

Guidance on Developing the Second Local Implementation Plans

Draft for Consultation



October 2009



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Executive Summary

This is draft Guidance, proposed by Transport for London (TfL) and London Councils, setting out requirements and support for London boroughs in producing their Second London Local Implementation Plans (LIPs).

The Guidance has been produced in accordance with the 1999 Greater London Act, which requires each London borough to prepare a Local Implementation Plan containing its proposals for the implementation of the revised Mayor's Transport Strategy (MTS), in its area.

The key objectives for the second round of LIPs, as reflected in this Guidance are:

- To support boroughs in preparing Local Implementation Plans which support the achievement of the goals of the revised MTS, whilst also being more locally relevant;
- To provide boroughs with greater ownership of their own programmes and flexibility to reflect local circumstances;
- To reduce resource burdens for both TfL and the boroughs, in terms of preparing, monitoring and reviewing LIP submissions; and
- To better enable transport to be integrated with wider economic, social and environmental objectives at a local level.

The second round LIPs become effective from April 2011. Boroughs are required to submit their draft Second LIPs to TfL by the end of December 2010.

Core Requirements

All requirements, which are mandatory for second round LIPs, are included in this Guidance document, and are identified using the terminology 'boroughs are required to'. Where the Guidance represents advice on good practice processes, the terminology 'boroughs are advised to' or 'boroughs are encouraged to' is used.

1) Boroughs are required to set out their proposals for implementing the revised MTS at a local level, and include a high-level timetable for delivery and a date by which all the proposals in the LIP will be implemented.

Boroughs are required to provide robust justification based on local circumstances where proposed borough interventions will contribute to outcomes which are contrary to the revised MTS goals and/or explain why they consider particular Mayoral goals are not applicable in their area.

Boroughs are not required to provide a detailed response to each of the Mayor's policies and proposals.

2) Boroughs are required to include the following components within their LIP:

- an evidence-based and objective-led identification of **Borough Transport Objectives**, covering the period 2011 to 2014 and beyond, reflecting the timeframe of the revised MTS;
- a costed and funded **Delivery Plan** of interventions, covering the period 2011 to 2014. This should be consistent with borough's three year funding allocations to be announced in 2010;
- a **Performance Monitoring Plan**, identifying a set of performance indicators and locally specific targets which can be used to assess whether the Plan is delivering its objectives and to determine the effectiveness of the Delivery Plan.

The Borough Transport Objectives should provide the context for, and determine, the Delivery Plan, and the Performance Monitoring Plan. Boroughs are required to ensure that their Second LIPs make a clear distinction between these three components.

3) Within the **Borough Transport Objectives** section, boroughs are required to:

- set out the local context and geographical characteristics of their boroughs;
- identify how they will work towards achieving the revised MTS goals of:
 - **Supporting economic development and population growth;**
 - **enhancing the quality of life for all Londoners**
 - **Improving the safety & security of all Londoners**
 - **Transport opportunities for all Londoners; and**
 - **Reducing transport's contribution to climate change, and improving its resilience.**
- Identify a set of locally-specific LIP objectives which reflect local priorities;
- identify if and how local priorities and proposed types of intervention have been informed by a Strategic Environmental Assessment, an Equality Impact Assessment, and the borough's Network Management Duty; and
- take account of the emerging Sub-Regional Transport Plans; and
- take account of the commitments identified in TfL's Business Plan and Investment Programme.

4) Within the **Delivery Plan**, boroughs are required to:

- provide a high-level breakdown of proposed spend, by year (i.e. separately for 2011/12, 2012/13 and 2013/14), and by category (the Programme of Investment). Categories could reflect corridors and neighbourhoods and smarter travel programmes, or policy themes, or outcomes. Principal road maintenance and bridge strengthening, and proposed Major Schemes should be identified separately;
- identify from where the required project funding would be resourced, including not only TfL LIP funding, but also any other funding to be provided for LIP-related projects (which could include Council capital and revenue funding, developer funding or government grants); and
- identify which of the revised MTS goals each programme category supports.

5) Boroughs planning to bid for **Major Scheme funding** are required to include the following information within their Delivery Plan:

- outline details of Major Schemes being considered;
- the relative priority attached to those schemes;
- how they will be funded; and
- when a Major Scheme application is expected.

Boroughs are also required to demonstrate how the proposed Major Scheme would contribute to the overall Borough Transport Objectives for the borough.

6) Boroughs will be required to submit an **Annual Spending Submission**, similar to that submitted for the 2010/11 Transition Year. This will provide more detailed information potentially on a packaged scheme basis. Within the Annual Spending Submission, boroughs are required to

- set out their overall approach or process for drawing up their annual programmes; and
- identify how the interventions included will help to deliver the following high profile outputs:
 - **Cycle highways schemes**
 - **Cycle parking**

- **Electric charging points**
- **Better Streets**
- **Cleaner local authority fleets**
- **Net increase in street trees.**

7) Within the **Performance Monitoring Plan** boroughs are required to:

- agree locally specific targets (with annual milestones or trajectories) for a set of core mandatory revised MTS / LIP indicators;
- show how their local targets relate to the revised MTS targets and their own LIP objectives, demonstrating a clear link between their targets and the Programme of Investment;
- provide evidence for each target that it is both ambitious and realistic, given indicative funding levels;
- identify key actions needed to achieve the target; and identify the principal risks to target achievement and how these will be managed;
- set trajectories with annual milestones for each of the mandatory targets; and
- outline how they propose to keep progress against targets under review and address areas of over or under-performance.

Approval of LIPs

TfL, on behalf of the Mayor, will review boroughs' Local Implementation Plans, to ensure that these core requirements have been adhered to. LIPs which meet these requirements will be formally approved by the Mayor.

Annual Reporting

Boroughs will be required to report on annual spend by category and on the number of each type of intervention delivered. This will replace the need for bi-monthly reporting and will enable the Mayor and TfL to monitor delivery across all London Boroughs.

Three Year Delivery Report

At the end of the Second LIP period, in 2014, boroughs will be required to prepare and publish a three-year Delivery Report setting out their expenditure and implementation of LIP programmes, achievement of targets and evidence of how the Second LIPs have contributed to wider policy objectives for the borough.

TfL will undertake a formal review of these Delivery Reports. The results of this review may inform the funding formula for the third round of LIPs. It is also possible that the report may be a consideration for the Audit Commission in undertaking future rounds of Comprehensive Area Assessments.

A second round LIP Delivery Report is required to set out:

- the overall impact of the Second LIP, including the impact on the area covered by the borough, its 'place shaping' role, and its contribution to transport, other public services and the borough's wider policy objectives;
- how delivery has matched the overall Implementation and Delivery Plan set out in the Second LIP and the reasons for any significance divergences; and
- progress against the stated targets and a related commentary for achievement or non-achievement.

Boroughs may use their analysis of delivery in the Second LIP to inform their revised Delivery Plan for period 2014-2017.

Consultation on Developing Second London Local Implementation Plans

Introduction and Scope of Consultation

This consultation relates to Draft Guidance to London boroughs on Developing Second London Local Implementation Plans.

A Local Implementation Plan (LIP) is a statutory document, prepared under Section 145 of the Greater London Authority Act 1999, which sets out how a London borough proposes to implement the revised MTS in its area.

TfL will also be organising a series of seminars to discuss how boroughs should prepare their LIP in each of the five sub-regions and these are likely to take place in November.

How to Respond

The consultation period begins on [12th October 2009](#). Responses must be made by [18th December 2009](#). The consultation document can be found at www.tfl.gov.uk. You can contact the LIP team if you would like alternative formats (Braille, audio CD, etc) – please contact us at the address below.

Please send consultation responses to:

LIPS Consultation Responses
Borough Partnerships
Transport for London
Windsor House
42 – 50 Victoria Street
London
SW1H 0TL

E-mail: LIPs2consultation@tfl.gov.uk

When responding, please state whether you are responding as an individual or representing the views of an organisation. If responding on behalf of a larger organisation please make it clear who the organisation represents and, where applicable, how the views of members were assembled.

Information provided in response to this consultation, including personal information, may be subject to publication or disclosure in accordance with the access to information regimes (these are primarily the Freedom of Information Act 2000 (FOIA), the Data Protection Act 1998 (DPA) and the Environmental Information Regulations 2004.

If you want information that you provide to be treated as confidential, please be aware that, under the FOIA, there is a statutory Code of Practice with which public authorities must comply and which deals, amongst other things, with obligations of confidence.

In view of this it would be helpful if you could explain to us why you regard the information you have provided as confidential. If we receive a request for disclosure of the information we will take full account of your explanation, but we cannot give an assurance that confidentiality can be maintained in all circumstances. An automatic confidentiality disclaimer generated by your IT system will not, in itself, be regarded as binding on the Department.

TfL will process your personal data in accordance with the DPA and in the majority of circumstances this will mean that your personal data will not be disclosed to third parties.

What Will Happen Next?

A summary of responses, including the next steps and how the Mayor intends to respond to the points raised will be published at www.tfl.gov.uk. Paper copies will be available upon request.

It is anticipated that Final Guidance will be issued on the same day as the revised Mayor's Transport Strategy, which is currently timetabled for April 2010.

Consultation Questions

We would welcome comments in particular in response to the following questions:

1. Is it clear what is required of boroughs in producing their Second LIPs, in particular in relation to the key changes since LIPs were first prepared in 2004-2007?
2. Is it clear what is required in a LIP and what is discretionary?
3. Do you have any views on whether this should change?
4. What aspects of the Second LIP process and Guidance are boroughs and other organisations likely to find most challenging? How can TfL provide additional assistance to boroughs to better understand and address these challenges?
5. Are the proposed mandatory performance indicators appropriate for boroughs?
6. Do you have views on how best to measure and monitor the 'output' indicators ?
7. Do you have any views on the proposed timetable for completing your LIPs ?

Introduction

The Role of Boroughs in Delivering the Mayor's Transport Strategy

- 1.1 London boroughs are vital partners in the delivery of public services in the Capital and in ensuring that the needs and aspirations of all Londoners are met. The manner in which they do this has improved substantially in recent years. Boroughs have worked with other public agencies, residents, businesses and other local stakeholders to achieve a range of desired outcomes and visible improvements on the ground.
- 1.2 Better transport is vital within the overall mix of services that boroughs plan and deliver. The right policies and changes to the way people travel can make a big difference to the local environment, health and the well-being of communities, and economic vitality. The delivery of a vast range of services depends on the efficient and effective transport of people and goods. Choosing the right priorities can also help tackle problems such as climate change, obesity, crime and disorder, and economic development and regeneration, which are often the priorities identified in boroughs' Sustainable Community Strategies (SCSs) and Local Area Agreements (LAAs).
- 1.3 Boroughs have wide transport-related responsibilities. These include planning decisions; statutory highway, traffic and street powers over much of the capital's road network; management of town centres; control over parking; administration of the London Lorry Control Scheme; and the provision of the Freedom Pass. Borough policies, plans, programmes and other activities are therefore crucial to effective delivery of the revised Mayor's Transport Strategy (MTS), alongside those of other agencies such as TfL, Network Rail and the Highways Agency.
- 1.4 This document provides draft Guidance to support boroughs in the development of Local Implementation Plans (LIPs). LIPs provide a framework for boroughs to set out how they will deliver better transport in their area, in the wider context of the revised MTS. They are also a vital tool to help boroughs work with local stakeholders in order to strengthen their place-shaping role, deliver services to the community and address local priorities.
- 1.5 The Mayor is committed to working with the boroughs to deliver more effective and efficient services across the Capital. To this end, he has signed a City Charter¹ which recognises the unique contribution that both the Greater London Authority (GLA) and boroughs have to make in improving the lives of Londoners. The preparation of this Guidance has been undertaken according to the principles of the City Charter.

Statutory Context

- 1.6 A LIP is a statutory document, prepared under Section 145 of the Greater London Authority Act 1999, which sets out how a London borough proposes to implement the revised MTS in its area. It gives boroughs the opportunity to present their plans for transport, which will contribute to the Mayor's stated policies, proposals and priorities, as well as other locally and regionally-important goals.
- 1.7 Each new LIP must be submitted to the Mayor for his approval and the GLA Act 1999 sets out the criteria that must be met before mayoral approval can be given. Section 146 states that the Mayor shall not approve a LIP unless he considers:
 - that the LIP is consistent with the revised MTS;

¹ London City Charter, 29th April 2009.

- that the proposals it contains are adequate for the purposes of the implementation of the revised MTS in its area; and
- that the timetable for implementing those proposals, and the date by which those proposals are to be implemented, are adequate for those purposes.

1.8 Section 144 of the GLA Act, enables the Mayor to issue statutory Guidance on the implementation of the revised MTS to which all boroughs must have regard. He also has reserve powers to issue general or specific directions as to the manner in which a borough is to exercise its functions of preparing and implementing its LIP, with which they must comply.

