



**Local Implementation Plan (LIP)
Annual Spending Submission
Guidance for 2013/14**

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LIP ANNUAL SPENDING SUBMISSION GUIDANCE FOR 2013/14

1.0 Background

- 1.1 The approved Second LIP should be the starting point for the programmes of work contained within each borough's 2013/14 Annual Spending Submission. As LIP funding is provided to support delivery of local transport improvements that reflect the Mayor's transport priorities, boroughs must also take account of the specific commitments set out in the Mayor's Manifesto that relate to borough responsibilities. In particular, attention is drawn to the commitments relating to a more accessible bus network, congestion busting, pedestrians and the public realm, parking and cycle safety. Further information on the Mayor's Transport Manifesto commitments can be found on the Borough Extranet at <http://boroughs.tfl.gov.uk/default.aspx>
- 1.2 This guidance confirms the sum of LIP funding available in 2013/14 by programme and by allocation to individual boroughs, as well as providing specific information on matters relevant to the Annual Spending Submission process. It should be read in conjunction with 'The Guidance on Developing the Second Local Implementation Plans' (May 2010), which set out the framework for each borough's Second LIP.

2.0 Breakdown of LIP funding for 2013/14

- 2.1 Table 1 below sets out the division of 2013/14 LIP funding under the following programmes:
 - 1 Principal Road Maintenance
 - 2 Bridge Strengthening
 - 3 Major Schemes
 - 4 Traffic Signals Modernisation
 - 5 Top Sliced Funding
 - 6 Corridors, Neighbourhoods and Supporting Measures.
- 2.2 £15.8m of LIP funding for 2013/14 was held back pending the results of the 2011/12 Principal Road Network (PRN) condition surveys in order to determine future requirements under this programme. The results of these surveys are now available and show the proportion of the PRN that requires structural maintenance has increased from 5% in 2009/10 to 8.1% in 2011/12. This is in part due to the severe winters in 2009/10 and 2010/11, and unless action is taken, an increasing proportion of the network will become subject to safety defects, such as potholing and cracking, which in turn accelerates deterioration of the structure of the carriageway and increases the requirements for reactive maintenance. For these reasons, it is proposed to increase the proportion of LIP funding allocated to Principal Road Maintenance in 2013/14 from the

previously announced £15.5m to £20.5m. It is forecast this additional investment, coupled with the similar increase already agreed for 2012/13, will help reverse the decline seen over the past couple of years. The balance of the funding that was held back, will be allocated to the Major Schemes programme (an increase of £1.0m to £28.0m) and to the Corridors, Neighbourhoods and Supporting Measures programme (an increase of £9.8m to £78.3m).

Table 1 – 2013/14 LIP Funding Allocations by Programme

Programme	Funding Allocation
Total	£147.8m total LIP funding in 2013/14
Principal Road Maintenance (PRM)	£20.5m for PRM schemes (refer to section 3.2 – 3.3).
Bridge Strengthening	£6.5m for Bridge Strengthening (refer to section 3.4)
Major Schemes	£28m for the Major Schemes programme (refer to section 3.6 – 3.8).
Traffic Signals Modernisation	£10m for life-expired signal replacement on borough roads
Top-slice	£4.47m to cover the administration of the five sub-regional partnerships, one-pm London partnership (LEPT) and Local Transport Funding (see Appendix 1 for further details)
Corridors, Neighbourhoods and Supporting Measures	The balance of funding of £78.3m is allocated via the needs based formula for Corridors, Neighbourhoods and Supporting Measures (see Appendix 2 for further details).

- 2.3 A breakdown of the top-sliced funding for Partnerships, Local Transport Funding and Borough Officer Training is provided as Appendix 1.
- 2.4 The borough-by-borough allocations under the Corridors, Neighbourhoods and Supporting Measures programme are determined through a needs based formula that was developed jointly with LOTAG and London Councils. The key variables (indicators, weightings and data), used within the needs based formula are unchanged from those applied in 2011/12 and 2012/13. Further information on how the formula funding is determined is available on the Boroughs Extranet at:
http://boroughs.tfl.gov.uk/documents/borough_information/spending_plans/lip-formula-funding-presentation.pdf

3.0 Preparing the 2013/14 LIP Annual Spending Submission

- 3.1 Appendix 2 of this note provides the details of the 2013/14 indicative allocations for all boroughs under Corridors, Neighbourhoods and Supporting Measures, Principal Road Maintenance and the Local Transport Funding. The following matters should be taken into account when preparing the programmes of work within the 2013/14 LIP Annual Spending Submission.

