacci@tfl.gov.uk	0207126 4045
Accounts, Financial Analysis & Reporting	Anthony Clark	AnthonyClark@tfl.gov.uk	0207126 4866

Table 10 - TfL Transport Programme Contacts

TRANSPORT PROGRAMME	CODE	TfL CONTACT		
		Name	Email	Telephone
Principal Road Renewal	RO	Duro Basic	DuroBasic@streetmanagement.org.uk	0207126 1294
Bridge Assessment & Strengthening	BR	Duro Basic	DuroBasic@streetmanagement.org.uk	0207126 1294
Local Safety Schemes	LSS	Chris Feltham	ChrisFeltham@streetmanagement.org.uk	0207027 9086
20mph Zones	ZO	Chris Feltham	ChrisFeltham@streetmanagement.org.uk	0207027 9086
Education, Training & Publicity	ETP	Chris Feltham	ChrisFeltham@streetmanagement.org.uk	0207027 9086
Walking	W	Adrian Bell	AdrianBell@tfl.gov.uk	0207126 1539
Cycling - LCN+	LCN+	Peter Treadgold	PeterTreadgold@tfl.gov.uk	0207027 9273
Cycling - Non – LCN+	CS	Peter Treadgold	PeterTreadgold@tfl.gov.uk	0207027 9273
Bus Stop Accessibility	BSA	Scott Lester	ScottLester@streetmanagement.org.uk	0207027 9431
Bus Priority	BP	Scott Lester	ScottLester@streetmanagement.org.uk	0207027 9431
Town Centres	TC	Bob Bruty	Robertbruty@tfl.gov.uk	0207126 4594
Streets-for-People	SP	Bob Bruty	Robertbruty@tfl.gov.uk	0207126 4594
Station Access	SA	Bob Bruty	Robertbruty@tfl.gov.uk	0207126 4594

TRANSPORT PROGRAMME	CODE	TfL CONTACT		
		Name	Email	Telephone
School Travel Plans	STP	Emma Sheridan	EmmaSheridan@tfl.gov.uk	0207027 2938
Work Travel Plans	WTP	Conrad Haigh	conradhaigh@tfl.gov.uk	0207918 2929
Travel Awareness	TA	Patrick Allcorn	PatrickAllcorn@tfl.gov.uk	0207918 2921
Freight	FS	Tom Mansfield	TomMansfield@tfl.gov.uk	0207126 4758
Regeneration Area Schemes	RP	Tom Mansfield	TomMansfield@tfl.gov.uk	0207126 4758
Environment	ENV	Tom Mansfield	TomMansfield@tfl.gov.uk	0207126 4758
Controlled Parking Zones	PC	Tom Mansfield	TomMansfield@tfl.gov.uk	0207126 4758
Accessibility	AS	Tom Mansfield	TomMansfield@tfl.gov.uk	0207126 4758
Traffic Signals	TTS	Greg Ulph	GregUlph@streetmanagement.org.uk	0207126 2351
Parallel Initiatives	PI	Mark Allan	MarkAllan@streetmanagement.org.uk	0207126 1034
Other Contacts				
Targets and Performance Indicators	-	Amanda Hopkins	amandahopkins@tfl.gov.uk	0207126 4210
Business Cases	-	Arnold Cohen	arnoldcohen@tfl.gov.uk	0207126 4135
North Circular Road (NCR)	-	Robert Frost	robertfrost@streetmanagement.org.uk	0208282 6409
TfL Logo matters		Kristel O'Rourke	kristelorourke@tfl.gov.uk	0207126 4456
TLRN Spending Plan (TSP)		John Cryer	johncryer@streetmanagement.org.uk	0207126 1019
TfL – Boroughs Joined Up Working Group		Keith Ollier	keithollier@streetmanagement.org.uk	0207654 3772

7 TRANSPORT PROGRAMME GUIDANCE

7.1 INTRODUCTION

- 7.1.1 The purpose of this section is to outline criteria specific to each transport programme information requirements and any additional requirements for 2007/08 LIP Reporting and Funding submissions.
- 7.1.2 Transport programmes with similar characteristics have been grouped into 3 themes, these are:
- Routes & Corridors
 - Places & Spaces
 - Sustainability

This is a new way of grouping the programmes and may form the basis for future budget groupings.

- 7.1.3 The structure of this section is shown below:

7.2 ROUTES & CORRIDORS

PRINCIPAL ROAD RENEWAL (RO)
BUS STOP ACCESSIBILITY (BSA)
LOCAL BUS PRIORITY MEASURES (BP)
PARALLEL INITIATIVES (PI)

7.3 PLACES & SPACES

BRIDGE STRENGTHENING & ASSESSMENT (BR)
ROAD SAFETY (LSS, ZO & ETP)
AREA BASED SCHEMES (TC, SfP & SA)

7.4 SUSTAINABILITY

WALKING (W) & CYCLING (CS / LCN+)
FREIGHT (FS)
REGENERATION AREA SCHEMES (RP)
ENVIRONMENT (ENV)
CONTROLLED PARKING ZONES (PC)
ACCESSIBILITY (AS)
TRAVEL DEMAND MANAGEMENT (STP, WTP & TA)
COMMUNITY TRANSPORT (CT)

7.2 ROUTES & CORRIDORS

Principal Road Renewal (RO)

Background

- 7.2.1 TfL Street Management is allocating principal road renewal funding to London boroughs in accordance with the length of carriageway with a UKPMS condition indicator of 70 and over, and some 50-70, on the basis of the annual Road 2000 DVI surveys (i.e. in the case of the 2006/07 proposals, it will be based on the 2005 survey). TfL is also funding the cost of these surveys. Footway condition data is also being collected. Proposals for associated footway works will be considered and non-associated footway works where the footway is in

a high foot fall area (Prestige Walking Zone) and in poorest condition (20+). Proposals for London wide data collection of the condition of the PR carriageway, footway and assets funding should be applied for within the appropriate lead authority package. Although Government will require the indicator to be reported using SCANNER, TfL will continue to utilise DVI data until there is clear correlation between the two data sets. Boroughs are encouraged to carefully consider introducing properties in their proposals for principal road renewal.

- 7.2.2 The driver of the programme is in the Mayor's Transport Strategy. The objective is to clear the backlog of roads in condition index of 70 and over by April 2011 and prevent 50-70 condition roads from entering the 70+ condition in this period. Lower noise road surfaces (e.g. Stone Mastic Asphalt - SMA) should be used wherever practicable.

Appraisal of Submission

- 7.2.3 Initially a total allocation will be arrived at for each borough on the basis of length of road in the above condition categories. Subsequently, the allocation total will be matched to the prioritised list of proposals included in the submission based upon condition (70 and over, 50-70).

Format of Submission

- 7.2.4 Funding applications for proposals which are in a borough's LIP must be made via "Baseline Submission Form (RO)". Boroughs must also ensure that such proposals are cross referenced with the relevant LIP Form 1 (or other appropriate reference) contained in their LIP.
- 7.2.5 Boroughs should use the relevant Baseline Submission Form distributed with this Guidance and also available on the Boroughs Extranet. Please refer to section 8 for full details on how to complete the form.

Bus Stop Accessibility (BSA)

Appraisal of Submission

- 7.2.6 In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the 'Element' section of the Baseline Submission Form):
- Implementing measures at stops in areas where there are disproportionately high numbers of people with mobility difficulties e.g. in the vicinity of hospitals and health centres
 - Frequency of buses and number of routes served by a stop
 - Completion of bus stops on a route where certain stops have already been treated (e.g. already undertaken at some stops as part of an area-based proposal or in an adjoining borough)
 - Identified problems (e.g. where operators are having problems pulling busses close to the kerb).