1.9 This Guidance applies to the preparation of LIPs following publication of the revised MTS in spring 2010 (following consultation with the public and stakeholders). Boroughs' Second LIPs will cover the period of the revised MTS. Within their LIPs, boroughs are required to include a three year costed and funded Delivery Plan of interventions covering the period from April 2011.

1.10 Further information on the statutory legislation covering LIPs is provided in Appendix A.

Purpose of this Guidance Document

1.11 The purpose of this Guidance is to:

- explain how the LIP system is changing and what boroughs will be required to do to prepare their Second LIP;
- set out the policy context for plan preparation including, amongst others, the revised MTS and the TfL Business Plan;
- draw boroughs' attention to areas of the revised MTS where they have a particularly significant role to play;
- indicate where boroughs are required to address certain issues in their LIP, together with those areas where boroughs have flexibility to decide their own responses;
- give advice on who boroughs should consult in the preparation of their LIPs;
- provide advice on how boroughs should set second round LIP outcome targets, related to the revised MTS and their own local priorities;
- set out how second round LIPs will be funded; and
- supply boroughs with information on how their Second LIPs will be reviewed by the Mayor and how delivery of second round LIP programmes will be monitored over time.

1.12 The primary audience for this Guidance is senior officers and elected members in the boroughs, although a range of other stakeholders may have an interest in the preparation of high-quality, inclusive and effective LIPs and subsequent delivery programmes.

1.13 **All requirements which are mandatory for second round LIPs are included in this Guidance document, and are identified using the terminology 'boroughs are required to'. Where the Guidance represents advice on good practice processes, the terminology 'boroughs are advised to' or 'boroughs are encouraged to' is used.**

Key Changes to the LIP Framework

1.14 The statutory requirement on each borough to produce a LIP remains. However, Guidance for the second round of LIPs includes a number of significant changes to the LIP framework, to make them more responsive to local needs, less bureaucratic and more outcome focused.

1.15 A prime objective for the next round of LIPs will be to ensure greater borough ownership of their LIP, along with greater scope to express local priorities within the strategic framework of the revised MTS and the emerging London Sub-Regional Transport Plans (SRTPs), which are being

developed by TfL in close collaboration with boroughs and regional partnerships. The approach will place much greater emphasis on setting and ensuring delivery of agreed targets and wider outcomes, rather than prescribing how this is achieved in terms of detailed expenditure and scheme implementation.

1.16 Boroughs will have more freedom to decide how best to deliver the revised MTS locally and, providing second round LIPs are consistent with the revised MTS priorities, they will be able to better reflect and respond to the challenges and priorities set out in their SCSs and LAAs.

1.17 Table 1.1 describes the most important changes to the preparation of LIPs from the previous LIP Guidance issued by the Mayor in 2004.

Table 1.1 - Key Changes to the Local Implementation Plan Framework

<p>Overview</p> <ul style="list-style-type: none"> • A requirement for second round LIPs to contain an evidence-based and objective-led identification of Borough Transport Objectives, a three year Delivery Plan and Programme, and a Performance Monitoring Plan. • A focus on partnership between the Mayor, TfL and the boroughs in delivering shared objectives, recognising each others' roles and responsibilities and working collaboratively within the context of the principles set out in the City Charter. <p>Policy Context</p> <ul style="list-style-type: none"> • A new set of goals, challenges and outcomes for the revised MTS (and emerging London SRTPs). • A requirement for the boroughs to set out how they will work towards achieving five revised MTS goals, based on evidence of local problems, challenges and opportunities. • Greater emphasis on placing transport within the wider policy context, including cross-sector service delivery and community and corporate priorities. • Mode or policy specific plans and strategies to be integrated within the main LIP document. No longer a specific requirement to include a separate road safety plan, a parking enforcement plan, and a school travel strategy as part of the LIP submission. <p>Funding and Delivery</p> <ul style="list-style-type: none"> • A three year formula funding for to provide boroughs with certainty of funding in determining their Second LIP programmes (annual funding submissions, along the lines of the Transition Year 2010-11 submissions, still required). • Major Schemes subject to Step Appraisal and Approval process, and funded through a competitive bidding process from a separate part of the overall LIP funding budget. This replaces the Area-Based Scheme appraisal and approval process for Town Centre, Station Access, and Streets for People schemes. • A move away from the input focused requirement to provide detailed information on expenditure and individual schemes and programmes. <p>Targets, Monitoring and Reporting</p> <ul style="list-style-type: none"> • Core set of monitoring indicators to be defined by TfL. Greater scope for boroughs to set challenging but locally specific targets for the core indicators, through negotiation and agreement with TfL. Possible identification of local targets and indicators by boroughs to support local priorities. • A final Delivery Report to be submitted in 2014 reporting on achievements and outcomes relating to the implementation of the three year Delivery Plan; • An annual meeting with TfL to discuss progress and identify potential risks to delivery; and annual reporting of outcome data.
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1.18 TfL are aware that this approach represents a significant change in how boroughs have planned and delivered transport in their areas since the creation of the GLA in 2000. It is therefore ready to assist boroughs in understanding and acting on the new approach and addressing any technical, operational and practical challenges which may arise. TfL and London Councils also hopes that boroughs themselves will work with each other to develop the skills, competencies and behaviours

required for the second round of LIPs and will look to develop and share good practice from an early stage.

Timescales

- 1.19 The second round of LIPs will become effective from **April 2011**. This timeframe will align with the renewal of each borough's LAA.
- 1.20 The table below sets out the key timescales and milestones for boroughs to prepare their Second LIPs within the context of the revision of the MTS. In particular, boroughs are required to submit their draft Second LIP to TfL by the end of **December 2010**.
- 1.21 Timescale and milestones for the preparation of the five London SRTPs will be provided by TfL in due course, although it is intended that boroughs will have relevant information on regional priorities and emerging interventions by the end of 2009.
- 1.22 TfL intend to hold a series of regional workshops from November 2009 which will inform boroughs' preparation of their second LIPs.

Table 1.2 - Timescales for Preparation and Approval of Second LIPs

Milestone	Date
TfL and London Councils issue draft Second LIP Guidance for consultation with boroughs and statutory consultees	12 th October 2009
TfL runs workshops on preparation of Second LIPs and boroughs start local engagement on local priorities	October 2009 – January 2010
Consultation closes	18 th December 2009
Mayor publishes the revised MTS and the final Second LIP Guidance	April 2010
Boroughs commence Second LIP preparation in detail	Early 2010
Boroughs submit Annual Funding submission to TfL for 2011/12	September 2010
Boroughs submit their consultation draft Second LIP for consideration by TfL.	December 2010
TfL responds to boroughs, indicating whether the Second LIP is acceptable or whether changes are needed	February/March 2011
If required, boroughs amend their Second LIPs. Mayoral approval to follow submission of final Second LIP	April – June 2011

- 1.23 Boroughs are required to submit a draft for consultation to TfL, as a statutory consultee, in December 2010. It is for boroughs to decide when and how extensively they will consult with the other statutory consultees, though may consider it appropriate to do this at the same time. A full list of these statutory consultees can be found in Chapter 3.

2. Policy Context

Introduction

- 2.1 This Chapter sets out the policy context for the next round of LIPs. It covers the London-wide context of the revised MTS, its more detailed articulation at a regional level and the local policy context relating to the boroughs. The Chapter also considers the link between LIPs and LAAs and a range of other key local frameworks within which boroughs plan and deliver services, and promote the quality of life of their areas.

The Mayor's Transport Strategy

- 2.2 LIPs must be firmly grounded in evidence and analysis of local challenges and issues, within the broader context of the goals, challenges and outcomes contained in the revised MTS. Boroughs are required to take account of these goals, challenges and outcomes in developing and implementing transport interventions. Where proposed borough interventions will contribute to outcomes which are contrary to the revised MTS goals, boroughs are required to provide robust justification based on local circumstances and/or explain why they consider particular Mayoral goals are not applicable in their boroughs.
- 2.3 The draft revised MTS is framed within the Mayor's vision for London, set out in the public consultation draft of the London Plan, 'A New Plan for London. The Mayor's vision is that over the years to 2031:
- “London should excel among global cities – expanding opportunities for all its peoples and enterprises, achieving the highest environmental standards and quality of life and leading the world in its approach to tackling the urban challenges of the 21st century.”***
- 2.4 The Plan proposes to deliver this vision through six overarching objectives, the last of which is to create:
- “A city where it is easy, safe and convenient for everyone to access jobs, opportunities and facilities, with an efficient and effective transport system which places more emphasis on walking and cycling and making better use of the Thames, and supports delivery of all the objectives of this Plan.”***
- 2.5 The Mayor is seeking to achieve his vision by focusing the policies and proposals in his transport strategy on achievement of the following six overarching revised MTS goals:
- **supporting economic development and population growth**
 - **enhancing the quality of life for all Londoners**
 - **improving the safety and security of all Londoners**
 - **improving transport opportunities for all Londoners**
 - **reducing transport's contribution to climate change, and improving its resilience**
 - **supporting delivery of the London 2012 Olympic and Paralympic Games and its legacy**
- 2.6 The rationale and detail of each of these goals is set out in the revised MTS. The related challenges which each goal is seeking to address are summarised in Table 2.1, along with the outcomes which the Mayor has identified and will be used to prioritise the need for policy interventions and specific proposals.

Table 2.1 - Revised MTS Goals, Challenges and Outcomes

Goals	Challenges	Outcomes (those relevant to LIPs are highlighted in bold)
Support economic development and population growth	Supporting population and employment growth	<ul style="list-style-type: none"> ● Balancing capacity and demand for travel through increasing public transport capacity and / or reducing the need to travel
	Improving transport connectivity	<ul style="list-style-type: none"> ● Improving employees' access to jobs ● Improving access to commercial markets for freight movements and business travel, supporting the needs of business to grow
	Delivering an efficient and effective transport system for people and goods	<ul style="list-style-type: none"> ● Smoothing traffic flow (managing road congestion and improving journey time reliability) ● Improving public transport reliability ● Reducing operating costs ● Bringing and maintaining all assets to a state of good repair ● Enhancing the use of the Thames for people and goods
Enhance the quality of life for all Londoners	Improving journey experience	<ul style="list-style-type: none"> ● Improving public transport customer satisfaction ● Improving road user satisfaction ● Reducing public transport crowding
	Enhancing the built and natural environment	<ul style="list-style-type: none"> ● Enhancing streetscapes, improving the perception of the urban realm and developing better streets initiatives ● Protecting and enhancing the natural environment
	Improving air quality	<ul style="list-style-type: none"> ● Reducing air pollutant emissions from ground based transport, contributing to EU air quality targets
	Improving noise impacts	<ul style="list-style-type: none"> ● Improving perceptions and reducing impacts of noise
	Improving health impacts	<ul style="list-style-type: none"> ● Facilitating an increase in walking and cycling
Improve the safety and security of all Londoners	Reducing crime, fear of crime and anti-social behaviour	<ul style="list-style-type: none"> ● Reducing crime rates (and improved perceptions of personal safety and security)
	Improving road safety	<ul style="list-style-type: none"> ● Reducing the numbers of road traffic casualties
	Improving public transport safety	<ul style="list-style-type: none"> ● Reducing casualties on public transport networks
Improve transport opportunities for all Londoners	Improving accessibility	<ul style="list-style-type: none"> ● Improving the physical accessibility of the transport system ● Improving access to jobs and services
	Supporting regeneration and tackling deprivation	<ul style="list-style-type: none"> ● Supporting wider regeneration outcomes
Reduce transport's contribution to climate change, and improve its resilience	Reducing CO ₂ emissions	<ul style="list-style-type: none"> ● Reducing CO2 emissions from ground based transport, contributing to a London-wide 60% reduction by 2025
	Adapting for climate change	<ul style="list-style-type: none"> ● Maintaining the reliability of transport networks
Support the delivery of the London 2012 Olympic and Paralympic Games and its legacy	Contributing to a successful Games and its legacy	<ul style="list-style-type: none"> ● Transport infrastructure and services ● Physical and behavioural transport legacy

- 2.7 Within their LIPs, boroughs are required to identify how they will work towards achieving the revised MTS goals and they should address each of the challenges and outcomes in a manner that they consider will achieve the objectives of the revised MTS. Boroughs are not required to identify how they will achieve the sixth goal of the revised MTS ('to support the delivery of the London 2012 Olympic and Paralympic Games and its legacy'), though they may choose to consider this if deemed to be locally important.
- 2.8 Boroughs are not required to provide a detailed response to each of the Mayor's policies and proposals set out in the revised MTS. The Mayor's requirements of borough LIPs in supporting the revised MTS as included in the revised draft MTS can be found in Appendix B.