Principal Roads Maintenance

- 3.2 Applications in relation to Principal Road Maintenance and Bridge Assessment & Strengthening should be made directly onto the Borough Portal. The indicative funding available for each borough under Principal Road Maintenance (PRM) is based on an assessment of need taken from the most recent condition surveys. It is recommended that boroughs submit proposals for approximately 25% above the indicative funding to allow for possible reserve schemes to be brought forward.
Note: £1.7m of the Principal Road Maintenance funding in 2013/14 has been reserved for the condition surveys across the 33 London boroughs.
- 3.3 In order to improve bus stop accessibility, boroughs are requested to ensure that where resurfacing and/or reconstruction is programmed, a kerb height of at least 100mm is maintained within the vicinity of the bus stop flag (note: TfL is able to supply details of those bus stops where maintenance works on the Principal Road Network are co-located). More detailed advice on accessible bus stops can be found at http://www.tfl.gov.uk/assets/downloads/businessandpartners/accessible_bus_stop_design_guidance.pdf.

Bridge Strengthening

- 3.4 In respect of Bridge Assessment & Strengthening applications, full supporting information should also be submitted to the London Bridge Engineering Group (LoBEG) 'BridgeStation' website <http://www.bridgestation.co.uk>. Submissions will then be prioritised and funding awarded according to pan London requirements and available resources. The submission to the LoBEG website should include the completion/update of borough structure registers. It should be noted that no application will be considered either by LoBEG or Transport for London unless this information has been provided in full.

Major Schemes

- 3.5 The focus of the Major Schemes programme is on delivering a small number of high value schemes that make a transformational improvement. Boroughs can apply for a proportion of the required

funding from the Major Schemes programme for schemes costing more than £1m. For schemes with a total project cost above £2m, a business case must also be submitted and a design review carried out to ensure the proposals accord with the Mayor's vision for public realm.

- 3.6 Funding for Major Schemes is awarded through a competitive bidding process which follows a three-step progression described in detail in the Guidance for Submission of Major Schemes (available on the Borough Extranet <http://boroughs.tfl.gov.uk/737.aspx#>). Step One (scheme justification) applications for Major Schemes funding should provide sufficient detail so as to give a complete overview of the project. It should explain the reasons for the project, identify the objectives, key components, estimated costs and delivery programme. The written information must be supported with sufficient photographic and/or drawn information such as layout plans, images and visualisations to give a good "at a glance" description of the proposals.
- 3.7 Any new Step One application in 2013/14 should be submitted separately to TfL by close of play on **Friday 7 September 2012**. To avoid difficulties with large file sizes, the Step One Proforma and supporting information should be uploaded onto the LIP Funding Document Management system, which is available via the Borough Portal. A covering e-mail should also be sent to boroughprojectsandprogrammes@tfl.gov.uk, marked for the attention of David Rowe, Head of Borough Projects & Programmes, confirming that the Major Scheme application has been uploaded. The Borough Projects & Programmes Team is available to support the preparation of Step One applications; contact details are set out at Appendix 4.
- 3.8 New and on-going Major Schemes should also be referenced in the LIP Annual Spending Submission Proforma A – see Section 4.0 below.

Traffic Signals

- 3.9 Careful consideration should be given to the appropriateness of new traffic signals and such facilities should only be proposed where there is no practicable alternative (please refer to Sections 4.8 and 4.9 of the Second LIPs Guidance). Boroughs are also encouraged to consider removing any existing signals that are no longer considered necessary, or are no longer serving the purpose for which they were originally introduced.
- 3.10 Where a scheme does involve traffic signal works, boroughs can now invoice TfL for the full costs associated with confirmed schemes, even where the required works may continue beyond the end of the financial year. This should enable more effective resource planning and avoid the likelihood of subsequent payments being required after the year end. TfL's Traffic Directorate will provide quotations for signals works and any changes to a quotation (i.e. the level of funding required) will be agreed

with the borough through a change control process if the scope/scale of works is materially altered.