- 7.2.7 Proposals should generally conform to the new design standards issued by TfL, “Accessible Bus Stop Guidance, January 2006”, available on the Boroughs Extranet.
- 7.2.8 London’s buses are now fully accessible. However, low floor accessible buses will not give full benefit to all passengers unless they are able to pull up close to the kerb at an appropriate height and the bus stop is clear of other vehicles. Unless the bus can pull up close to the kerb (within 200mm), other improvements such as kerb height adjustments can prove worthless. It should be noted that bus bays should be filled in unless it is unsafe.
- 7.2.9 In 2006, TfL will commence a London-wide accessibility audit of all bus stops to assess the scope of work remaining and support the development of future work programmes. Boroughs will be advised on timescales of audits; for further information please contact Scott Lester (ScottLester@streetmanagement.org.uk , 020 7027 9431).

Format of Submission

- 7.2.10 Funding application for proposals which are in a borough’s LIP must be made via “Baseline Submission Form (General)”. Boroughs must also ensure that such proposals are cross referenced with the relevant LIP Form 1 (or other appropriate reference) contained in their LIP.
- 7.2.11 Where appropriate, and if found to be useful to a borough, submissions of funding applications totalling up to, or equal to, a total value of £25,000 may be aggregated. Where this facility is used boroughs will still need to submit the following information:
- The name
 - The type of proposal, e.g. the type of bus stop accessibility works to be undertaken
 - The location where the proposal is intended to be implemented
 - Programming information e.g. completion of the mini-Gantt chart in the Baseline Submission Form
 - An indication as to the need for, or relevance to links, dependencies, traffic signals, Olympics and TfL Branding as currently found on the Baseline Submission Form.
- 7.2.12 Boroughs should use the relevant Baseline Submission Form distributed with this guidance and also available on the Boroughs Extranet. Please refer to section 8 for full details on how to complete the form.

Local Bus Priority Measures (BP)

Appraisal of Submission

- 7.2.13 In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the ‘Element’ section of the Baseline Submission Form):

- Incomplete/Committed proposals
- New Bus Priority proposals
- Modification of existing proposals
- Town Centre Schemes.

7.2.14 Such proposals must include:

- Traffic management or highway measures that improve reliability and journey times for buses
- Traffic management or highway measures that are essential for the continuing operation and safety of existing bus services.

7.2.15 TfL Bus Priority Team can supply supporting information on 'Hotspot' locations, AVL bus speed data, and bus patronage data. For further information, please contact Tim Melhuish 020 7027 9424.

Format of Submission

7.2.16 Funding application for proposals which are in a borough's LIP must be made via "Baseline Submission Form (General)". Boroughs must also ensure that such proposals are cross referenced with the relevant LIP Form 1 (or other appropriate reference) contained in their LIP.

7.2.17 Boroughs should use the relevant Baseline Submission Form distributed with this guidance and also available on the Boroughs Extranet. Please refer to section 8 for full details on how to complete the form.

7.2.18 Proposals should be listed in priority order. Moreover the elements field in the "Baseline Submission Form (General)" should include, where relevant, the following information:

- List of bus routes effected
- FYRR based on bus passenger benefits for proposal over £50k
- Cost/Benefit Ratio for proposals over £500k
- Identify risk (high, medium, low) in relation to consultation, deliverability and/or technical issues
- Small scale plans showing outline of scheme proposed.

7.2.19 Submissions should be made via LB Bromley including bus priority proposals developed by sub-regional partnerships (see 4.12). Boroughs should submit proposals through the LBPB partnership. For further details, please contact Garnet Woods, LBPB programme co-ordinator (01306 743775).

Parallel Initiatives (PI)

Appraisal of Submission

7.2.20 In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the 'Element' section of the Baseline Submission Form):

- Recognition of need to work with TfL and other boroughs to deliver a joined up and consistent approach to Network Management across London
- Demonstration of holistic, across modes, corridor based approach to development of "A" Roads and busy bus routes. In demonstrating an approach TfL may expect information relating to:
 - Corridor objectives, priorities and balancing road space
 - Nature and scope of associated operational reviews such as waiting / loading review, casualty analysis, congestion review
 - Performance measurement, targets and trajectories
 - Impact on people rather than vehicles
 - Incorporation of public realm
 - Timelines and costs.

Format of Submission

- 7.2.21 Funding application for proposals which are in a borough's LIP must be made via "Baseline Submission Form (General)". Boroughs must also ensure that such proposals are cross referenced with the relevant LIP Form 1 (or other appropriate reference) contained in their LIP.
- 7.2.22 Boroughs should use the relevant Baseline Submission Form distributed with this guidance and also available on the Boroughs Extranet. Please refer to section 8 for full details on how to complete the form. Please contact Mark Allan, the Programme Manager (see Table 10) if necessary.

7.3 PLACES & SPACES

Bridge Strengthening & Assessment (BR)

Background

- 7.3.1 TfL Street Management is fully funding bridge assessments. Funding will be ring-fenced for interim measures and will be allocated throughout the year on a needs basis. Allocation for strengthening is based on the LoBEG prioritisation system and covers all borough structures and Network Rail structures carrying highways. In the case of Network Rail owned structures, assessment funding is fully met and strengthening is funded on the basis of the appropriate cost sharing scenario guidelines. Commitment will be given to funding in future years for qualifying proposals and those where construction is underway spanning more than one financial year. TfL will consider special situations for structural maintenance case by case to ensure continued operation of London's main road network.
- 7.3.2 The driver of the programme is in the Mayor's Transport Strategy. The aim is to ensure that London's road network remains fully operational.
- 7.3.3 Surveys of the condition of structures carrying principal roads are being carried out in partnership with LoTAG/LoBEG and funded by TfL. Request for funding for London-wide collection of bridge condition

index data should be sought within the appropriate lead authority package.

Appraisal of Submission

- 7.3.4 Priority will be given to committed proposals, assessments and interim measures. Boroughs should ensure that individual prioritisation reflects local needs but also take into account the London wide prioritisation. Special cases will be considered on their own merits.

Format of Submission

- 7.3.5 Funding application for proposals which are in a borough's LIP must be made via "Baseline Submission Form (BR1)" and "Baseline Submission Form (BR2)". Boroughs must also ensure that such proposals are cross referenced with the relevant LIP Form 1 (or other appropriate reference) contained in their LIP.
- 7.3.6 Boroughs should use the relevant Baseline Submission Form distributed with this guidance and also available on the Boroughs Extranet. Please refer to section 8 for full details on how to complete the form.

Road safety (LSS, ZO & ETP)

Appraisal of Submission

- 7.3.7 As part of their LIP, every borough will have prepared a local Road Safety Plan. The areas of greatest priority in terms of casualty reduction include proposals that address the following issues:
- Reduction in number and severity of casualties to children and vulnerable road users
 - Reduction in number and severity of casualties in deprived areas
 - Reduction in excessive and inappropriate speeds.
- 7.3.8 The LIP process can only fund local safety proposals (LSS) and 20mph zones (ZO) that can clearly demonstrate safety benefits. Local Safety Schemes will generally be targeted at sites with a poor safety record and therefore have a good rate of return. 20mph zones commonly have additional modal shift, road traffic reduction and environmental benefits e.g.:
- Noise reduction
 - Air quality improvement
 - Long-term health benefits
 - Creation of a generally more attractive environment for pedestrians and cyclists.
- 7.3.9 TfL will use first year rate of return (FYRR) as an initial guide to prioritising local safety and 20mph proposals, before taking into account other environmental factors. Proposals containing traffic signals will require additional information, (see 2.78 - 2.80).