London's Transport Geography

- 2.9 The revised MTS emphasises the importance of understanding London's transport connectivity in a wider spatial context. This is structured at a number of levels: internationally, nationally, regionally, and locally. It is important that the revised MTS and borough LIPs are tailored to the nature, location and scale of the complex and overlapping issues at each of these levels, and that those organisations that are best placed to develop and deliver solutions which address the challenges are able and enabled to do so. This is an approach taken by the Department for Transport (DfT) in its evolving national transport framework, *Delivering a Sustainable Transport System* (DaSTS) and the Mayor is keen to adopt a similar methodology, adapted to the needs of London.
- 2.10 Table 2.2 sets out how transport movements interact at different levels collectively to make up a "hierarchy" of transport connectivity.
- 2.11 Different organisations will therefore have primary responsibility for alternate levels of the hierarchy. The Department for Transport, for example, has a key role in assessing challenges, generating options and identifying investment priorities, policies and regulation for the international and national networks. These might include connections to the European High Speed Rail Network, new airport runway or terminal capacity, management of the M25 or access to international sea ports such as Southampton and Felixstowe.
- 2.12 Similarly, TfL has a key role in determining action at the London-wide scale and certain regional networks, such as increasing the capacity, reliability and quality of service on the Underground, Docklands Light Railway or TfL Road Network. However, regional and local transport networks are vital in supporting London's economy and enabling the growth of key metropolitan centres, local town centres and regeneration areas.
- 2.13 The boroughs, both individually and collectively, have a key role in determining and delivering interventions at the sub-regional and local level, as well as influencing those charged with the delivery of international, national and London-wide networks in their areas. Within their LIPs, boroughs should focus on interventions at this level of the hierarchy.

London Sub-Regional Transport Plans

- 2.14 The above approach implies a greater focus on regional transport planning than has previously been the case in London. To this end TfL, in conjunction with the GLA and London Development Agency (LDA), has been working closely with the boroughs to develop an integrated approach to transport and land use in London, based around five sub-regions. The intention is that the boundaries of each of these London sub-regions – Central, North, South, East and West – should be flexible or "fuzzy" to take account of overlapping issues.

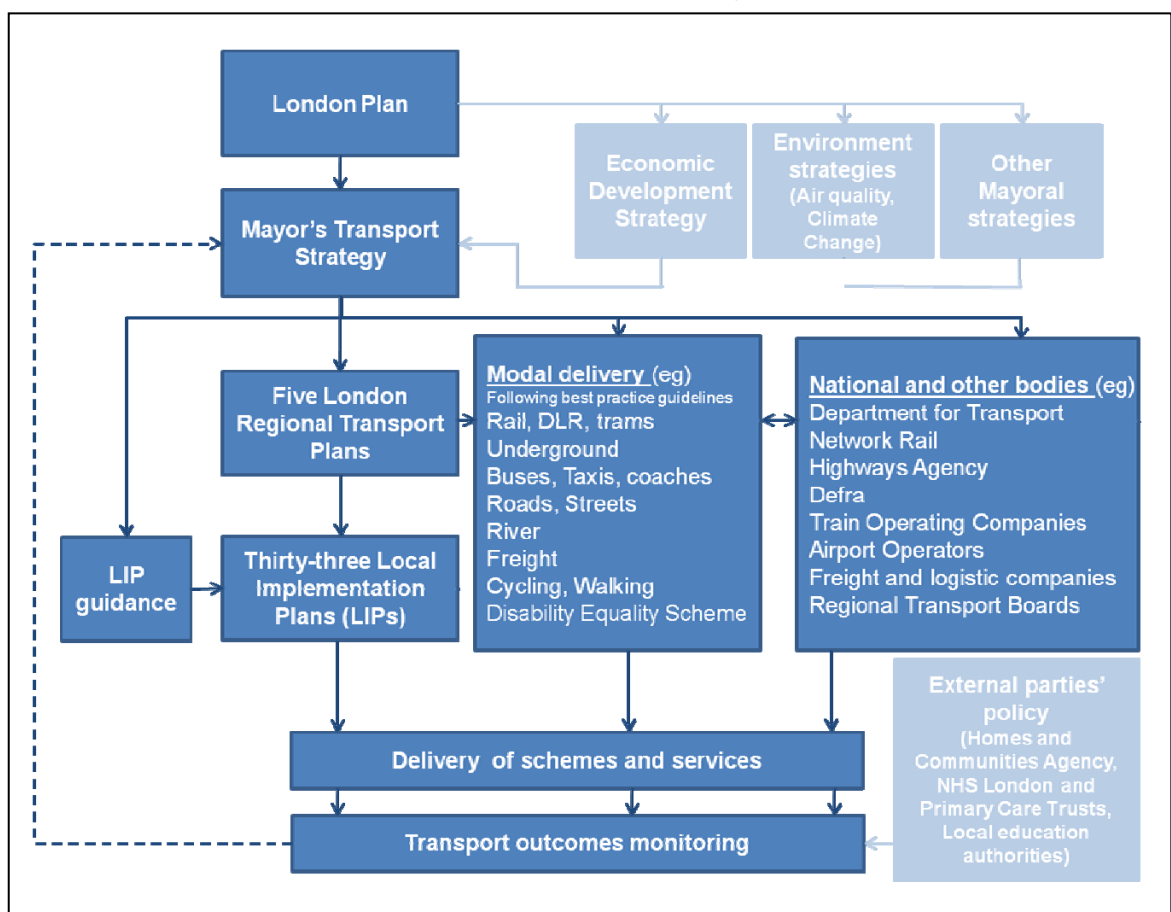
Table 2.2 – Transport Networks in London

	Key Origin/ Destination	Multi-modal transport corridors and modal services	Access to corridors/networks
International, national and inter-regional trips to and from London	International World cities International business centres Other international destinations	International transport corridors (air, rail, road, sea) International passengers and freight services (flights, European rail, coach, sea)	International airports International sea ports International rail and coach stations International rail and freight hubs
	National and Inter-regional Major UK cities Growth areas Major commuter areas Logistics centres	Inter-regional and national strategic transport corridors (air, rail, road) Long-distance passenger and freight services (e.g. flights, national rail, private car, logistics, coach, etc)	Domestic airports National railway stations Major motorway junctions Major road and rail freight hubs Major coach stations
London-wide	Central Activities Zones Canary Wharf Heathrow growth and opportunity areas (from London Plan), etc	London-wide strategic transport corridors (e.g. major roads, rail, Tube, coach) London-wide services (e.g. private car, national rail, Tube, logistics, etc)	Major rail stations Major Tube stations Major bus and coach interchanges Major road junctions Freight distribution centres
Sub-regional (London regions)	Metropolitan town centres Major shopping centres Key regional services (e.g. hospitals, colleges, etc.)	Sub-regional strategic transport corridors (Tube, local rail, DLR, tram, transit, main roads and streets, bus corridors, cycling corridors, major walking routes in central London) Sub-regional services (private car, taxi, private hire, Dial-a-Ride, Tube, DLR, tram, bus, transit, deliveries, cycling, walking, etc.)	Rail stations Tube/DLR Stations Transit/tram stops Bus interchanges/coach stops Major road junctions Cycle hire “hubs” Freight distribution centres
Local	Local town centres Residential areas Major employers Local services (e.g. schools, doctors, local shops, etc) Industrial estates	Local strategic transport corridors (e.g. local roads and streets, local rail, DLR, tram, bus routes, cycling corridors, local freight deliveries, walking routes, etc) Local services (walking, private car, bus, taxi, private hire, Dial-a-Ride, DLR, tram, cycling, deliveries, etc)	Local Tube stations Local rail stations Local road junctions Cycle hire “hubs” Bus stops Kerbside

2.15 In parallel with the development of the revised MTS, TfL is developing a stronger analytical, policy and delivery capability at regional level. This will allow the approach of the revised MTS to be articulated in more detail and reflect the greater diversity of challenges which different parts of London face. Specifically, TfL is working in collaboration with the boroughs and relevant regional partnerships to develop London Regional Transport Plans (SRTPs) which will set out the key issues in each sub-region, the options for addressing them and the mix of policy, regulation and investment to be taken forward in the medium-to-long term. The approach will be underpinned by enhanced modelling capability and analysis against which land use and transport scenarios can be assessed. This will assist in the identification of key priorities for the regions, help ensure consistent assessment of proposals and provide a basis for the monitoring of outcomes.

- 2.16 Figure 2.1 shows how the various London, regional and local strategies and plans inter-relate. The process of developing the London SRTPs has commenced in all the five regions. This includes starting to identify the challenges and opportunities in each region, and starting to develop strategic transport models.
- 2.17 Within their LIPs, boroughs are required to demonstrate how they have taken the emerging SRTPs into account in preparing their Second LIP objectives, targets and delivery plans. TfL will provide regular updates on the regional analysis as a means of informing Second LIPs.
- 2.18 The relationship between the London SRTPs and LIPs should be considered to be dynamic in nature. SRTPs will be ‘live’ documents which will be informed by the boroughs and will be updated on an on-going basis.

Figure 2.1 – Relationship between the revised MTS, London Sub-Regional Transport Plans, LIPs and TfL Modal Delivery



TfL Business Plan and Investment Programme

- 2.19 Boroughs are required to also take account of TfL’s Business Plan and Investment Programme² in preparing the Borough Transport Objectives and Delivery Plan components of their LIPs.
- 2.20 The Business Plan, which is updated each year, sets out how the revised MTS strategic policy objectives will be delivered by TfL through its core programmes and operating units. The current

² <http://www.tfl.gov.uk/corporate/about-tfl/investorrelations/1462.aspx>

TfL Business Plan 2009/10 – 2017/18³ includes the following elements for the delivery of Mayoral priorities:

- significant upgrades of key Underground lines, such as the District Line and Jubilee Line, with substantial capacity increases, new trains and interchange improvements, including an increase in step-free access;
- capacity upgrades on all lines of the Docklands Light Railway and completion of the extension to Stratford International;
- the transformation of the London Overground network, including completion of the extension of the East London Line, new trains and refurbished stations;
- works to deliver Crossrail, providing a 10 per cent increase in London's rail-based public transport capacity with high-frequency and high capacity interchanges in a number of boroughs;
- changes to the bus network, including cleaner more accessible vehicles, replacement of articulated vehicles as contracts come up for renewal, a trial of orbital express buses in Outer London, improved passenger information through I-Bus, transit schemes in East London and continuing a programme to make all bus stops accessible;
- smoothing London's traffic flow, through such measures as the optimisation of traffic lights, coordination of road works and continued development of Intelligent Transport Systems;
- major improvements at key transport interchanges at Tottenham Court Road, Victoria, Bond Street and Paddington, relieving congestion and improving the environment for passengers, as well as more moderate enhancements elsewhere;
- continued investment in smarter measures, aimed at changing public attitudes and travel behaviour; and
- major initiatives to promote walking and cycling, improve the public realm and, where appropriate, promote shared use of road space.

2.21 The Business Plan fully recognises the central role of the boroughs in delivering the Mayor's policies and proposals and the need for close partnership in bringing this about. As well as the changes to the LIP funding and reporting process itself, the Plan commits TfL to continued significant capital funding of LIP-related programmes throughout its period, balancing this with other investment needs and the requirement to ensure value for money and achievement of efficiency savings.

2.22 A number of major initiatives are set out in the Business Plan and Investment Programme which boroughs should take into account in preparing their LIPs. As well as direct impacts in terms of transport capacity and connectivity, some schemes, such as Crossrail, will support significant local development of housing and employment and wider regeneration which will themselves require investment in local transport networks. Where appropriate, boroughs should consider parallel or complementary policies and investment proposals at the local level.

2.23 As part of the process of the second round LIP development, TfL will provide details of committed plans for schemes, programmes and policies which will be delivered within each borough over the Business Plan period. Details of planned work programmes on the TLRN, from 2010/11 to 2012/13 are available on the Boroughs Extranet. Boroughs should refer to this when planning their own works.

³ A revised budget was published in March 2009 in which some of the schemes (Greenwich Transit, etc) were removed from the Plan. A revised Business Plan for the period from 2010/11 will be published in November 2009.

Local Policies

- 2.24 LIPs are important tools to help each borough work with its stakeholders to strengthen its place-shaping role and its delivery of services to the community. The new flexibilities outlined in Chapter 1 and the relationship of LIPs to the wider local policy context should enable every authority to prepare a Plan which best meets its own individual needs.
- 2.25 Individual boroughs are encouraged to demonstrate consistency between the suite of documents applying to their area. In particular, there is an opportunity for authorities to develop plans that link transport with an area's wider agenda, such as education, employment, health, equality and social exclusion, crime and the environment. Close engagement with the Local Strategic Partnership (LSP) and other local service providers will help integrate other organisations' planning for services with the borough's transport goals.