Air Quality Measures

- 3.11 Improving air quality is a key priority for the Mayor, and the London boroughs have their own legal obligations to improve air quality. Despite progress in recent years, air pollutant concentrations, especially for PM_{2.5} and NO₂, remain too high and further measures are needed. This can be done through stand alone activities, or as part of integrated local transport schemes.
- 3.12 To increase the resources available to the London boroughs for improving air quality, the GLA and TfL have agreed with the Department for Environment, Food and Rural Affairs (Defra) that LIP funding¹ can be used to match-fund grants provided by Defra for measures to tackle air quality relating to road transport. For example, a London borough may have secured £50k Defra funding in 2012/13 for measures to tackle air quality and is proposing to use £50k LIP funding in 2013/14 to match-fund the grant and thereby enable delivery of a more extensive programme of measures. Such proposals should be clearly identified within the LIP Annual Spending proforma by detailing the Defra grant funding (and any other funding) secured towards the costs of the measures. Eligibility for Defra grants is limited to local authorities with one or more Air Quality Management Areas for NO₂ or authorities where Defra's national air quality assessment in 2009 identified an exceedence in their area. Further advice on air quality improvement schemes and the Defra Air Quality Grant Programme can be found at:
http://boroughs.tfl.gov.uk/lip_funding.aspx#.

London Highways Alliance Contracts

- 3.13 New London Highway Alliance Contracts (LoHAC) have been developed as part of the Transforming London's Highways Management initiative. These aim to cover both road maintenance and new-build schemes, with the scope to be applied on all roads in London. The contracts aim to provide operational savings, together with more consistency in the quality of works and materials used, and to minimise disruption by encouraging coordinated working.
- 3.14 TfL will expect to see the London Highways Alliance Contracts used for LIP funded schemes where these offer better value for money than individual borough contracts. A SharePoint Site is currently being established to provide further information on LoHAC and a link will be sent to boroughs officers in due course.

¹ LIP 'Corridors, Neighbourhoods and Supporting Measures' or 'Local Transport Funding' can be used to match-fund Defra grants for measures to tackle air quality issues relating to road transport.

LIP Schemes on Borough Principal Roads and the Strategic Road Network (SRN)

- 3.15 As part of the ongoing drive to reduce the impact of roadworks in the Capital, the Mayor's Office has asked TfL to review the proposed construction plans for all LIP funded schemes on Borough Principal Roads and the Strategic Road Network (SRN). Accordingly, you are requested to submit the construction plans for any such schemes in 2013/14 for review by TfL via the TMA Notification Process. Further details on the TMA process can be found on the LondonWorks website www.londonworks.gov.uk Please note this does not replace the full TMA approvals process which applies to any scheme on the SRN or Transport for London Road Network.

Car Clubs

- 3.16 Car clubs in London have expanded rapidly in the past few years. From a handful of vehicles in 2003, there are now over 2,500 vehicles in the Capital, with approximately half of Londoners being within five minutes walk of a car club vehicle. However, the expansion of the car club network in London has started to slow down over the past couple of years due to changes in economic conditions. In addition, new potential entrants to the market in the form of 'peer-to-peer' and 'one-way' car club schemes have different requirements and are not reliant upon the provision of dedicated on-street bays.
- 3.17 For these reasons, support for the continued expansion of on-street car club bays from 2013/14 will need to be met from borough LIP allocations. Car clubs remain an important tool for reducing parking pressures, encouraging mode shift and achieving air quality improvements and there is a large potential market for continued growth. This changes does not therefore indicate a reduced level of support by TfL for the car clubs concept, simply that dedicated funding is no longer needed to 'pump-prime' the market and that car clubs can be supported through integrated local transport improvements.

4.0 Annual Spending Submission Proforma A

- 4.1 Boroughs should use the enclosed spreadsheet, which is based on 'Proforma A' within the LIPs Guidance, to provide details of proposals under Corridor, Neighbourhood & Supporting Measures and Major Schemes within the 2012/13 Annual Spending Submission. For new schemes, this information will then be uploaded by TfL onto the Borough Portal. *Note: as indicated in sections 3.2 to 3.4, applications in relation to Principal Road Maintenance and Bridge Assessment & Strengthening should be made directly onto the Borough Portal.*