- 7.3.10 Boroughs are recommended to seek guidance on treatment selection for local safety schemes and measuring their effectiveness from publications such as:
- A Road Safety Good Practice Guide (DTLR, 2001).
 - Road Safety Engineering Manual (RoSPA).
 - Road Safety in London Reference Guide (pan-London Road Safety Forum, 2002).
- 7.3.11 Education, Training & Publicity (ETP) proposals must be local initiatives dealing with local problems and part of the Borough Safety Plan. Submissions should make reference to the borough LIP and take into account how the local initiatives fit in with TfL and National Programmes. Programmes with long-term benefits, such as school programmes etc. are encouraged. Where boroughs can work together to achieve common goals, joint-funding applications will be considered favourably.

Format of Submission

- 7.3.12 Funding application for proposals which are in a borough LIP must be made via “Baseline Submission Form (Safety)” and “Baseline Submission Form (ETP)”. Boroughs must also ensure that such proposals are cross referenced with the relevant LIP Form 1 (or other appropriate reference) contained in their LIP.
- 7.3.13 Boroughs should use the relevant Baseline Submission Form distributed with this guidance and also available on the Boroughs Extranet. Please refer to section 8 for full details on how to complete the form.

Area Based Schemes (TC, SfP & SA)

Background

- 7.3.14 The Area Based Schemes (ABS) programme includes the following:
- Town Centres (TC)
 - Streets for People (SfP)
 - Station Access (SA).
- 7.3.15 The ABS funding application is based on a 3-Step process (Table 11):

Table 11 – Area Based Schemes Step Process

Step 1 - Justification:	<ul style="list-style-type: none"> • Step one pro-forma-based submission made • Need for investment assessed by TfL.
Step 2 - Development:	<ul style="list-style-type: none"> • Proposal development funds awarded by TfL if proposal approved • Further detailed and comprehensive application developed and submitted to TfL • Proposal assessed by TfL
Step 3 - Implementation:	<ul style="list-style-type: none"> • If TfL approves proposal, full funding released for implementation

	<ul style="list-style-type: none"> • TfL allocate funding for the duration of proposal implementation, so no further proposal application required in subsequent years • Proposal delivery starts, no further design work needed.
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7.3.16 Individual Step 1 applications can be submitted throughout the year. If such applications are unsuccessful, they can be resubmitted the following year. In all cases new funding will be announced alongside the provisional allocations for LIP proposals.

7.3.17 “Guidance for submission of Area Based Schemes, February 2005” provides full information on the ABS step-based application process. This guidance and supporting forms can be found on the Boroughs Extranet. Step 1 Submissions for New Area Based Scheme should be sent to Bob Bruty (RobertBruty@tfl.gov.uk , 0207 126 4594) or Area Schemes Programme Manager, Borough Partnerships, 10th Floor, Windsor House, 42-50 Victoria Street, London SW1H 0TL

7.3.18 This guidance is regularly reviewed by a working group that includes representatives from the boroughs and the ALG. As needed, new versions will be produced and circulated. Boroughs and Partnerships are advised to check the Boroughs Extranet to ensure they are referring to the latest document (under Guidance, Legislation and Policies / Borough Spending Plans / Supporting Information).

7.4 SUSTAINABILITY

Walking (W) & Cycling (CS / LCN+)

Appraisal of Submission

7.4.1 Note that W, CS and LCN+ are still separate programmes with separate budgets, funding applications should only be submitted under the programme where it is likely to produce the most benefits.

7.4.2 Priority will be given to proposals which contribute towards the delivery of the Walking Plan objectives for walking proposals and the London Cycling Action Plan (LCAP) objectives for cycling proposals. In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the ‘Element’ section of the Baseline Submission Form):

- Physical improvements to tackle barriers to cycle/walking, improvements to the cycling/walking environment and provision of essential facilities. The use of street audit tools will be an important element in considering acceptability of proposals
- Proposals to improve the public perception of walking/cycling as a transport option through provision of skills to children or people with mobility impairments and new or inexperienced cyclists

- Increase walking/cycling trips and their length. Creating viable opportunities to walk/cycle in preference to other modes, especially short car trips
 - Proposals aimed at improving route-finding
 - Proposals which address known crime or fear of crime in walking environments including lighting and natural surveillance/line of sight (but normally excluding CCTV).
 - Development of Green Cycle Corridors in all parks and along all waterways - see note circulated to boroughs in September 2005
 - Enhancements to linkages and promotion of usage of the London Strategic Walks network and London Cycle Network +.
- 7.4.3 In the proposal 'Elements' section of the Baseline Submission Form boroughs should also note the benefits & disbenefits and problems addressed, for instance:
- How many people would be affected, and how often
 - Describe/quantify the typical impact on the individual
 - Describe/quantify impacts positive/negative on others/other programmes.
- 7.4.4 Funding for school cycle parking should be sought from the School Travel Plans (STP) programme.
- Format of Submission**
- 7.4.5 Funding application for proposals which are in a borough LIP must be made via "Baseline Submission Form (General)". Boroughs must also ensure that such proposals are cross referenced with the relevant LIP Form 1 (or other appropriate reference) contained in their LIP.
- 7.4.6 For applications for funding cycle racks, and if found to be useful to a borough, submissions of funding applications totalling up to, or equal to, a total value of £25,000 may be aggregated. Where this facility is used boroughs will still need to submit the following information:
- The name
 - The type of proposal e.g. the type of bus stop accessibility works to be undertaken
 - The location where the proposal is intended to be implemented
 - Programming information e.g. completion of the mini Gantt chart in the Baseline Submission Form
 - An indication as to the need for, or relevance to links, dependencies, traffic signals, Olympics and TfL Branding as currently found on the Baseline Submission Form.
- 7.4.7 Boroughs should use the relevant Baseline Submission Form distributed with this guidance and also available on the Boroughs Extranet. Please refer to section 8 for full details on how to complete the form.

- 7.4.8 In the design field, boroughs should ensure that they have adhered to the London Cycling Design Standards (2005) for appropriate proposals.

Freight (FS)

Appraisal of Submission

- 7.4.9 In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the 'Element' section of the Baseline Submission Form):
- Town Centre and High Street locations
 - Sub-regional consideration and collaboration
 - Strategic locations where freight and servicing issues are predominant
 - Freight Quality Partnerships
 - Review of parking and loading controls on borough roads
 - Night time delivery trials
 - Local rail freight hubs and local road freight consolidation
 - Increased use of waterways, rivers and wharfs for the distribution and delivery of freight
 - Removal of through goods traffic from residential roads.
- 7.4.10 Appraisal criteria also includes:
- Reduction in the adverse environmental impact of servicing
 - Multi modal content and consideration
 - More efficient and reliable freight distribution and servicing
 - Traders' perception / satisfaction with servicing facilities.
- 7.4.11 Further information on the above and other initiatives can be found on the Freight Toolkit on the Boroughs Extranet.

Format of Submission

- 7.4.12 Funding application for proposals which are in a borough LIP must be made via "Baseline Submission Form (General)". Boroughs must also ensure that the forms for such proposals are cross referenced and completed as set out in 7.4.5 and 7.4.7.
- 7.4.13 Funding applications for Freight Quality Partnerships (FQPs) should be made through the lead borough of the sub-regional FQP.

Regeneration Area Schemes (RP)

Appraisal of Submission

- 7.4.14 In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the 'Element' section of the Baseline Submission Form):
- Identified regeneration, opportunity or intensification areas, and strategic employment locations within the London Plan

- LID (London Index of Deprivation)
- Clear statement of aims
- Clearly identified objectives, benefits
- Close linkages with wider regeneration proposals
- Demonstration of partnership working
- Innovation
- Appropriate outcome monitoring mechanisms
- The degree to which TfL funds and lever in money otherwise not available.