Sustainable Community Strategies, Local Strategic Partnerships and LAAs

- 2.26 Sustainable Community Strategies (SCSs) provide the overall strategic direction and long-term vision (typically 10-20 years) for the economic, social and environmental well being of a local area, backed by clear evidence and analysis. All boroughs are required to have an SCS in place, developed and agreed with the relevant LSP. The LAA represents a three-year action plan based on the SCS, provides the mechanism for Central Government and the local authority and its partners to agree key targets and priorities, and for Government resources to be rationalised across previously separate funding streams into the new Area-Based Grant.
- 2.27 SCSs and LAAs are now in place for all boroughs and provide a new vehicle to improve the delivery of local services, secure better quality of life and stronger local economies. They provide one of the principal means by which boroughs can pursue their "place shaping" role and an opportunity to focus resources on the priorities which matter most to the general well being of local residents, businesses and other stakeholders.
- 2.28 LAAs are also at the heart of the Government's new National Performance Framework, which contains ten transport-related National Indicators which have also been adopted, or are in the process of being adopted, for use in London. Investment in transport can also play a significant role in delivering a wide range of other National Indicators. Performance by boroughs in delivering their LAAs will be an important consideration by the Audit Commission in their Comprehensive Area Assessment.
- 2.29 Boroughs are encouraged to ensure that the preparation of their Second LIP is informed by their SCS and should ensure that their LIP Delivery Plans are fully consistent with plans to achieve the targets set in their LAAs.
- 2.30 Stakeholders, especially the LSPs, with responsibility for working with boroughs in developing and delivering SCSs and LAAs offer borough transport officers opportunities to discuss the importance of transport in delivering a wide range of local objectives and priorities. These opportunities should be considered as part of the overall approach to consultation and engagement for second round LIP development.

Local Development Frameworks

- 2.31 There is now a two-tiered planning system consisting of a Regional Spatial Strategy (the London Plan) setting out a broad spatial planning strategy for how a region should look in 15 to 20 years time and a Local Development Framework (LDF), a folder of development documents prepared by local planning authorities (London boroughs) that outlines the spatial planning strategy at a local level. Local Development Documents can include the borough-wide core strategy, development policies, site allocations and area action plans. In London, LDFs, together with the London Plan determine how the planning system will shape the local area and set the policy framework for decisions on planning applications.

2.32 In preparing borough wide core strategies, planning authorities are required to work with infrastructure providers including TfL to ensure that the development strategy will be supported by timely delivery of transport infrastructure. Although the two processes will have different timescales, the development of second round LIPs provides an opportunity to align the process of infrastructure planning to inform core strategies with wider transport planning objectives

2.33 It is critical that transport and spatial planning are closely integrated, not only in relation to the policy framework but also the way in which this is translated into practice. Both need to be considered from the outset in decisions on the location of key destinations such as housing, hospitals, schools and businesses as well as the design of facilities and their relationship to the surrounding environment. The second round LIPs should therefore be closely aligned with LDFs.

Economic Assessment Duty

2.34 The Government's Sub-National Review of Economic Development and Regeneration (SNR) includes a proposed duty on local authorities to carry out an economic assessment of their area, consulting a wide range of local partners and stakeholders in the process. This duty extends to London boroughs and primary legislation is currently progressing through Parliament⁴.

2.35 Where they consider it appropriate, boroughs should consider the economic prosperity and regeneration of their areas and how these agendas can be supported through better transport. This may require transport officers to engage with others within the borough responsible for planning and development, as well as seek views of residents and businesses on key challenges.

Other Relevant Documents and Initiatives

2.36 Boroughs should have regard to these strategies in as far as they are referenced in the revised MTS.

Other Mayoral Strategies

2.37 Other Mayoral strategies of relevance are:

- the London Plan⁵,
- the Mayor's Economic Development Strategy⁶
- the Mayor's Housing Strategy (2008),
- the Mayor's Public Realm Vision (including Better Streets)⁷;
- the Mayor's Ambient Noise Strategy (2004),
- the Mayor's Air Quality Strategy⁸; and
- the Mayor's Biodiversity Strategy (2002).

Mayor's Outer London Commission

2.38 The Mayor set up the Outer London Commission to review the opportunities to improve the economy, quality of life of residents and provision of transport in outer London. The draft revised MTS reflects the interim findings of the commission which included:

- that the development of London should be based upon a "hub and spoke" approach, making particular use of the existing town centre network and recognising other strategic business locations;

⁴ The Local Democracy, Economic Development and Construction Bill 2008.

⁵ A new draft is due to be published on the same date as the revised MTS.

⁶ A new draft is due to be published on the same date as the revised MTS.

⁷ To be published in November 2009.

⁸ A new draft was published in October 2009.

- that transport should meet the needs of people to access places, with a competitive choice of goods and services; and
- that solutions for outer London vary and need to be applied flexibly at a local level.

2.39 In preparing their LIPs, boroughs should take account of the final recommendations of the Commission, when they are published in autumn 2009.

Climate Change

2.40 The Climate Change Act 2008 commits the Government to reducing greenhouse gas emissions across the UK economy by at least 80% on 1990 levels by 2050. The challenging nature of these targets means that the transport sector will need to make a substantial contribution to any reductions. The Mayor has identified reducing transport's contribution to climate change and improving its resilience as one of the goals of the revised MTS.

2.41 Boroughs should consider the challenges of climate change in developing their second round LIPs. This may, for example, include bringing forward policies and investment plans which facilitate travel behaviour change, encourage take-up of sustainable travel modes and reduce the need to travel through, for example, smarter travel measures. A number of boroughs have already shown their commitment to reducing transport's contribution to climate change through the selection of targets against national indicators in their LAAs and LIPs offer the opportunity to take these commitments further.

2.42 In addition to measures to reduce greenhouse gas emissions, it is important that boroughs consider policies and measures to improve the resilience of their transport networks to the effects of climate change in their area, for example in light of a potential increase in the incidence of extreme weather events.

2.43 The Mayor's detailed strategy and approach towards climate change, including both mitigation and adaptation, will be outlined in a new Mayor's Climate Change Mitigation and Energy Strategy⁹ and a Mayor's Climate Change Adaptation Strategy¹⁰. These will be statutory strategies as provided for in the Greater London Authority Act 2007.

Air Quality Action Plans

2.44 London boroughs have a duty to review and assess local air quality under the UK Air Quality Strategy. Where boroughs have declared an Air Quality Management Area (AQMA), they are required to produce an Air Quality Action Plan (AQAP) indicating how they plan to improve air quality. Where air quality is a transport issue, the integration of AQAP with LIPs should provide a systematic way of joining up air quality management and transport planning. The LIP should examine and report on options on addressing air quality problems and any risks that policies might have on achieving targets.

Crime, Fear of Crime and Anti-Social Behaviour

2.45 Crime and fear of crime on the transport system can have a major effect on people's willingness to travel and their ability to access jobs and services that they need.

2.46 Boroughs should consider policies and proposals which will contribute to reducing crime, fear of crime and anti-social behaviour. Initiatives should be informed by, and integrated into, wider community safety strategies, as well as policies set out in the revised MTS. Boroughs are advised to liaise with transport operators, the police, Crime and Disorder Reduction Partnership (CDRPs), town centre managers and community groups to consider how their policies can make a valuable contribution to reducing crime in general and on the transport system.

⁹ Assembly and Functional Body Draft to be published in Autumn 2009.

¹⁰ Public Consultation Draft to be published in Autumn 2009.

3. Preparing a Local Implementation Plan

Overview

- 3.1 A LIP is intended to set out a borough's proposals for implementing the revised MTS at a local level. Boroughs are required to include the following components within their LIP:
- an evidence-based and objective-led identification of **Borough Transport Objectives** covering the period 2011 to 2014 and beyond, reflecting the timeframe of the revised MTS;
 - a costed and funded **Delivery Plan** of interventions, including a programme of investment covering the period **2011/12 to 2013/14**. This should be consistent with borough's three year funding allocations to be announced in 2010;
 - a **Performance Monitoring Plan**, identifying a set of locally specific targets which can be used to assess whether the Plan is delivering its objectives and to determine the effectiveness of the Delivery Plan.
- 3.2 The Borough Transport Objectives should provide the context for, and determine, the Delivery Plan, and the Performance Monitoring Plan. Boroughs are required to ensure that their Second LIPs make a clear distinction between these three components.

Preparing the Plan

- 3.3 Boroughs should take a fresh look at the implementation proposals contained in either their first LIP or in other more up to date documents when preparing their second LIP. LIP proposals for the second round will need to take account of the goals, challenges and outcomes in the revised MTS, the priorities set out in the SRTPs, and local priorities expressed in the SCS, LAA, LDF and other locally important policies. This will involve more than simply rolling forward proposals from the first LIP.

Length and Time Required

- 3.4 It is for individual boroughs to determine the length of their LIP documents, and the level of detail provided. However, this should be consistent with the time available for preparation (i.e. approximately 8 months between publication of the Final LIP Guidance in April 2010 and submission of Second LIPs for review by TfL in December 2010).
- 3.5 Second LIP documents are intended to be shorter and more concise than those produced for the first round of LIPs.

Using Existing Evidence

- 3.6 As far as possible, boroughs should draw on existing evidence and work undertaken; for example:
- the revised MTS;
 - data and analysis undertaken for the SRTPs;
 - Travel in London: Key trends and developments - Report Number 1 (TfL, 2009);
 - previous work undertaken to identify problems, issues and priorities, for the Sustainable Community Strategy (SCS), Local Development Framework, and other local policy documents;
 - the LIP1 Performance Reports; and,
 - data produced for the National Indicator set and the LAA.
- 3.7 In many cases, boroughs should be able to identify their local objectives and priorities for transport, relatively quickly, using existing evidence and policy analysis work.

Sources of Guidance and Best Practice

- 3.8 The DfT has produced a web-based *Policies and Good Practice Handbook* (July 2009), as a reference tool for authorities outside London in preparing and developing their Local Transport Plans. A number of the links also provide information which boroughs may find useful in preparing their LIPs.
- 3.9 The Handbook can be found at:
<http://www.dft.gov.uk/pgr/regional/ltip/guidance/localtransportplans/policies/>

Name of the LIP Document

- 3.10 Boroughs may choose to give their LIP document another name to suit local circumstances. If the main title is not 'Local Implementation Plan' then a sub title is needed to state that the document is the borough's LIP, e.g. the document could be called '*Thamesdon's Future for Transport – Thamesdon's Local Implementation Plan*'.

Borough Transport Objectives

Overview

- 3.11 This section should set out key issues over the timescale of the revised MTS, what the borough wants to achieve (within the context of the revised MTS) and how it intends to do it. It provides the strategic framework for determining the Delivery Plan or Programme, and the Performance Monitoring Plan.

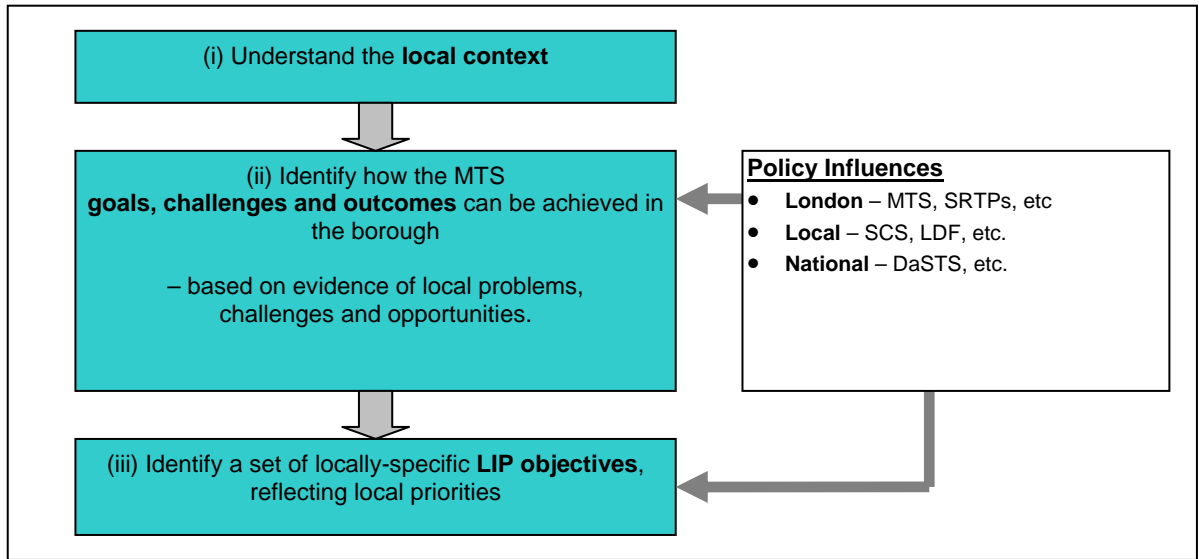
Summary of Core Requirements
<p>Boroughs are required to:</p> <ul style="list-style-type: none"> • set out the local context and geographical characteristics of their boroughs; • identify how the revised MTS goals, challenges and outcomes will be achieved at borough level – based on evidence of local problems, challenges and opportunities: • identify a set of locally-specific LIP objectives which reflect local priorities.