- 4.2 Based on feedback from borough officers and London Councils on the Annual Spending Submission process last year, the proforma has been simplified to reduce the amount of information required from boroughs for proposed schemes. A short 'Reference Guide' is provided in the first tab of the spreadsheet to provide advice on the information required within the different cells. Other points to note are as follows:
- **Funding sources:** details should be provided of where the required project funding will come from, including sources other than LIP financial assistance, e.g. council capital and revenue funding, developer funding or government grants (such as the air quality grants from Defra described at Section 3.12).
 - **Expected main MTS outcomes:** these are detailed in Table 2.1 of the Second LIPs Guidance and repeated within the spreadsheet for ease of reference. Boroughs are asked to identify those outcomes which are most relevant to the proposals (selecting a maximum of ten).
 - **Impact on Crossrail:** the Crossrail project is due to open in late 2018 and provides many opportunities for complementary measures to maximise its value to local communities. Boroughs are asked to indicate on Proforma A whether the proposed interventions will have an impact (whether positive or negative) on Crossrail construction or operations.
 - **Impacts on TfL Services or Infrastructure:** it is important to note that there are considerable pressures on TfL budgets and it is therefore essential that effective consultation, engagement and communication takes place for any proposal that has an impact on TfL services or infrastructure. This includes proposals that have an impact on bus routes, stops and terminal points/stands. For such schemes it will be necessary for early discussions to take place between the borough and TfL to determine the acceptability of the proposals.
 - **Road humps:** boroughs are strongly encouraged to avoid the use of road humps. In a press release issued by the Mayor on 28 November 2008 he advised that "*Road humps are often simply a lazy way of delivering slower speeds, and also do little to encourage people to walk, cycle and spend time using their streets. I want to encourage councils to be bold and to think much more creatively about ways of achieving slower speeds, and creating better streets.*" Accordingly, all other options should be exhausted before consideration is given by boroughs to the potential use of vertical deflections such as road humps and speed cushions. Where such measures are considered by a borough to be the only option, TfL may require further discussions to determine the acceptability of the proposals.
 - **Scheme monitoring:** If boroughs would like monitoring data to be provided by TfL for casualties or bus journey times associated with specific schemes, this can be requested within the LIP Annual Spending Submission proforma.

- 4.3 The submission for 2013/14 must be made to TfL by Friday **5 October 2012**. Boroughs should e-mail their submission, together with a covering letter to boroughprojectsandprogrammes@tfl.gov.uk, marked for the attention of David Rowe, Head of Borough Projects & Programmes, TfL Surface Transport, Palestra, 197 Blackfriars Road, London SE1 8NJ.

5.0 Conditions on funding for LIP schemes

- 5.1 The financial assistance provided by TfL is under Section 159 of the GLA Act 1999. The funding is provided to support local transport improvements that accord with the Mayor's Transport Strategy Goals and Outcomes. Use of the funding for purposes other than those for which it is provided may result in TfL requiring repayment of any funding already provided and/or withholding provision of further funding. TfL also retains the right to carry out random or specific audits in respect of the financial assistance provided. Sections 4.18 to 4.20 of the Second LIPs Guidance set out the relevant matters to which TfL will have regard in exercising its duties under Section 159. For ease of reference these sections are reproduced at Appendix 3.

6.0 Annual report on interventions and outputs

- 6.1 Outputs from individual schemes or packages of schemes delivered during the course of the financial year should be reported each July using Profoma C within the Second LIPs Guidance. This replaces the need for spend and delivery information to be reported on a bi-monthly basis, although boroughs are required to keep their live Programmes of Investment up to date on the Borough Portal.
- 6.2 The 2011/12 Annual report on interventions and outputs should be submitted to TfL by **Friday 13 July 2012** and should be sent to boroughprojectsandprogrammes@tfl.gov.uk.

7.0 Advice and support

- 7.1 Contact details for the Borough Projects & Programmes team and Road Maintenance and Bridges officers are provided at Appendix 4.

Appendix 1 – Breakdown of 2013/14 Top Sliced LIP Funding

Top Slice	£m	Comments
Borough officer training	£0.3	This relates to the Borough Apprenticeship Programme, further details for which can be found on the Borough Extranet.
LEPT	£0.14	Paid to London Councils as the host authority
South London sub-regional partnership	£0.15	Paid to the Croydon as the south sub-region lead borough
East London sub-regional partnership	£0.17	Paid to Greenwich as the east sub-region lead borough
North London sub-regional partnership	£0.12	Paid to Haringey as the north sub-region lead borough
Central London sub-regional partnership	£0.15	Paid to City of London as the central sub-region lead borough
West London sub-regional partnership	£0.14	Paid to Ealing as the west sub-region lead borough
Local Transport Funding	£3.3	£100k payment for each borough to spend on transport projects of their choice that support the delivery of the Mayors Transport Strategy
Total	£4.47	