7.4.15 The London Plan sets out the approach within areas that are defined as Opportunity areas, areas for Intensification and areas for Regeneration. Although these will be the primary focus of available funds, consideration will be given to smaller proposals in other parts of London where there are clear job creation opportunities.

Format of Submission

7.4.16 Funding application for proposals which are in a borough LIP must be made via “Baseline Submission Form (General)”. Boroughs must also ensure that the forms for such proposals are cross referenced and completed as set out in 7.4.5 and 7.4.7.

Environment (ENV)

Appraisal of Submissions

7.4.17 In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the ‘Element’ section of the Baseline Submission Form):

- Existing air quality, noise, biodiversity and other environmental conditions in an area
- Responsiveness to Mayoral objectives as expressed in the Strategies
- Clear statement of proposal objectives, expected benefits, monitoring mechanisms and measures of success
- Partnership working and community engagement
- Innovative or pilot proposals
- Strategic approaches
- Possibility of other funding sources
- Linkages across programme areas
- New or revised Fuel, Energy Efficiency and/or Waste Management proposals (e.g. Energy Action Area pilot proposals)
- Reference to LIPs Strategies and/or delivery proposals.

7.4.18 A London wide Low Emission Zone (LEZ) is being progressed. Any proposals from individual boroughs should be consistent with LEZ proposals and timetables. Further information can be found on www.tfl.gov.uk/tfl/low-emission-zone.

- 7.4.19 Noise reduction initiatives should derive mainly from the Mayor's Ambient Noise Strategy (Chapter 4A, but also paragraphs 4E.24 and 4F.23-27) and UK implementation of Environmental Noise Directive 2002/49/EC.
- 7.4.20 Special priority will be given to innovative or pilot proposals which may develop cost-effective approaches for wider implementation (e.g. pilot Energy Action Areas). Moreover combined proposals covering a range of environmental strategy areas will also be favoured.
- 7.4.21 Partnership working will normally be important in implementing environmental initiatives. A co-ordinated approach involving the boroughs, TfL and GLA will often maximise potential. Joint projects with other agencies and partnerships in the environmental field will be welcomed. Boroughs may develop partnership proposals with local charitable or trust organisations where benefits can be demonstrated.

Format of Submission

- 7.4.22 Funding application for proposals which are in a borough LIP must be made via "Baseline Submission Form (General)". Boroughs must also ensure that the forms for such proposals are cross referenced and completed as set out in 7.4.5 and 7.4.7.

Controlled Parking Zones (PC)

Appraisal of Submission

- 7.4.23 Proposed locations will be considered in the following priority order:
- Outer London town centres
 - Around stations where parking pressures and conflicts can be shown to be acute
 - Inner London.
- 7.4.24 Proposal types will be considered in the following priority order:
- New proposals and innovative ideas
 - Extended proposals
 - Provision of motor cycle parking bays.
- 7.4.25 It is generally expected that CPZs will generate revenue which may then be used to extend a parking zone or create a new one. If this cannot be done and further funding is sought through the LIP process, details of how the current surplus is used must be provided. Financial need has to be demonstrated. Priority will be given to boroughs that do not have an established surplus on their Parking Account for the last two years. Support will also be given to qualifying boroughs already allocating internal funds to parking proposals where possible.
- 7.4.26 In creating, reviewing, or modifying a CPZ, boroughs should allow for the future provision of car club parking, where feasible. Innovative proposals will be considered, particularly where beneficial to people

with disabilities or where they introduce new methods for reducing congestion, or to improve local safety.

- 7.4.27 Community involvement will be a central factor in the progress and funding of the proposal. Boroughs will need to show that comprehensive consultation has been successfully undertaken. Funding for proposals will be allocated in stages. Implementation costs following detailed designs, local consultation and approval by the authority must be clearly indicated.

Format of Submission

- 7.4.28 Funding application for proposals which are in a borough LIP must be made via “Baseline Submission Form (General)”. Boroughs must also ensure that the forms for such proposals are cross referenced and completed as set out in 7.4.5 and 7.4.7.

Accessibility (AS)

Appraisal of Submissions

- 7.4.29 In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the ‘Element’ section of the Baseline Submission Form):
- Priority will be given to locations on main pedestrian routes, facilities/amenities and inclusive access to public buildings or meeting BV165
 - Priority will be given to proposals benefiting larger numbers of people, and innovative or pilot proposals which may produce knowledge and/or practices that can be disseminated more widely are also welcome
 - Promotes personal accessibility proposals e.g. Shopmobility, Scootability or similar.
 - Consultation / Involvement of the local community and organisations representing older and disabled people
 - Monitoring the effectiveness of proposals in meeting identified objectives.
- 7.4.30 Maintenance and management of the street is as important as proposal design and boroughs should be able to demonstrate that they will be able to maintain any investment in improving the accessibility of the street environment.
- 7.4.31 **The Accessibility Programme will shortly be reviewed by a working group with representatives from boroughs and the ALG.** The objective will be to produce new arrangements that would allow boroughs to make a submission at any time and will enable funding to be made available over a longer term. It will be taken forward in a similar way to the Area Based Schemes STEP approach.

Format of Submission

- 7.4.32 Funding application for proposals which are in a borough LIP must be made via “Baseline Submission Form (General)”. Boroughs must also ensure that the forms for such proposals are cross referenced and completed as set out in 7.4.5 and 7.4.7.

Travel demand management (STP, WTP & TA)

- 7.4.33 The following programme sections describe programme specific features or requirements. In addition, TfL will accept proposals, from either boroughs or partnerships, for existing or agreed posts supporting the development of one or more travel demand management programmes. These proposals should be included in the programme submission that approved the post/s. For further information, please contact Patrick Allcorn (PatrickAllcorn@tfl.gov.uk 0207 918 2921).

School Travel Plans (STP)

- 7.4.34 Unless instructed otherwise by the Regional School Travel Adviser, boroughs should prepare an update to their STP strategy to accompany the submission. In the absence of an update, a report on progress / additions and amendments to the STP strategy is likely to be required. An adequate STP strategy is a pre-condition for bringing STP proposals forward. In addition, school travel plans should be monitored using iTRACE, unless otherwise agreed.

Appraisal of Submission

- 7.4.35 Funding will only be available for the development, implementation and monitoring of STPs. The criteria for approval of an STP can be found in “Travelling to School: A Good Practice Guide”. TfL will give priority to, and will wish to receive information in relation to, the following (entered in the ‘Element’ section of the Baseline Submission Form):
- Improvement to local transport, walking and cycling networks
 - Improvement to safety and personal security
 - Improve access to schools for those without a car
 - Improve attractiveness of alternatives to the car.

Format of Submission

- 7.4.36 Funding application for proposals which are in a borough’s LIP must be made via “Baseline Submission Form (General)”. Boroughs must also ensure that the forms for such proposals are cross referenced and completed as set out in 7.4.5 and 7.4.7.

Work Travel Plans (WTP)**Appraisal of Submission**

- 7.4.37 In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the ‘Element’ section of the Baseline Submission Form):

- Increase the awareness of travel choices for commuting and business travel amongst employers and employees – regionally, sub regionally and locally
- Increase modal shift towards more sustainable methods of transport for commuting and business travel - regionally, sub regionally and locally
- Increase the number of organisations that have written and implemented an effective travel plan across London
- Increase the number of developments where a travel plan is secured through the planning process
- Develop partnerships to enhance delivery of objectives
- Monitoring and evaluation of travel plans using the iTRACE Methodology and software
- Deliver modal shift and a reduction in congestion across London.