- 3.12 In identifying their Borough Transport Objectives, boroughs are encouraged to follow a broad process, as illustrated in Figure 3.1 and summarised below:
- (i) Understand the **local context**.
 - (ii) Identify how each of the five revised **MTS goals** can be achieved within the borough by addressing the revised **MTS challenges** and achieving the associated desired **outcomes** (Table 2.1), based on evidence of local problems, challenges, and opportunities (including those arising from planned investment by TfL) which need to be addressed.
 - (iii) Identify a set of locally-specific **LIP objectives**, reflecting local priorities.

(i) Understand the local context

- 3.13 Boroughs are required to set out the local context and geographical characteristics of their boroughs, including key origin and destination points (e.g. town centres), connections to and between local centre local strategic transport corridors, and gateways onto strategic networks (e.g. local Tube stations, bus stations and interchanges and important road junctions). This information may best be presented in a series of maps.

Figure 3.1 – Identifying Borough Transport Objectives



(ii) Identify how the revised MTS goals, challenges and outcomes will be achieved at a borough level

- 3.14 Boroughs are required to identify how the five revised MTS goals will be achieved at a borough level by addressing the revised MTS challenges and achieving the associated desired outcomes. This must be based on evidence of local problems, challenges, and opportunities (including those arising from planned investment by TfL) which need to be addressed.
- 3.15 Boroughs should identify which problems, challenges, and opportunities are most important at a local level to address within the timescale of the LIP and within the context of:
- the London SRTPs - which will identify key challenges and present qualitative and quantitative analysis of future demographic, economic and transport trends; and,
 - their SCS.
- 3.16 Issues for analysis could include demographic trends, environmental issues, economic circumstances, existing transport infrastructure capacity, travel patterns and trip rates, traffic growth, connectivity of existing networks and stakeholder views based on consultation.
- 3.17 Boroughs should focus on identifying problems and challenges at the local level of the planning hierarchy (see Table 2.2), but recognise that there are shared corridors and neighbourhoods across different geographical levels. For example, in South London, the A23 is important at a London-wide, regional and local level, but the transport issues at each of these hierarchies are different. At a local level, issues relate to conflicts between strategic and local needs, such as balancing requirements for parking and access to local shops with the need to maintain un-congested through traffic, etc.

(iii) Identify a set of locally-specific LIP objectives, reflecting local priorities

- 3.18 Setting clear objectives ensures a consistent focus throughout the LIP document; ensures the most significant local problems, challenges and opportunities are addressed; informs the relative priority given to different areas of spend within the Delivery Plan' and informs the selection of performance monitoring indicators and decisions about how challenging targets should be.
- 3.19 Boroughs are required to identify a set of locally specific LIP objectives, which represent local priorities, and which identify desired outcomes. Some objectives could look outside the transport agenda to wider corporate priorities set out in the SCS and other local policies, providing they are consistent with the revised MTS.

- 3.20 It is likely that a mix of SMART (Specific, Measurable, Achievable, Realistic and Time-limited) and more qualitative objectives will be required, as outcomes for some policy areas (e.g. crime) are difficult to quantify.
- 3.21 Boroughs should describe how their objectives have been identified and demonstrate linkages with the revised MTS goals, challenges and outcomes (Table 2.1); the priorities set out in the SRTPs; and, those expressed in local policy documents.
- 3.22 If any LIP objectives are not consistent with the revised MTS goals, challenges and outcomes (or the Mayor’s detailed policies and proposals), boroughs are required to highlight this within their LIPs and provide a justification for why local need outweighs London-wide objectives. Where this is likely to arise, boroughs should contact TfL at the earliest possible opportunity to discuss further.
- 3.23 Boroughs are required to identify how the Borough Transport Objectives has been informed by the Strategic Environmental Assessment, an Equality Impact Assessment and the borough’s Network Management Duty - see section on *Statutory Requirements and Other Processes* at the end of this chapter.

Preparing the Delivery Plan

Overview

- 3.24 Boroughs are required to prepare a Delivery Plan to identify how they will achieve the LIP objectives identified in the Borough Transport Objectives section of their LIP. This will include a three year Programme of Investment (for 2011/12, 2012/13 and 2013/14) which will provide a costed and funded business plan for the LIP, setting out in broad terms what is to be delivered and how this will be funded. Boroughs are also required to submit an annual spending submission, similar to that required for the 2010/11 Transition Year.

Summary of Core Requirements
<p>Within the Delivery Plan boroughs are <u>required</u> to:</p> <ul style="list-style-type: none"> • provide a high-level breakdown of proposed spend, by year (i.e. separately for 2011/12, 2012/13 and 2013/14), and by category (the Programme of Investment); • identify from where the required funding would be resourced, including TfL LIP Funding, Council capital and revenue-based funding and third party commitments (e.g. section 106 or government grants); • identify which of the revised MTS goals each programme category supports; and • set out their programme of formula funded interventions for 2011/12 in Proforma A2 (separate annual submissions will be required for 2012/13 and 2013/14), and describe the overall approach or process for drawing up their annual programme.

Programme of Investment

- 3.25 Boroughs are required to include a costed and funded high level Programme of Investment, covering the period 2011/12 to 2013/14 (this can be longer for proposed Major Schemes). The Programme should be derived from the identified Borough Transport Objectives, and act as a business plan for implementing the changes expressed through the LIP objectives. It should cover:
 - **Corridors and Neighbourhood Programmes** – Holistic or area-based interventions, including the former LIP1 programmes covering Bus Priority incl. 3G, Bus Stop Accessibility, LCN Plus, Cycling, Walking, Local Safety Schemes, 20 mph zones, Freight, Regeneration, Environment, Accessibility, Controlled Parking Zones (including cycle parking, Olympic cycle networks, shared space, reduction of clutter, and electric charging points);

- **Smarter Travel Programmes** - School and Workplace Travel Plans, Travel Awareness, and Education, Training & Publicity;
- **Maintenance Programmes** – Bridge Strengthening & Assessment and Principal Road Renewal; and
- **Major Schemes** – Interventions generally costing more than £1 million over the whole life of the project.

- 3.26 The Programme of Investment must identify proposed spend by year (i.e. separately for 2011/12, 2012/13, and 2013/14), and by broad category. Category headings are to be determined by individual boroughs and could be based on corridors, areas, policy themes, or intended outcomes. Boroughs are advised to consider packages or groups of complementary and holistic measures, designed to deliver a range of area or corridor-based outcomes.
- 3.27 The Plan does not need to provide details of every scheme or measure the borough is intending to implement, or the component details of proposed packages of measures.
- 3.28 The Programme of Investment will provide TfL with a clear view of borough delivery and how it fits with TfL Investment and Business Plans. It should also align the LIP with the second round of the new LAAs, for Comprehensive Area Assessment purposes.
- 3.29 Proposed levels of spend should be treated as indicative only, acknowledging that boroughs have the flexibility to change or update their annual programmes in response to delays and cost over-runs, stakeholder feedback, new evidence of the impact of previous similar interventions, changes in priorities, etc. For example, a borough may wish to give greater priority to road safety investment, if monitoring of performance indicators at the end of Year 1 (2011/12) shows an increase in the number of road casualties. However, such decisions will need to take account of the impact of reduced levels of investment in other policy areas.
- 3.30 Boroughs should present their Programme using Proforma A1 – Programme of Investment (Appendix B), to be uploaded onto the Borough Portal.

Identifying Potential Interventions

- 3.31 The term **intervention** is used here in a generic sense and refers to individual schemes, packages of complementary measures, revenue and policy-based initiatives; covering all modes and a ranges of sizes and scale.
- 3.32 Boroughs are encouraged to consider a range of options, when identifying potential types of interventions which will address their LIP objectives.
- 3.33 It is important that a wide range of options are considered, including all modes, infrastructure, regulation, pricing and other ways of influencing behaviour. Options should include measures that reduce or influence the need to travel, as well as those that involve capital spend. Revenue options are likely to be of particular relevance in bringing about behavioural change and tackling climate change.
- 3.34 Options should address issues relating to local town centres, local strategic corridors and neighbourhoods, and gateways onto strategic networks.
- 3.35 In determining which types of intervention will best deliver the LIP objectives, boroughs should address the following questions relating to policy fit, value for money, affordability, deliverability, risk, and achievement of targets:
- which LIP objectives will this type of intervention address?
 - what is the likely impact, in terms of outcomes and delivery of targets, geographical extent of impact or number of individuals / vehicles affected, types of travellers / users affected, etc?
 - how severe are existing problems and how strongly is this intervention needed?

- what is the interaction with other types of intervention?
 - is this type of intervention cost effective and does it represent good value for money? E.g. Is there evidence to suggest that it has worked well in the past (locally or elsewhere)? Does it add value to existing infrastructure?
- 3.36 Potential interventions should be based on an analysis of problems and challenges, and may be identified from separate policy-based strategies or action plans; or evidenced-based recommendations from experienced and professional transport planners, Council Members, the LSP, other local service providers and key stakeholders and the general public.
- 3.37 Boroughs should take into account statutory Strategic Environmental Assessment (SEA) and Equality Impact Assessment (EIA) requirements when determining which interventions will best deliver their LIP objectives – see section on *Statutory Requirements and Other Processes* at the end of this chapter. Consideration should also be given to other mandatory duties, including boroughs' Network Management Duty, Air Quality Action Plans, Rights of Way Improvement Plans, and other local strategy documents.
- 3.38 Boroughs are advised to discuss potential interventions with relevant officers within TfL. Appendix F provides a list of contacts.
- 3.39 Boroughs are also advised to identify how they expect TfL and other partners to contribute to the delivery of their LIP objectives and to the delivery of specific types of interventions.
- 3.40 Further guidance on identifying potential interventions (or option generation) can be found at <http://www.konsult.leeds.ac.uk/>¹¹.

Advice - Prioritising potential interventions / options

Where the potential list of schemes for delivery exceeds the level of funding available, boroughs will need to prioritise investment, taking account of technical, political and practical considerations.

It is for boroughs to decide how to prioritise their potential interventions / options. Factors which might be taken into account include:

- their relative contribution to LIP objectives;
- evidence that the investment represents best use of resources – taking account of strength of expected benefits and evidence to support this, need for improvement and severity of existing problems, geographical extent of impact or number of individuals / vehicles affected, other distributional impacts (who or which groups of people will be affected), links with other schemes; and
- deliverability – the likelihood of a scheme being delivered on time and to budget without significant stakeholder opposition (potentially controversial schemes may require longer timescales to allow for consultation).

Further guidance on developing a prioritised programme of investment can be found in *Advice on the Prioritisation of Smaller Transport Schemes (DfT, 2008)*¹². In addition, the DISTILLATE¹³ team has developed a *Small & Local Scheme Assessment Tool*¹⁴ which boroughs may find useful to refer to.

¹¹ KonSULT (www.konsult.leeds.ac.uk) is a knowledgebase which provides an assessment of the potential contribution to policy of some 40 transport and land use policy instruments, based on both a first principles assessment and a review of case studies.

¹² <http://www.dft.gov.uk/pgr/regional/ltp/guidance/prioritisation/>. This sets out a six stage process for developing a prioritisation process which Boroughs may wish to follow.

¹³ Design and Implementation Support Tools for Integrated Local land Use, Transport and the Environment is one of 14 research programmes funded under the UK Engineering and Physical Sciences Research Council's overarching research programme on the development of a Sustainable Urban Environment.

¹⁴ <http://www.distillate.ac.uk/outputs/products.php>

Funding Sources

- 3.41 LIPs must be based on a realistic view of funding and must not contain uncostered, unaffordable projects. Whilst the Delivery Plan will be primarily focused on how LIP funding will be used, it should also specify how non LIP funding will be used to deliver projects necessary to achieve the Borough Transport Objectives. For those projects in their Delivery Plan which are to be partly or wholly delivered using non LIP funding, boroughs should specify what each funding source will be and the amount of funding to be provided. Other sources of funding to partly-fund projects may include council capital funds, revenue funds, Section 106 contributions or government grants. Relevant projects which are to be wholly funded by non LIP funding, but should be included in the Delivery Plan will include major schemes funded by Growth Area Fund or European Objective funding, or Smarter Travel initiatives funded by revenue-based funds.
- 3.42 An example of how a borough could report non LIP funding for projects in its Programme of Investment can be found in Appendix B (Proforma A1).
- 3.43 Boroughs are not required to detail planned non LIP funding expenditure on transport-related measures where these do not form part of their Delivery Plan.