Note: Partnerships in receipt of LIP funding must conform to the minimum requirements for governance and hosting established through the Partnership Review that was undertaken in 2009/10. These requirements are intended to ensure robust and effective partnerships, to encourage participation of elected members and to meet the requirements of s159 funding. Further details of the Partnership Review can be found on the Borough Extranet:

http://boroughs.tfl.gov.uk/partnership_forums.aspx

**Appendix 2 - 2013/14 Borough allocations under Corridors,
Neighbourhoods & Supporting Measures, Principal Road Maintenance
and Local Transport Funding**

Borough	Corridors, Neighbourhoods & Supporting Measures (£,000)	Principal Road Maintenance (£,000)	Local Transport Funding (£,000)
Barking and Dagenham	1,636	383	100
Barnet	3,653	1076	100
Bexley	1,949	934	100
Brent	2,547	692	100
Bromley	2,771	764	100
Camden	2,370	492	100
City of London	815	99	100
Croydon	3,098	923	100
Ealing	3,211	537	100
Enfield	3,055	1116	100
Greenwich	2,573	563	100
Hackney	2,202	243	100
Hammersmith & Fulham	1,947	633	100
Haringey	2,123	608	100
Harrow	1,643	594	100
Havering	2,432	388	100
Hillingdon	2,774	1185	100
Hounslow	2,665	635	100
Islington	1,968	316	100
Kensington & Chelsea	1,915	255	100
Kingston	1,513	484	100
Lambeth	2,880	480	100
Lewisham	2,644	308	100
Merton	1,739	499	100
Newham	2,271	663	100
Redbridge	2,413	431	100
Richmond	1,901	907	100
Southwark	2,816	546	100
Sutton	1,516	181	100
Tower Hamlets	2,464	332	100
Waltham Forest	2,190	491	100
Wandsworth	2,783	396	100
Westminster	3,823	648	100
TOTAL	£78,300	£18,800	£3,300

Note: a further £1.7m of the Principal Road Maintenance funding has been reserved for condition surveys across the 33 London boroughs in 2013/14.

Appendix 3 – Extract from “Guidance on Developing the Second Local Implementation Plans” published May 2010 by the GLA

“4.18 Under section 159 of the GLA Act 1999, 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. To ensure this purpose is met when exercising its functions under section 159, TfL will have regard to the following matters in relation to activities undertaken by a borough:

- Use of TfL funding for the programmes or proposals for which it was provided
- Removal or substantial alteration of works carried out or infrastructure installed, with the benefit of TfL funding, without the prior written consent of TfL
- Implementation of the goals, challenges, outcomes and manifesto commitments of the Mayor, as outlined in the MTS
- Other reasonable TfL requests for project management reports and other information relating to the provision of financial assistance.

4.19 Section 159 also allows TfL to impose conditions on financial assistance it provides, and in specified circumstances require repayment. As a general condition applicable to all future TfL financial assistance, TfL requires the recipient to:

- Use funding for the purpose for which it was provided, except with prior written approval from TfL
- Comply with the requirements as set out in this guidance.

4.20 In circumstances where the recipient breaches the above conditions, TfL may require repayment of any funding already provided and/or withhold provision of further funding. In circumstances where, in TfL’s reasonable opinion, funding is being used, or is about to be used in breach of these requirements, TfL may suspend payments or withdraw funding pending satisfactory clarification.”

Appendix 4 – TfL Contacts

Name:	Title/Subject:	Contact No:	Email address
David Rowe	Head of Borough Projects & Programmes	Tel: 020 3054 4181	Davidrowe@tfl.gov.uk
Peter McBride	Regional Borough Programme Manager (South)	Tel: 020 3054 0862	Peter.McBride@tfl.gov.uk
Daniel Johnson	Regional Borough Programme Manager (Central)	Tel: 020 3054 4710	Danieljohnson@tfl.gov.uk
Julie Dye	Regional Borough Programme Manager (East)	Tel: 020 3054 0850	Julie.Dye@tfl.gov.uk
Lennox Davidson	Regional Borough Programme Manager (North and West)	Tel: 020 3054 0770	Lennox.Davidson@tfl.gov.uk
Bron Plaskowski	Traffic Signals	Tel: 020 3054 0819	Bron.plaskowski@tfl.gov.uk
Scott Lester / Anthony O'Keefe	Major Schemes	Tel: 020 3054 0802	Scott.lester@tfl.gov.uk Anthonyokeeffe@tfl.gov.uk
Duro Basic	Principal Road Maintenance and Bridge Strengthening	Tel: 020 3054 1129	Duro.Basic@tfl.gov.uk
Tony Clark	Borough Portal Support	Tel: 020 3054 4994	bpssupport@tfl.gov.uk