7.4.38 Proposals which TfL will consider for funding are:

- Proposals to assist local authorities in promoting travel plans to workplaces including travel plans at Local Authorities
- Creation of travel plan networks and forums.
- Surveys and analysis of surveys at specific sites (if iTRACE compliant)
- Promotional materials and intervention events that have a direct route to delivering Workplace Travel Plans.

7.4.39 Funding for infrastructure at sites, including Local Authority buildings, is generally the responsibility of the employer. TfL will consider proposals that provide incentives to businesses to promote travel planning, where this funding is provided on a match-funding basis and where there is no other specific budget under which the money could be requested.

Format of Submission

7.4.40 Funding application for proposals which are in a borough's LIP must be made via "Baseline Submission Form (General)". Boroughs must also ensure that the forms for such proposals are cross referenced and completed as set out in 7.4.5 and 7.4.7.

Travel Awareness (TA)

Appraisal of Submission

7.4.41 In determining which proposals are supported, TfL will give priority to and will wish to receive information in relation to the following (information should be entered in the 'Element' section of the Baseline Submission Form):

- Raise public awareness and encourage use of alternative modes to single occupancy car trips
- Raise public awareness of benefits and disbenefits of different modes of transport in London
- Raise brand awareness as outlined in the TfL strategy

- Create combined messages and events with relevant partners locally and regionally
- Show an overall package approach to travel awareness, not treating each event in isolation
- Monitor the effectiveness of the campaigns locally and regionally.

7.4.42 Proposals which TfL will consider for funding are:

- Events such as Walk on Wednesdays / Walk to school, Bike Week, 'Good Going' Week (this includes European Mobility week and In Town without My Car Day (ITWMC) day), local events as part of the Good Going calendar
- Campaigns such as poster campaigns for billboards, buses, and other mass markets, press releases, advertising for radio, cinema and TV, and other mass media advertising
- Events and/or other activities which will make use of the occasion of the Tour de France visiting London in July 2007, to highlight cycling as a suitable mode of transport in London.

7.4.43 TfL will not release funding if the event/materials:

- Do not carry Good Going branding
- Is not shown in the Good Going Calendar co-ordinated by the lead borough
- Materials used and a report on the event have not been submitted to TfL

Format of Submission

7.4.44 Funding application for proposals which are in a borough LIP must be made via "Baseline Submission Form (General)". Boroughs must also ensure that the forms for such proposals are cross referenced and completed as set out in 7.4.5 and 7.4.7.

Community Transport (CT)

Appraisal of Submission

7.4.45 Should boroughs wish to apply for a Community Transport related proposal, please contact Giovanni Nacci (see **Table 9**) in the first instance to discuss the type of proposal. **It is hoped that more information relating to TfL priorities and information requirements can be distributed by the end of April 2006.**

8. FORM COMPLETION GUIDANCE

8.1 INTRODUCTION

8.1.1 This section provides guidance on how to complete LIP Funding & Reporting submission forms:

- Baseline Submission Forms
- LIP Target Proformas
- Bimonthly Reporting Forms
- Business Case Summary

Changes to the forms for 2007/08

8.1.2 Boroughs requesting funding for proposals which appear in their LIP will need to complete a set of “Baseline Submission Forms (General)” which combine elements of the SIMPLA form, Finance Form F2 and Baseline Programme Form. Some Bid Support forms, now renamed as Baseline Submission Forms are still required for some programmes. Finance form F3 has been improved. Finance form F2 is no longer required.

8.1.3 As in previous years, funding applications for proposals costing over £2m need to be accompanied by a Business Case Summary form, whether or not TfL is funding the full amount.

8.1.4 Boroughs requesting funding for proposals which **do not** appear in their LIP should discuss the requirement in first instance with Mark Bennett (Head of Borough Funding) or Kate Holgate (Head of LIPs and BSP). If support to proceed is obtained, submission will be via the same Baseline Submission Form used for LIP proposals but additional contextual information will be needed regarding how the proposal will contribute to implementing the MTS, address the Mayor’s priorities and contribute to the Mayor’s statutory targets.

Support & Assistance

8.1.5 For assistance on how to complete the new “Baseline Submission Forms (General)” please email BSP@tfl.gov.uk or contact Giovanni Nacci, details in **Table 9**.

8.1.6 Queries about Baseline Submission Form RO, BR1, BR2, Safety, ETP and BSA should be directed to the relevant Programme Manager, whilst queries regarding Business Case Summary forms should be directed to Arnold Cohen, details in **Table 10**.

8.1.7 Borough Funding is willing to provide hands-on training on how to complete forms. Boroughs wishing to receive training can contact BSP@tfl.gov.uk or Giovanni Nacci, details in **Table 9**.

8.1.8 All forms are also available on the Boroughs Extranet, including Business Case Summary forms and relevant guidance material.

8.2 BASELINE SUBMISSION FORMS

Introduction

- 8.2.1 There are 7 types of Baseline Submission Forms, these are:
- Baseline Submission Form (General)
 - Baseline Submission Form (RO)
 - Baseline Submission Form (BR1)
 - Baseline Submission Form (BR2)
 - Baseline Submission Form (Safety)
 - Baseline Submission Form (ETP)
- 8.2.2 Baseline Submission Form RO, BR1, BR2, Safety and ETP are what used to be called Bid Support forms, whilst the Baseline Submission Form (General) replaces the SIMPLA forms and Finance Form F2 for all those proposals which appear in a borough's LIP.
- 8.2.3 It is strongly recommended that boroughs rank the proposals contained on each Baseline Submission Form in order of priority. This will help significantly TfL Programme Managers in assessing the applications for funding. This is a new suggestion included as a result of comments received during consultation on this LIP Reporting and Funding Submission Guidance.

Validation of data entry

- 8.2.4 All amounts of money must be entered in thousands of pounds. For example, enter £300,000 as 300 or £500 as 0.5.
- 8.2.5 Fields that require borough input are shaded in light yellow. Users may also be presented with drop-down boxes containing closed end lists of allowable values. Once the required field has been completed, the shading will turn to white. Dark and light blue cells denote headings or automatically calculated fields. Grey cells are empty and require no filling.

Baseline Submission Form (General)

- 8.2.6 Boroughs wishing to apply for funding for proposals contained in their LIP should use this form. Please note that only one form for each transport programme is required, i.e. all walking proposals should be reported on the same form, whilst all cycling proposals should all be on a separate form.
- 7.2.23 When applying for funding for Bus Stop Accessibility and Cycle Racks, boroughs can aggregate similar proposals, resulting in a total submission value of less than, or equal to £25,000 into a single proposal. In such cases, the only information required is:
- The name
 - The type of proposal e.g. the type of bus stop accessibility works to be undertaken
 - The location where the proposal is intended to be implemented

- Programming information e.g. completion of the mini Gantt chart in the Baseline Submission Form
- An indication as to the need for, or relevance to links, dependencies, traffic signals, Olympics and TfL Branding as currently found on the Baseline Submission Form.

8.2.7 Where a partnership is applying for a proposal to be delivered by that partnership, the proposal should be submitted using a Baseline Submission Form in the same way as applications for funding borough LIP proposals, but the submission should be made by the lead borough for that partnership and be appropriately marked with the Partnerships cell in the Baseline Submission Form.

8.2.8 Table 12 is a guide to facilitate estimation of traffic signal costs. Please note that these are budgetary estimates only which include signal equipment, installation and staff time costs. They do not include any associated civil engineering works necessary to install the scheme or the maintenance costs. These costs will be reviewed upon completion of detailed signal design.