Maintenance and Bridge Strengthening

- 3.44 Boroughs are required to identify within their Programme of Investment proposals for principal road maintenance and bridge strengthening. The Delivery Plan should state clear priorities and set out criteria that the borough will use in identifying areas of spend.
- 3.45 Boroughs' maintenance and bridge strengthening programme should take account of or be developed in parallel with the borough's Transport Asset Management Plan.

Transport Asset Management Plans

- 3.46 For many years, local authorities have been required to demonstrate that they are making best use of their property and other assets, in the form of Asset Management Plans. The DfT is now encouraging local authorities (including London boroughs) to extend this to highway or transport assets. Furthermore, the Audit Commission has identified 'strategic asset management' as one of the key lines of enquiry for auditors undertaking future rounds of Comprehensive Area Assessments (CAA). Transport asset management is specifically included as an element which could be assessed under the 'use of resources' theme.
- 3.47 The compilation of a Transport Asset Management Plan (TAMP) provides boroughs with a tool to:
- support the corporate provision of detailed information on the assets held by the whole authority – enabling better definition of longer-term corporate need and continual challenge to asset holding/use;
 - establish and communicate a clear relationship between the programme set out by the TAMP and the borough's LIP targets and objectives, and ensure existing assets are in a condition compatible with the delivery of the LIP;
 - enable the value for money of local road maintenance to be considered more effectively against other local transport spending, and assist transport plan production; and,
 - present evidence of efficient use of resources to CAA auditors .
- 3.48 The TAMP should set out the role for corporate and (where appropriate) highway asset managers and cover service levels, investment, risk assessment and monitoring processes. It should be a stand-alone document, which is strongly aligned with the LIP.
- 3.49 Further guidance and advice on developing a Transport Asset Management Plan can be found in:

- Well-maintained Highways – The Code of Practice for Highways Maintenance Management (Roads Liaison Group, July 2005)¹⁵;
- Management of Highway Structures - A Code of Practice (Roads Liaison Group, September 2005)¹⁶;
- Framework for Highway Asset Management (County Surveyor's Society, April 2004)¹⁷.

Major Schemes

- 3.50 The funding for Major Schemes, which are currently called Area Based Schemes, has increased significantly. This will assist in delivering the Mayor's Better Streets agenda and will focus delivery on fewer higher value schemes that make a step change improvement in the urban realm.
- 3.51 Further details on the Major Scheme funding mechanism and bidding process are provided in Chapter 4. For schemes worth more than £2m over the whole life of the project a business case must also be submitted as part of this process. In addition, all schemes over £2m will be specifically assessed to ensure high standards and broad conformity with the Mayor's vision for the public realm.
- 3.52 Boroughs planning to bid for Major Scheme funding are required to include the following information within their Delivery Plan:
- outline details of Major Schemes being considered;
 - the relative priority attached to those schemes;
 - how they will be funded; and
 - when a Major Scheme application is expected.
- 3.53 Boroughs are also required to demonstrate how the proposed Major Schemes would contribute to LIP objectives and targets, including the impact on relevant targets and trajectories.
- 3.54 In certain locations, it may be possible to obtain contributions to the overall cost of a scheme from local businesses, landowners and developers. Where appropriate, boroughs are advised to demonstrate that they have attempted to do so.

Annual Spending Submission

- 3.55 Boroughs will also be required to submit an annual spending submission, similar to that submitted for the 2010/11 Transition Year, setting out a programme of interventions to be delivered in the following year. This will provide more detailed information, potentially on a packaged scheme basis. Submissions for 2011/12 will be required in September 2010, and subsequent submissions for 2012/13 and 2013/14 will be required in September 2011 and 2012 respectively. Submissions should be made using Proforma A2, which will be uploaded onto the Borough Portal. Guidance on preparing annual spending submissions is given in Appendix D.
- 3.56 Boroughs are also required to set out their overall approach or process for drawing up their annual programmes. This should consider:
- how potential interventions (i.e. schemes or packages of complementary measures) will be identified;
 - how potential interventions will be prioritised; and
 - practical considerations relating to timescales, capacity, consultation, etc.

¹⁵ Available at http://www.ukroadsliasongroup.org/roads/well_maintained.htm

¹⁶ Available at http://www.ukroadsliasongroup.org/bridges/code_of_practice.htm

¹⁷ Available at <http://www.ukroadsliasongroup.org/pdfs/060202%20-%20Highway%20Asset%20Management%20Framework.pdf>

- 3.57 Potential interventions should be sifted, prioritised and packaged together to produce a programme which delivers best value for money against the borough’s identified objectives. Trade-offs will probably need to be made when deciding where to focus resources and it is important that boroughs develop their own procedures to aid this process. This is likely to involve a blend of both technical and political considerations.
- 3.58 Boroughs are also required to make specific reference as to how the interventions in their annual spending submission will help to deliver the following high profile outputs identified by the Mayor in the revised MTS:
- Cycle highways schemes
 - Cycle parking
 - Electric charging points
 - Better Streets
 - Cleaner local authority fleets
 - Net increase in street trees;

Preparing the Performance Monitoring Plan

Overview

- 3.59 Boroughs are required to prepare a Performance Monitoring Plan, identifying a set of monitoring indicators and locally specific targets which can be used to assess whether the Plan is delivering its objectives and delivering the outcomes set out in the revised MTS at a borough level. It is against these targets that the success of the LIP will be judged.

Summary of Core Requirements
<p>Within the Performance Monitoring Plan boroughs are <u>required</u> to:</p> <ul style="list-style-type: none"> • agree locally specific targets (with annual milestones or trajectories) for a set of mandatory MTS / LIP indicators ; • demonstrate a clear link between their LIP objectives, their Programme of Investment and the proposed set of targets; • for each target, provide evidence that the target is both ambitious and realistic, given indicative funding levels; identify key actions needed to achieve the target; and identify the principal risks to target achievement and how these will be managed; and • outline how they propose to keep progress against targets under review and address areas of over or under-performance.

Mandatory Targets and Indicators

- 3.60 In addition, boroughs are required to set locally specific targets for performance indicators shown in Table 3.1. The list consists of indicators which relate to the revised MTS, and which are relevant to boroughs. The majority of indicators are outcome-based, however, a small number of output indicators have been identified covering aspects of delivery where the Mayor has set a specific target.
- 3.61 TfL intends to collect and report monitoring data for outcome-related indicators to boroughs on an annual basis.
- 3.62 Locally specific targets are to be agreed with TfL and evidence should be presented to demonstrate that the proposed targets are challenging and realistic in the local context. The overall process will be managed by TfL to ensure that overall revised MTS targets for London are met. The Mayor has explicit power to set targets for London provided these are at least as

challenging as national targets¹⁸ and this cannot be negated without new legislation. Local circumstances mean that the relative priority of Mayoral targets will vary by borough.

3.63 Targets should cover the period 2010 (or 2010/11) to 2014 (or 2013/14).

Table 3.1 –Second Round Mandatory LIP Performance Indicators

MTS strategic indicator	LIPS 2 formal indicator (proposal)
<i>Mode share</i>	Mode share at borough level for all residents for all trip purposes (links to NI 198 Mode Share for journeys to school)
<i>PT reliability</i>	NEW reliability indicator to be developed based on iBus data (subject to software development cost yet to be established).
<i>Asset condition</i>	NI 168 – principal road maintenance. Note this is an established National LAA indicator.
<i>Road traffic casualties</i>	NI 147 - KSIs. We also plan to also track total casualties as this is more statistically relevant for many boroughs.
<i>CO₂ emissions</i>	As revised MTS (tonnes/year or per capita). Note potential method conflict with equivalent LAA indicator.

3.64 Boroughs are required to show how their local targets relate to the revised MTS targets and their own LIP objectives. A clear link between objectives, the implementation programme and the proposed set of targets should be demonstrated.

3.65 In setting locally specific targets, boroughs are required to base their targets on a scenario which assumes no Major Scheme funding will be awarded. However, as part of any Major Scheme bid, boroughs are required to demonstrate the effect of the scheme on relevant targets and trajectories. Boroughs will be expected to update their targets accordingly if Major Scheme funding is secured.

3.66 In addition to working towards agreed outcomes, the Mayor also requires boroughs to work towards the following outputs:

- Cycle highways schemes
- Cycle parking
- Electric charging points
- Better Streets
- Cleaner local authority fleets
- Net increase in street trees

3.67 Further work will take place with London Councils to establish how best to measure and report on each of these outputs

Additional Local Targets and Indicators

3.68 Boroughs are advised to consider identifying additional indicators and targets in their LIP wherever this is likely to be helpful in securing effective delivery. These should be consistent with those in their LAA and the revised MTS. Local targets may also help protect and secure additional local funding for transport. Monitoring indicators (i.e. without an associated target) can help monitor change on the ground and identify causal factors relating to target performance (see chain diagram on page 34 for an illustration of this).

¹⁸ Greater London Act 1999, Section 41(9).

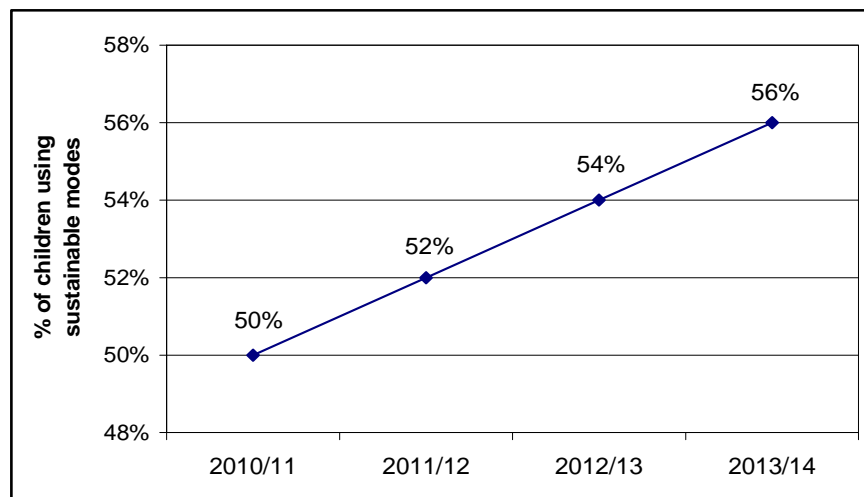
Target Setting

- 3.69 Boroughs are required to include a completed version of Proforma B - Second LIP Local Targets (Appendix B), providing details of each target set, including the base year and baseline data, the target year and target outcome, and trajectory information (see below). This should also be submitted as a separate Excel-based electronic file.
- 3.70 Boroughs are required to provide **evidence that the target is both ambitious and realistic, given indicative funding levels** - This is likely to involve a variety of approaches, with the different methodologies being used to challenge, verify and refine the targets. Potential approaches include:
- evidence of what has worked well in recent years and forward projection of the first round LIP trends;
 - benchmarking of performance against that of other ‘comparable’ boroughs as an indication of what is achievable;
 - engagement with key stakeholders (including TfL) and key officers within the borough;
 - consideration of national and London-wide targets; and
 - quantitative analysis and forecasting evidence (where available).
- 3.71 Target setting should take account of the impacts (positive and negative) of any planned developments or infrastructure investment by TfL over the life of the LIP.
- 3.72 Boroughs are also required to identify:
- **key actions needed to achieve the target** – Including details of what types of interventions will need to be implemented (with reference to the Delivery Plan) and what other actions by local partners are required; and
 - **the principal risks to the achievement of the target and how these will be managed** – e.g. capacity issues, potential opposition to specific aspects of the Borough Transport Objectives, reliance on external funding (e.g. developer contributions, European funding), potential disruption to the network, decisions made by operators, poor use of new infrastructure, investment does not deliver the outcomes expected, changes in standards (design, safety, environmental) affecting design and implementation, the priorities of other stakeholders, the effectiveness of partnerships, potential negative impacts on other target areas, etc.
- 3.73 In particular, boroughs should identify the role of key partners, including TfL, in delivering the target.

Trajectories

- 3.74 Boroughs are required to set trajectories, with annual milestones, for each of the agreed mandatory targets. Boroughs should present this information in the form of a simple graph for each target (Figure 3.2).

Figure 3.2 – Example of a linear target trajectory



Target: Increase the percentage of children travelling to school by sustainable modes from 50% in 2010/11 to 56% in 2013/14.

3.75 A target trajectory should show the projected rate of progress between the baseline situation and the intended target. 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 schemes and policies. Where this is not possible, a linear trajectory should be used.

3.76 Trajectories will allow boroughs to assess the progress they are making towards each of their targets on a regular basis and if necessary make changes to their programmes to reflect areas of strong or weak performance.

Performance Management

3.77 Strong local performance management arrangements have underpinned much of the improvement delivered by local government in recent years.