Table 12 - Traffic Signals Ready-Reckoner

Type of Signal	Cost (£)
New Signal Installation	45,000
Major modification to existing junction (including temporary signals)	50,000
Minor modification to existing junction	20,000
Pelican/Toucan	16,000
Puffin	18,000
Timing change that requires a new Eprom	2,000

8.2.9 Baseline Submission Form Field Definitions are set out in **Table 13**.

Table 13 - Baseline Submission Form Field Definitions

Field Definition	Action Required
<i>Authority:</i>	Pre-populated by TfL.
<i>Partnership:</i>	Pre-populated by TfL (where relevant).
<i>Date Submitted:</i>	Enter date you have submitted the form.
<i>Programme:</i>	Pre-populated by TfL.
<i>Borough contacts:</i>	Provide contact details as specified.
<i>Code:</i>	TfL provides starting code. Boroughs will then need to reproduce the relevant code for each proposal.
<i>Name:</i>	Enter proposal's name for which funding is sought.
<i>LIP Form 1 reference number:</i>	Enter LIP Form 1 number (or appropriate other reference) which relates to the proposal for which funding is sought.

Field Definition	Action Required
<i>Road/Street name:</i>	Provide road/street where the proposal is located.
<i>Geocode Easting (X) & Northing (Y):</i>	<p>These fields are to be used to locate site specific proposals. Each field must consist of six numbers. For borough wide proposals or corridor works please enter the borough's centroid. Geocodes can be obtained in one of 3 possible ways:</p> <ul style="list-style-type: none"> • <i>Websites – e.g. www.streetmap.co.uk. Enter post code/street name and convert measures</i> • <i>GIS Mapping tools – e.g. ISIS, MapInfo, ArcInfo</i> • <i>Manual Referencing – e.g. A to Z. Along the edges of the page small numbers can be found relating to the Geocodes.</i>
<i>Geocode Check:</i>	This field is to enable boroughs to quickly check the geocode accuracy and TfL visually identify proposal the location.
<i>Overview:</i>	Provide brief overview of the proposal.
<i>Elements / Proposal Developments:</i>	Provide brief details of what work will the proposal undertake and the information requested from Programme Managers in section 7. For multi-year proposals indicate the priority of each element and the year in which it will be delivered
<i>Design statement:</i>	For all relevant proposals, identify the contact responsible for managing the proposal work and procuring the design and give a brief overview of the design process.
<i>Consultation/Committee Approval Details:</i>	Enter any details of consultation and committee approval.
<i>Aggregation of proposals</i>	Specify whether this proposal is an aggregation of proposals. If yes, specify how many. Note that aggregations should not be more than £25k.
<i>Links:</i>	The proposal for which funding is sought might provide supplementary benefits to other programmes. If this is the case please choose programme code from the list provided.
<i>Dependencies:</i>	<p>If the delivery of the proposal for which funding is sought is dependant on the completion/funding of another proposal please specify by:</p> <ul style="list-style-type: none"> • Entering the proposal code of the other proposal. This can be the code of an already funded proposal • Describe the nature of the dependency.

Field Definition	Action Required
<i>LIP Funding Application:</i>	Specify whether BSP funding had been previously committed to the proposal and if yes how much. Enter the total amount of funding requested for the proposal over the next three years (2007/08, 2008/09, 2009/10).
<i>Funding Outside TfL's:</i>	Enter the total amount funding for the proposal from any source outside which TfL provides. Indicate whether the funding is: <ul style="list-style-type: none"> • <i>Planned</i> – The borough intends to submit a request for funding, and may have documentation already prepared • <i>Requested</i> – The borough has submitted the request for funding, but at the time of submission has not received confirmation • <i>Approved</i> – The borough has received confirmation that the funding has been approved and will be used.
<i>Year Start/End</i>	Enter the year the proposal is planned to begin and end.
<i>Gantt chart and Spend per Month:</i>	For LIP funding only, indicate the monthly planned programme of works for feasibility/assessment, consultation/interim measures, design and implementation by entering the amount spent in the Gantt chart cells. Cells will automatically shade. "Monthly Spend" estimates the monthly cost of the proposal's activities, "Total Monthly Spend" sums up the monthly estimated cost of all the proposals in the form. "Total per Delivery Stage" gives the total spend per delivery stage. The "Validation" field will check whether the "Total per Delivery Stage" is equal to the amount of funding sought for 2007/08, if this is not so, it will ask to "Check values again".
<i>Borough (for partnership submission only):</i>	Select the borough in which the proposal will take place.
<i>Olympics:</i>	Please specify whether the proposal has a positive, neutral or negative impact on the 2012 Olympics
<i>EIA</i>	Specify whether an EIA will be required. If "yes" specify whether the impact may be negative, neutral or positive.
<i>EQIA:</i>	Specify whether an EQIA will be required. If "yes" specify whether the impact may be negative, neutral or positive.
<i>National Rail:</i>	If the proposal has an interface with NR please

Field Definition	Action Required
	specify. If the answer is “Yes” please enter details of the NR contact and outcome of discussion in the comments’ field.
<i>Business case:</i>	Indicate whether a proposal will cost over £2m and whether it needs a business case summary form to be submitted.
<i>TfL Branding:</i>	Automatically calculated cell, based on conditions set in Table 2.
<i>Outcome Monitored:</i>	Specify whether the proposal will be outcome monitored. If “Yes”, specify in the comments’ field which KPIs will be used.
<i>Traffic signal works:</i>	Specify whether the proposal requires traffic signal works. If yes, then specify as accurate as possible indicative cost (see Table 12), whether the cost is included in the proposal’s cost and whether TfL traffic signals section has been informed.
<i>TMA notification required</i>	If the proposal is likely to impact on the operation of the SRN or TLRN then specify whether TMA notification is required. If not, the next 3 fields are not required.
<i>Physical Works:</i>	Specify if the proposal requires physical works.
<i>TMA Notification approved:</i>	Specify whether a TMA Scheme Notification has been approved by TfL
<i>TMA Works Approved:</i>	Specify whether a works TMA notification to has been submitted to TfL.
<i>Comments:</i>	Use this field to add any additional information that you might think relevant e.g.: <ul style="list-style-type: none"> • Any additional text to support the application • Reference to any supporting material (e.g. plans, maps, photos) • NR contact details • KPIs to be used. • Further relevant contact details

- 8.2.10 Five fields previously in the old Baseline Submission Form have been omitted. The reason being that by the time boroughs can start claiming for 2007/08 proposals, reporting on spend will be Internet based. Nonetheless, TfL will be able to add these fields to the Baseline Submission Form (General) if required. The fields are:
- Current TfL allocation
 - Original TfL allocation
 - Total Projected Spend
 - Proposed allocation
 - Retained amount

Baseline Submission Form (RO)

- 8.2.11 Boroughs are required to provide a list of proposals in priority order covering all roads with a condition index of 70+ and roads with a condition index between 50 and 70 that can be practically carried out in one year. Boroughs may provide a list of roads proposed for treatment in future years, which would be used for future planning and co-ordination of works.
- 8.2.12 To accord with the Mayor's policy (proposal 6, Mayor's Ambient Noise Strategy), boroughs should also include a note of the type of road surface proposed, and if available, the noise reduction benefit expected at the speed limit for the road in question.

Field Definition	Action Required
<i>Authority:</i>	Pre-populated by TfL
<i>Borough contacts:</i>	Provide contact details as specified.
<i>Code:</i>	TfL provides starting code. Boroughs will then need to reproduce the relevant code for each proposal.
<i>Priority order</i>	Enter priority order.
<i>Proposal name & location:</i>	Enter proposal's name for which funding is sought and where the proposal is located
<i>Geocode Easting & Northing:</i>	These two fields will locate the site of any physical works. Each field must consist of six numbers. Geocodes can be obtained in one of 3 possible ways: <ul style="list-style-type: none"> • <i>Websites – e.g. www.streetmap.co.uk</i> • <i>GIS Mapping tools – e.g. ISIS, MapInfo, ArcInfo</i> • <i>Manual Referencing – e.g. A to Z. Along the edges of the page small numbers can be found relating to the Geocodes.</i>
<i>Condition Index:</i>	Enter condition index of road.
<i>C/W area to be treated (m²):</i>	Enter the area (m ²) of carriageway which will require works.
<i>Description of carriageway work:</i>	Describe the type of carriageway works needed.
<i>Proposal Cost (£000):</i>	Enter cost of carriageway works.
<i>F/W area to be treated (m²):</i>	Enter the area (m ²) of footway which will require works.
<i>Description of footway work:</i>	Describe the type of footway works needed.
<i>Proposal Cost (£000):</i>	Enter cost of footway works.

Field Definition	Action Required
<i>2008/09 Total:</i>	Estimate funding needed for 2008/09
<i>2009/10 Total:</i>	Estimate funding needed for 2008/09

Baseline Submission Form (BR1)

Field Definition	Action Required
<i>Authority:</i>	Pre-populated by TfL.
<i>Borough contacts:</i>	Provide contact details as specified.
<i>Code:</i>	TfL provides starting code. Boroughs will then need to reproduce the relevant code for each proposal.
<i>Priority order</i>	Enter priority order.
<i>Structure/Road Name and Geo-code:</i>	Enter structure name for which funding is sought and where it is located. Geocodes will locate the site of any physical works. Each field must consist of six numbers. Geocodes can be obtained in one of 3 possible ways: <ul style="list-style-type: none"> • <i>Websites – e.g. www.streetmap.co.uk</i> • <i>GIS Mapping tools – e.g. ISIS, MapInfo, ArcInfo</i> • <i>Manual Referencing – e.g. A to Z. Along the edges of the page small numbers can be found relating to the Geocodes.</i>
<i>Proposal Description:</i>	Describe the type of works needed
<i>Previous Allocations (£000):</i>	Enter funding previously allocated though the BSP process
<i>Cost Estimate (£000)</i>	Estimate the yearly cost of works for assessment, interim measures, design and implementation.

Baseline Submission Form (BR2)

Field Definition	Action Required
<i>Authority:</i>	Pre-populated by TfL.
<i>Borough contacts:</i>	Provide contact details as specified.
<i>Structure Register</i>	Enter number of structures for each of the outlines items.

Baseline Submission Form (Safety)

Field Definition	Action Required
<i>Authority:</i>	Pre-populated by TfL.
<i>Borough contacts:</i>	Provide contact details as specified.
<i>Code:</i>	TfL provides starting code. Boroughs will then

Field Definition	Action Required
	need to reproduce the relevant code for each proposal.
<i>Priority order:</i>	Enter priority order.
<i>Name/Location of proposal:</i>	Enter proposal name for which funding is sought and indicated where it is located.
<i>Description of targets accidents:</i>	Enter type of accidents to be targeted by the proposal.
<i>Type of proposal:</i>	Describe remedial measures.
<i>Additional benefits of proposal:</i>	Enter the benefits that the proposal may have on other transport programmes.
<i>Total Accidents (36 months):</i>	Enter number of total accidents in 36 months before period.
<i>Target Accidents (36 months):</i>	Enter number of target accidents in 36 months before period.
<i>Predicted Accident Reduction (36 months):</i>	Enter estimated accident reduction in 36 months after period
<i>2007/08 Funding Requested:</i>	Enter funding requested for 2007/08
<i>2008/09 Funding Requested:</i>	Estimate funding needed for 2008/09
<i>2009/10 Funding Requested:</i>	Estimate funding needed for 2008/09
<i>IMD 2004:</i>	Enter relevant Index of Multiple Deprivation (IMD 2004). These can be found on the Borough Extranet website, in “Guidance, legislation and policies” under the heading for streets-for-people.

Baseline Submission Form (ETP)

Field Definition	Action Required
<i>Authority:</i>	Pre-populated by TfL.
<i>Borough contacts:</i>	Provide contact details as specified.
<i>Code:</i>	TfL provides starting code. Boroughs will then need to reproduce the relevant code for each proposal.
<i>Priority order:</i>	Enter priority order.

Field Definition	Action Required
<i>Name of campaign / initiative:</i>	Enter proposal name
<i>Number and type of target audience:</i>	Enter Number and type of target audience
<i>Timescale for initiative:</i>	Enter timescale for initiative
<i>Objectives:</i>	Enter objectives for proposal
<i>Methodology / media:</i>	Enter methodology / media used for proposal
<i>Is modal Shift an Objective? (Y/N):</i>	State whether modal Shift is an objective
<i>Performance indicators to be used to measure success:</i>	Indicate which performance indicators are to be used to measure success
<i>2007/08 Funding Requested:</i>	Enter funding requested for 2007/08
<i>2008/09 Funding Requested:</i>	Estimate funding needed for 2008/09
<i>2009/10 Funding Requested:</i>	Estimate funding needed for 2008/09

8.3 2006/07 BIMONTHLY REPORTING FORMS

- 8.3.1 “2006/07 BSP Baseline Programme Form Guidance” was distributed on 31/01/06 and can be obtained from the Boroughs Extranet.
- 8.3.2 Boroughs can expect to report spend on 2007/08 proposals via the Boroughs Portal. Nonetheless, if required, TfL will be able to add four additional fields to the Baseline Submission Form (General), to effectively turn it into a bimonthly reporting form.

Field Definition for 2006/07 bimonthly forms

Field Definition	Action Required
<i>Authority:</i>	Pre-populated by TfL
<i>Date Submitted:</i>	Enter date you have submitted the form.
<i>Borough contacts:</i>	Provide contact details as specified.
<i>Scheme code:</i>	TfL allocated provisional proposal codes.
<i>Proposal name:</i>	Pre-populated by TfL
<i>Scheme description:</i>	Boroughs should enter the elements of work being undertaken as part of the scheme.
<i>Current and original TfL allocation:</i>	The original TfL allocation corresponds to the amounts allocated in the December 2005 announcement. The current TfL allocation field includes any subsequent approved changes to the initial allocation.
<i>Total Projected Spend:</i>	This is an automatically calculated sum of the

Field Definition	Action Required
	Spend per Month and Retained Amount fields.
<i>Proposed Allocation:</i>	<p>Boroughs can advise TfL of changes in scheme funding in line with their delegated authority. The 2005/06 Financial and Reporting Guidance will give details on delegation limits for programmes and partnerships. An updated Financial and Reporting Guidance will be issued shortly.</p> <p>This field should also be used to record amounts of new funding requested or spent up to the cancellation of schemes. The value in this field will automatically format to bold if:</p> <ul style="list-style-type: none"> • There is a value in Proposed Allocation, when that value does not equal the Total Projected Spend, or • There is no value in Proposed Allocation, when the Current TfL Allocation value does not equal the Total Projected Spend. <p>Boroughs should not return the form with any bold values in Total Projected Spend, please refer to the following section for further information</p>
<i>Gantt chart and Spend per Month:</i>	<p>For each scheme, boroughs are requested to return the monthly planned programme of works for feasibility, consultation, design and implementation activities by entering the amount spent in the Gantt chart cells. Cells will automatically shade.</p> <p>At the bottom of the Gantt chart, Spend per Month estimates the cost of scheme activities which are then summed up in the Total Projected Spend field. If the Total Projected Spend does not equal the Current TfL Allocation, boroughs should address the over/under spend by correcting the figures in the Gantt chart, requesting a funding variation and/or adding a note in the comment field.</p>
<i>Retention:</i>	<p>The funding process can accommodate retained payments. In this case, all work is completed within the financial year, but through a contractual arrangement, boroughs agree to withhold some or all of the payment from their contractors until an agreed time in the future. In this field, boroughs and partnerships should enter the value of funding that will be retained to the 2007/08 year.</p>
<i>Cancel scheme:</i>	<p>Enter 'Yes' in this section if the borough no longer wishes to proceed with this scheme.</p>