3.78 Boroughs are therefore required to outline how they propose to keep progress against targets under review and address areas of over or under-performance. This might include:

- regular monitoring of outcomes and processes in place to refocus the delivery programme to get targets back 'on track';
- robust mechanisms for ensuring the Council and its partners remain focused on delivering the LIP objectives;
- regular meetings between cabinet members and senior officers covering transport and other policy areas, to ensure that extensive reporting of performance against targets is undertaken.

3.79 A borough's approach to managing performance of their LIP should be aligned with other performance management practices adopted elsewhere in the authority.

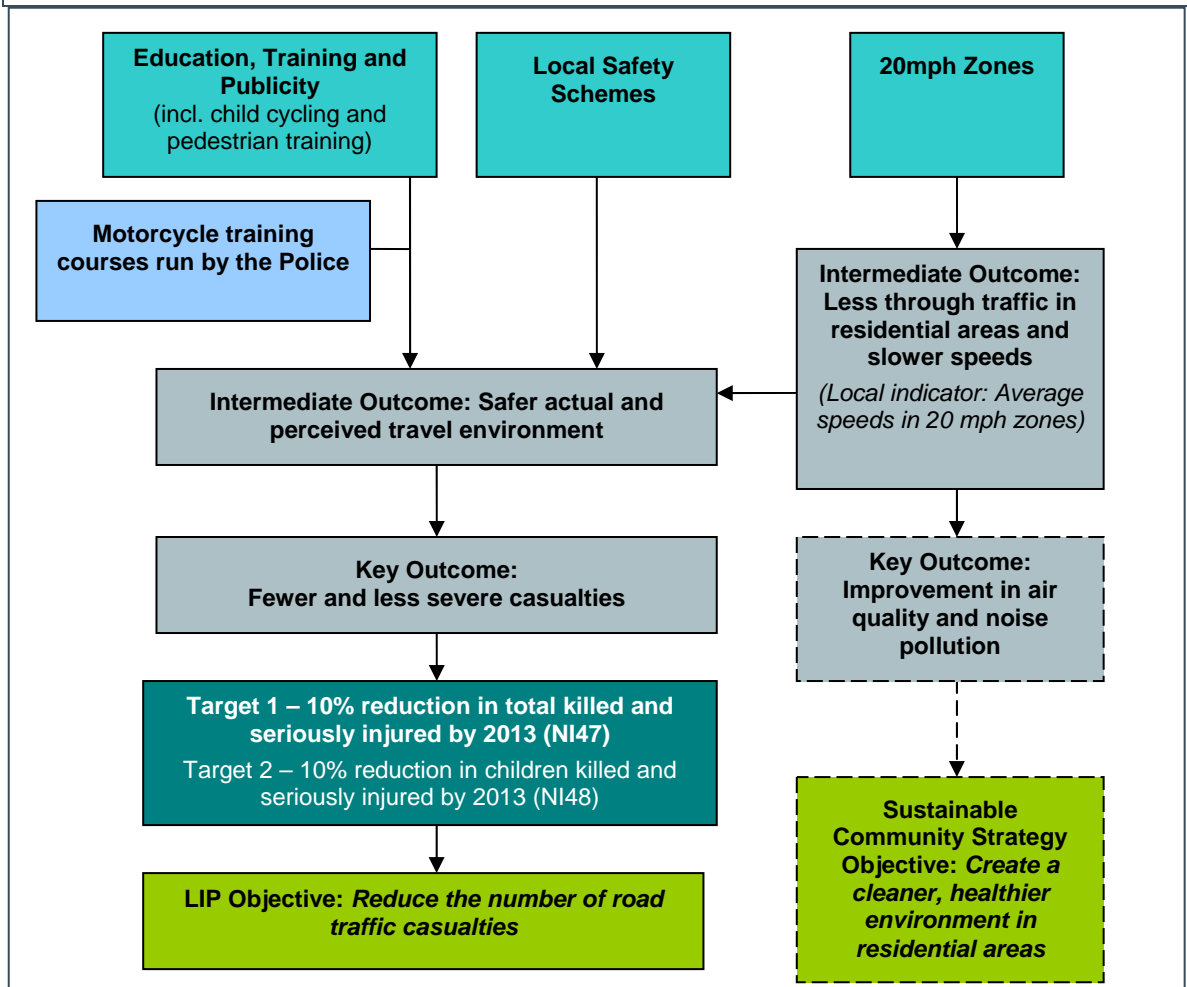
Advice: Causal Chains

Boroughs may wish to use a causal chain approach to link objectives, projects/programmes and targets. This can help identify the role of different policies and types of investment in delivering targets, by breaking down the relationship between outputs, intermediate outcomes and key outcomes, in a logical manner. In this context:

- outputs are types of interventions delivered on the ground;
- key outcomes are changes in travel behaviour, changes in the quality of transport provision on the ground, or changes in impacts resulting from the transport system, which directly measure achievement of targets; and
- intermediate outcomes represent milestones towards key outcomes, e.g. bus user satisfaction, bus punctuality and mode share are all milestones which contribute towards increasing bus patronage, which in turn may contribute to a reduction in congestion. Intermediate outcomes may also be key outcomes in their own right, with associated targets. Indicators for intermediate outcomes are often used as proxy measures for outcomes which are costly or difficult to measure.

The diagram below provides an example of a causal chain, showing the role of local safety schemes, 20mph zones, and education, training and publicity initiatives (including motorcycling training courses run by the Police) in delivering a LIP objective to 'reduce the number killed and seriously injured on roads within the borough' and associated targets. It also shows how 20mph zones will also contribute to a SCS objective to 'create a cleaner, healthier environment in residential areas'.

Further guidance can be found in *Monitoring Local Transport in London: Advice on Causal Chains* (Transport for London / Association of London Government, February 2004).



Consultation

- 3.80 The Greater London Act 1999 places a duty on boroughs, when preparing a LIP, to consult:
- the relevant Police Commissioner or Commissioners;
 - Transport for London;
 - such organisations representative of disabled persons as the council considers appropriate;
 - each other London borough council whose area is, in the opinion of the council preparing the LIP, likely to be affected by the plan; and
 - any other person required to be consulted by the direction of the Mayor.
- 3.81 Boroughs may also wish to consult with:
- elected members;
 - the Local Strategic Partnership;
 - local community groups, transport user groups, environmental groups and representatives of young and old people (for example the London Cycling Campaign, Sustrans, Living Streets, English Heritage, the Road Haulage Association, the Freight Transport Association, the AA and the RAC);
 - mobility fora or similar;
 - other service sectors (e.g. health, education, planning, police, fire, etc.);
 - Crime and Disorder Reduction partnerships;
 - the business communities, including large employees and London First; and
 - transport operators and private hire vehicle companies.
- 3.82 It is important that boroughs work in partnership with neighbouring authorities, within and bordering London, to ensure relevant strategies and delivery plans are aligned.
- 3.83 Boroughs may also wish to engage with the relevant regional partnerships for their area, especially in the context of ensuring alignment between their second LIP and priorities likely to be included in the emerging SRTP. Boroughs in the relevant areas of London may also wish to consult the Olympic Delivery Authority.
- 3.84 It is for boroughs to decide the detail of how they consult on their Borough Transport Objectives. Options to be considered include representative working groups, forums, on-going market research and questionnaires and web-based consultation.
- 3.85 Key contacts within Transport for London are provided in Appendix G.

Statutory Requirements and Other Processes

- 3.86 There are a number of duties and processes which boroughs are required to consider in preparing their LIPs. Some of these are statutory requirements, others are recommendations.

Statutory Requirements

a) Strategic Environmental Assessment

- 3.87 European Directive 2001/42/EC (known as the 'Strategic Environmental Assessment' or 'SEA' Directive), requires a formal environmental assessment of certain plans and programmes which are likely to have significant effects on the environment. The Directive applies to plans and

programmes whose preparation began on or after 21 July 2004, and also retroactively to those whose formal preparation began before this date but which have not been adopted, or submitted to a legislative procedure leading to adoption, by 21 July 2006.

- 3.88 Authorities which prepare and/or adopt a plan or programme that is subject to the Directive must prepare a report on its likely significant environmental effects, consult environmental authorities and the public, and take the report and the results of the consultation into account during the preparation process and before the plan or programme is adopted. They must also make information available on the plan or programme as adopted and how the environmental assessment was taken into account. Basic procedural and technical requirements are set out in the Directive, which Member States can choose to implement within their existing systems.
- 3.89 Environmental assessment is usually mandatory for plans and programmes:
- which are prepared for agriculture, forestry, fisheries, energy, industry, transport, waste management, water management, telecommunications, tourism, town and country planning, or land use and which set the framework for future development consent for projects listed in Annexes I and II to the Environmental Impact Assessment (EIA) Directive (85/337/EEC as amended by 97/11/EC)
 - requiring assessment under Article 6 or 7 of the Habitats Directive (92/43/EEC)
- 3.90 Outside this core scope, environmental assessment is required for any plans and programmes which set the framework for development consent of projects (not limited to those listed in the EIA Directive) and which are determined by screening to be likely to have significant environmental effects. Minor modifications to plans and programmes, and those for small areas at local level, are subject to assessment only where they are likely to have significant environmental effects. The Directive also requires monitoring of the implementation of plans and programmes, inter alia to identify unforeseen adverse effects and to enable remedial action to be taken.
- 3.91 The Directive is implemented into English law by the Environmental Assessment of Plans and Programmes Regulations 2004 (SI 2004/ 1633 as amended). The revision of the MTS is subject to the requirements of the Regulations. Although it is for boroughs to take their own legal advice, TfL is of the view that a formal revision of a borough's LIP is likely to be subject to mandatory assessment under the Regulations and will involve the preparation of an environmental report, to be available during the public consultation on the proposed LIP. Boroughs should seek their own advice on how to comply with the Regulations and the length of consultation with public and stakeholders, TfL considers the Cabinet Office's Code of Practice on Consultation, and the normal 12 week period recommended by the Code, to be relevant.
- 3.92 Guidance on undertaking strategic environmental assessments can be found on the Department for Communities and Local Government's website¹⁹

b) Equality Impact Assessment (EQIA)

- 3.93 Boroughs have a duty under race, disability and gender legislation²⁰ to carry out an Equality Impact Assessment of their LIP. This should identify whether or not (and to what extent) a LIP has an impact (positive or negative) on a particular equality target group, or that any adverse impacts identified have been appropriately mitigated.
- 3.94 It is recommended that as best practice the EQIA should encompass race, gender, disability, age, religion/belief and sexual orientation. As with SEA, it is important that EQIA is an integral part of

¹⁹ A practical guide to the Strategic Environmental Assessment Directive, CLG 2006
<http://www.communities.gov.uk/publications/planningandbuilding/practicalguidesea>

²⁰ Race Relations (Amendment) Act 2000, requirement to produce and publish a Race Equality Scheme. Disability Discrimination Act 2005, requirement to produce a Disability Equality Scheme. Equality Act 2006, requirement to produce a Gender Equality Scheme.

devising a LIP. Boroughs should have regards to the needs of equality target groups in both developing and implementing their plans.

3.95 Advice on undertaking Equality Impact Assessments can be found in *Equality Impact Assessments - How to do them (TfL, June 2004)*²¹.

3.96 The Disability Discrimination Act 2005 adds a new requirement to have regard to the needs of disabled people, both in developing and implementing plans.

c) Network Management Duty

3.97 Boroughs are reminded that under the Traffic Management Act 2004, local highway authorities (including London boroughs) have a statutory duty to manage their road network to secure expeditious movement of traffic, including pedestrians, on their network and to facilitate the same on the networks of other authorities.

3.98 Section 18(2) of the Act requires an authority to have regard for the Network Management Duty (NMD) Guidance, published by the Department in December 2004. This obliges boroughs to reflect the arrangements they have established for fulfilling the network management duty in their LIP and show that they have taken it into account when preparing their Delivery Plan.

3.99 The Guidance recognises that unique circumstances exist in the capital, requiring a large number of traffic and highway authorities to work together to deliver the improvements that the NMD encourages.

²¹ <http://origin.tfl.gov.uk/assets/downloads/corporate/eia-06-04.pdf>

4. Funding and Approval of LIPs

TfL LIP Funding

- 4.1 Core funding for the implementation of the second round of LIPs will continue to be provided by TfL. This funding is for the specific purpose of investing in transport-related programmes and in accordance with Section 159 of the 1999 Greater London Act, should not be spent on other activities²².
- 4.2 In addition boroughs are advised to maximise the level of funding available from other sources, e.g. their own funding, contributions from the private sector, other government grants, etc.
- 4.3 LIP funding from TfL will be allocated to boroughs for:
- Corridors and Neighbourhood Programmes²³;
 - Smarter Travel Programmes;
 - Signals;
 - Maintenance Programmes; and
 - Major Schemes.
- 4.4 The three year indicative funding allocations to support boroughs' three year Programme of Investment (2011/12 to 2013/14) are set out in Table 4.1. Note that boroughs will be informed of their individual three year allocations when the Guidance is formally published in Spring 2010.