Field Definition	Action Required
<i>Geocode Easting & Northing:</i>	These two fields will locate the site of any physical works. Each field must consist of six numbers. Geocodes can be obtained in one of 3 possible ways: <ul style="list-style-type: none"> • <i>Websites – e.g. www.streetmap.co.uk</i> • <i>GIS Mapping tools – e.g. ISIS, MapInfo, ArcInfo</i> • <i>Manual Referencing – e.g. A to Z. Along the edges of the page small numbers can be found relating to the Geocodes.</i>
<i>Geocode Check:</i>	This field is to enable boroughs to quickly check geocode accuracy and TfL visually identify scheme location.
<i>Partnerships: (for 2006/07 reporting only)</i>	Please specify whether this is a partnership supported proposal. If “Yes” select the relevant partnership, if you choose “other” specify in the comments’ field.
<i>TfL Branding:</i>	Specify whether the proposal meets the branding criteria.
<i>Outcome Monitored:</i>	Specify whether the proposal will be outcome monitored. If “Yes”, specify in the comments’ field which KPI will be used.
<i>Physical Works:</i>	Specify whether the proposal requires physical works.
<i>TMA Notification approved:</i>	Specify whether a TMA Scheme Notification has been approved by TfL
<i>TMA Works Approved:</i>	Specify whether a works TMA notification to has been submitted to TfL.
<i>Comments:</i>	Use this field to add any additional information that you might think relevant

8.4 LIP TARGET PROFORMAS

8.4.1 There are two forms which are to be used to report on LIP statutory and local targets:

- LIP Statutory Targets Form
- LIP Local Target Form.

8.4.2 As for Baseline Submission Forms, fields that require borough input are shaded in light yellow. Users may also be presented with drop-down boxes containing closed end list of allowable values. Once the required field has been filled, the shading will turn to white. Dark and

light blue cells denote headings or automatically calculated fields.
Grey cells are empty and require no filling.

- 8.4.3 Boroughs should set trajectories, with annual milestones, for all relevant LIP statutory targets. This information would be most helpfully expressed in the form of a simple graph for each target. Software packages such as Microsoft Excel can calculate trends and forecasts which can then be represented graphically.
- 8.4.4 Trajectories should not necessarily reflect steady, linear progress towards a target, but should where possible be set in a way that visibly relates to the planned implementation of relevant proposals and policies. However, where trajectories of this kind are not set, a linear trajectory can be assumed.
- 8.4.5 Trajectories will become a key reference point for annual monitoring of progress, and will enable boroughs to make better assessments of whether or not performance against each target is on track.

LIP Statutory Targets Form

Field Definition	Action Required
<i>Borough:</i>	Pre-populated by TfL.
<i>Base Data Year:</i>	Enter baseline year for this indicator.
<i>Base Data Value:</i>	Enter baseline figure for this indicator.
<i>Target Data Year:</i>	Enter target year for this indicator.
<i>Target Data Value:</i>	Enter target figure for this indicator.
<i>Units:</i>	Enter the data units used in monitoring this indicator.
<i>Year Type:</i>	Some targets will be measured over calendar years, whilst others will be measured over financial years. Select “C” for calendar year and “F” for financial year.
<i>Actual:</i>	Enter actual target progress figures using the same units as the baseline data or as a percentage change (with direction).
<i>Trajectories:</i>	Enter trajectories for target’s process using the same units as the baseline data or as a percentage change (with direction).
<i>Target Progress:</i>	Select from the drop down list if your borough is on-track, not-on-track or there is no clear evidence towards meeting the target. Cell colour will change to green, red or magenta, respectively.
<i>Changes in reported Target:</i>	Indicate whether reported figures have changed since your previous report. If so by how much, why and what remedial actions will be undertaken

Field Definition	Action Required
	to address the issue.
<i>Methodology and Data Source:</i>	Outline methodology and data source used to calculate figures. Also include any other relevant information.

8.4.6 It is recognised that boroughs may have difficulty obtaining the relevant data sets from TfL. **Borough Funding will work with TfL's Transport Policy and Planning to resolve this during April 2006.**

8.4.7 Boroughs should also note that where they are having difficulty in identifying suitable data or have queries about how to calculate or enter data, they should contact Giovanni Nacci, details in **Table 9**.

LIP Local Targets Proforma (not compulsory)

Field Definition	Action Required
<i>Borough:</i>	Pre-populated by TfL.
<i>Local Objective:</i>	Enter local objective contained in LIP.
<i>Local Target/Outcome:</i>	Enter local target/outcome contained in LIP.
<i>Local Performance Indicator:</i>	Enter local performance indicator contained in LIP.
<i>Base Data Year:</i>	Enter baseline year for this indicator.
<i>Base Data Value:</i>	Enter baseline figure for this indicator.
<i>Target Data Year:</i>	Enter target year for this indicator.
<i>Target Data Value:</i>	Enter target figure for this indicator.
<i>Units:</i>	Enter the data units used in monitoring this indicator.
<i>Year Type:</i>	Some targets will be measured over calendar years, whilst others will be measured over financial years. Select "C" for calendar year and "F" for financial year.
<i>Actual Figures:</i>	Enter actual target progress figures using the same units as the baseline data or as a percentage change (with direction).
<i>Target Progress:</i>	Select from the drop down list if your borough is on-track, not-on-track or there is no clear evidence towards meeting the target. Cell colour will change to green, red and magenta, respectively.
<i>Data Source:</i>	Specify data source from which figures have been obtained
<i>MTS Priority Area:</i>	Indicate which MTS Priority Area does the Local Target/Outcome links to.

8.5 BUSINESS CASE ASSISTANT (BCA)

Overview

8.5.1 Any proposal over £2m in total cost should be accompanied by the relevant Baseline Submission Form and a Business Case Summary form. In order to facilitate, the complex task of completing such a form, TfL Business Case Development team has devised an Excel based tool, the Business Case Assistant (BCA), which should assist and simplify, standardise and automate many of the steps required to produce a Business Case Summary form.

- 8.5.2 The main features and benefits of the BCA include:
- Availability of a user friendly tool to simplify the preparation of business case information
 - Verification that a consistent approach is taken to appraisal methodology, whilst allowing appropriate flexibility/transparency
 - Reduction in the amount of time and errors associated with appraisal calculations
 - Prompting to ensure project sponsors consider all appropriate impacts, and draw on consistent guidance.

Further Guidance

8.5.3 Further guidance on how to use the BCA tool and related business case guidance can be found on the Boroughs Extranet (Appendix F).

Business Case Contacts

- 8.5.4 Please refer any query with regards to business case issues to the following:
- General business case enquiries should be directed to Arnold Cohen (0207 126 4135, ArnoldCohen@tfl.gov.uk)
 - Specific enquiries should be directed to Adrian Brown (0207 126 4049, brownad@tfl.gov.uk)
 - Journey Time Calculator specific enquiries should be directed to Ryan Taylor (0207 126 4615, RyanTaylor@tfl.gov.uk).