Table 4.1 - Three year indicative funding allocations for all boroughs

Funding Programmes	2011/12	2012/13	2013/14
Corridors and Neighbourhoods	£80.3 m	£80.3 m	£80.3 m
Smarter Travel	£13.3 m	£13.5 m	£13.5 m
Signals	£8.1 m	£5.7 m	£5.7 m
Maintenance	£22.3 m	£22.5 m	£22.5 m
Major Schemes	£26.0 m	£28.0 m	£28.0 m
Total	£150.0 m	£150.0 m	£150.0 m

- 4.5 TfL will continue to pay boroughs for LIP projects in arrears, as soon as they provide information that the work has been completed. Boroughs will no longer be required to submit bi-monthly reports.

Funding for Corridors and Neighbourhoods and Smarter Travel Programmes

- 4.6 Funding will be ring-fenced for spend on all LIP related projects, but boroughs will have the flexibility to decide which specific schemes within this area they spend their allocation on.

²² Section 159 states "In deciding whether to give financial assistance to a London authority under this section Transport for London may have regard [..to..] (a) any financial assistance or financial authorisation previously given to the authority by any body or person and (b) the use made by the authority of such assistance or authorisation.

²³ Corridors and Neighbourhoods were separate programmes for LIP Transition Year (2010/11), but have been combined for the second round of LIPs.

- 4.7 Indicative allocations for boroughs will be determined using a needs-based formula, focused around the achievement of objectives and outcomes. This has been developed with London Councils and LoTAG. The formula assesses need on the basis of a set of metrics and these are weighted according to Mayoral priorities.

Funding Formula for Corridors and Neighbourhoods and Smarter Travel Programmes
<p>The needs-based formula will be structured around a set of need-based indicators relating to four transport themes:</p> <ul style="list-style-type: none"> • public transport – <i>bus reliability, bus patronage;</i> • road safety – <i>monetary value of all casualties (killed, serious and slight) on <u>all</u> roads in the borough;</i> • congestion and environment – <i>vehicle delay, CO2 emissions from transport;</i> • accessibility – <i>residential population weighted by index of deprivation.</i> <p>These themes were identified for the Transition Year (2010/11) funding formula and remain representative of the transport outcomes boroughs will need to deliver in order to achieve the revised MTS goals.</p> <p>The four themes will be weighted as follows:</p> <ul style="list-style-type: none"> • public transport (10%); • road safety (26%); • congestion and environment (41%); • accessibility (23%). <p>The weightings reflect historic levels of spend, updated to reflect current priorities. They are the same as the weightings used for the Transition Year allocations.</p> <p>The corresponding split between Corridors and Neighbourhood programmes and Smarter Travel programmes is 86:14%.</p> <p>The indicators included in the formula are intended to reflect both:</p> <ul style="list-style-type: none"> • the scale of the borough and its transport demand / network (e.g. number of bus users, residential population, etc.) – to ensure that larger boroughs with bigger networks and more users get more funding; and • policy outcomes or severity of transport problems (e.g. casualties, bus punctuality, etc.) – to ensure funding is directed to the boroughs where it is needed most or where it could make most difference.

- 4.8 Note that this formula will be reviewed to align it with the revised MTS goals as part of the process for finalising LIPs Guidance. Any changes will only be made after they have been discussed with London Councils.

Funding for Maintenance Programme

- 4.9 Funding for principal road maintenance and bridge strengthening will continue to be allocated on the basis of condition survey information.

Funding for Major Schemes

- 4.10 Boroughs can apply for a portion of the required funds for large schemes (generally accepted to be more than £1 million) through the Major Scheme process with the remaining funds coming from other identified sources, including the allocation for corridors and neighbourhoods. This will assist in delivering the Mayor’s Better Streets agenda and will focus on the delivery of fewer higher value schemes that make a step change improvement in the urban realm.

- 4.11 Funding for Major Schemes (formerly called Area Based Schemes) is to be awarded through a competitive bidding process. This follows a three step process, described in detail in *Guidance for Submission of Area Based Schemes (March 2008)*. The three steps are as follows:
- Step One: justification based on need
 - Step Two: scheme development, including consultation and detailed design
 - Step Three: preparation of tender documents and implementation

- 4.12 Boroughs are encouraged to consider how funding from other sources can contribute to Major Scheme costs. In certain locations, it may also be possible for boroughs to obtain contributions to the overall cost of a scheme from local businesses, landowners and developers. Where appropriate, boroughs are advised to demonstrate that they have attempted to do so.

Consideration of Other Sources of Funding

- 4.13 Boroughs are advised to consider how sources of funding, other than TfL LIP funding, could be used to wholly or partly fund projects which will help to achieve their Transport Objectives. Boroughs should identify:
- Non TfL LIP funding which is used in addition to TfL LIP funding to deliver a particular project (for example Council capital and revenue-related funding, government grants, the Community Infrastructure Levy, etc.)
 - Funding sources for non TfL LIP funded major schemes (for example those to be delivered using Growth Area Fund or European Objective funding); and
 - Funding sources for projects which are not to be funded through TfL LIP funding, but which are integral to the delivery of the LIP objectives (for example, Smarter Travel measures to be delivered with Council revenue-related funds).
- 4.14 TfL does not encourage boroughs to include in their LIPs detail of non LIP funding expenditure which is not related to the projects to be delivered through the Programme of Investment (e.g. locally generated funding for off-street car parks).

GLA Act 1999 (as revised) section 159 Requirements

- 4.15 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. In order 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 the recipient:
- use of funding provided by TfL for the programmes or proposals for which the funding 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 themes, policies, proposals and manifesto commitments of the Mayor (Way to Go, London Plan Statement of Intent, Transport Strategy Statement of Intent and subsequent revision of MTS); and
 - other reasonable TfL requests for project management reports and other information relating to the provision of financial assistance by TfL.
- 4.16 Section 159 also allows TfL to impose conditions on financial assistance it provides and in specified circumstances to 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 of another purpose for the funding; and
- comply with the requirements as set out in this Guidance.

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

Audits

4.18 Authorities will have their own requirements for auditing. TfL may also exercise its right to carry out random and/or specific audits in respect of financial assistance provided by TfL.

4.19 In addition, boroughs are required to provide to TfL records and other information relating to the provision of financial assistance requested by TfL for the purposes of conducting an audit. This may include access to documents and interviews with relevant personnel.

4.20 In compliance with general audit requirements, boroughs need to ensure that invoices can readily be associated with the programmes of schemes for which expenditure was incurred. Similarly charges for work carried out by in-house borough organisations and staff time spent on approved projects need to be supported by an appropriately detailed document certifying the amounts claimed and identifying the relevant schemes or interventions

Objective of Audits

4.21 TfL intends to adopt a risk-based approach to audits and use them to develop both best practice and to confirm to TfL whether:

- funds paid are used for the programmes of schemes or purposes intended and agreed by TfL;
- ICS payments for funds are supported by the necessary certified invoices and/or statements of in-house resource expenditure;
- works or infrastructure installed with the benefit of TfL funding have been removed or substantially altered without prior written consent of TfL; and,
- borough transport activities are conducive to the provision of safe, integrated, efficient and economic transport facilities or services to, from or within Greater London and lead to the implementation of proposals contained in an approved LIP.

Scope of Audits

4.22 Most audits will be limited to the first two objectives listed above and will be 'financial' audits. Full audits covering the full set of objectives may be performed from time to time when, in the opinion of TfL, circumstances merit. A financial audit may be extended to a full audit upon the discovery of relevant findings or exceptions.

4.23 An audit may cover the whole or part of a borough's TfL funding. Generally, a random audit will review current and/or recently completed projects; a specific audit will be in response to particular circumstance or information obtained by TfL.

Frequency of Audits

4.24 TfL audits may be performed in response to identified risks or significant potential exceptions arising.

4.25 TfL will continue to enquire of boroughs from time to time as to the extent of checks that are made on TfL funded areas of borough activity, including the submission of claims. Boroughs are also requested to inform TfL of significant exceptions or findings relevant to their TfL funding.

4.26 TfL considers that boroughs should bring the paragraphs in this section to the attention of their internal and external auditors.

Approval of LIPs

4.27 In accordance with the 1999 GLA Act, boroughs must submit their LIP for Mayoral approval²⁴. TfL, on behalf of the Mayor, will review boroughs' LIPs, to ensure that the core requirements of this Guidance (as summarised in Table 4.2) have been adhered to. The following table will form the basis for the approval criteria, which is still to be developed in full. LIPs which meet these requirements will be formally approved by the Mayor.

4.28 Where these requirements appear not to have been met, TfL may request that boroughs re-submit a revised LIP, within a given timescale; or may choose to meet with boroughs to discuss outstanding issues.

Table 4.2 – Core LIP Requirements – Approval Criteria

Core LIP Requirements
<p>1) Boroughs are <u>required</u> to set out their proposals for implementing the Mayor's Transport Strategy at a local level, and include a high-level timetable for delivery and a date by which all the proposals in the plan will be implemented.</p> <p>Boroughs are <u>required</u> to provide robust justification based on local circumstances where proposed borough interventions will contribute to outcomes which are contrary to the revised MTS goals, and/or explain why they consider particular Mayoral goals are not applicable in their area.</p> <p>Boroughs are <u>not required</u> to provide a detailed response to each of the Mayor's detailed policies and proposals</p> <p>2) Boroughs are <u>required</u> to include the following components within their LIP:</p> <ul style="list-style-type: none"> • an evidence-based and objective-led identification of Borough Transport Objectives, covering the period 2011 to 2014 and beyond; • a costed and funded Delivery Plan of interventions, covering the period 2011 to 2014. This should be consistent with borough's three year funding allocations to be announced in 2010; • a Performance Monitoring Plan, identifying a set of performance indicators and locally specific targets which can be used to assess whether the Plan is delivering its objectives and to determine the effectiveness of the Delivery Plan. <p>The Borough Transport Objectives should provide the context for, and determine, the Delivery Plan, and the Performance Monitoring Plan. Boroughs are <u>required</u> to ensure that their Second LIPs make a clear distinction between these three components.</p> <p>3) Within the Borough Transport Objectives section, boroughs are <u>required</u> to:</p> <ul style="list-style-type: none"> • set out the local context and geographical characteristics of their boroughs; • identify how they will work towards achieving the five goals of the revised MTS: <ul style="list-style-type: none"> ○ Supporting economic development and population growth;

²⁴ Section 143 (1). Under Section 163(3) the Mayor cannot approve a LIP unless he considers that :

- it is consistent with the MTS;
- that the proposals contained in the LIP are adequate for the purposes of the implementation of the MTS; and
- that the timetable for implementing the proposals (i.e. the three year programme of investment) and the end date by which the proposals are implemented are adequate.

The Mayor has extensive powers to prepare the LIP if an Authority fail to prepare one that is in his opinion adequate (Section 147).

- **Enhancing the quality of life for all Londoners;**
 - **Improving the safety and security of all Londoners;**
 - **Improving transport opportunities for all Londoners; and**
 - **Reducing transport's contribution to climate change, and improving its resilience.**
- identify a set of locally-specific LIP objectives which reflect local priorities;
 - identify how local priorities and proposed types of intervention have been informed by a Strategic Environmental Assessment, an Equality Impact Assessment, and the borough's Network Management Duty;
 - take account of the emerging Sub-Regional Transport Plans; and
 - take account of the commitments identified in TfL's Business Plan.
- 4) Within the **Delivery Plan**, boroughs are required to:
- provide a high-level breakdown of proposed spend, by year (i.e. separately for 2011/12, 2012/13 and 2013/14), and by category (the Programme of Investment). Categories could reflect corridors and neighbourhoods and smarter travel programmes, or policy themes, or outcomes. Principal road maintenance and bridge strengthening programmes, and proposed Major Schemes should be identified separately;
 - identify from where the required project funding would be resourced, including not only TFL LIP funding, but also any other funding to be provided for LIP-related projects (which could include Council capital and revenue funding, developer funding or government grants);
 - identify which of the revised MTS goals each programme category supports;
- 5) Boroughs planning to bid for **Major Scheme funding** are required to include the following information within their Delivery Plan:
- outline details of Major Schemes being considered;
 - the relative priority attached to those schemes;
 - how they will be funded; and
 - when a Major Scheme application is expected.
- Boroughs are also required to demonstrate how the proposed Major Schemes would contribute to the overall LIP Objectives and targets, including their impact on relevant targets and trajectories.
- 6) Boroughs will be required to submit an **Annual Spending Submission**, similar to that submitted for the 2010/11 Transition Year. This will provide more detailed information potentially on a packaged scheme basis. Within the Annual Spending Submission, boroughs are required to
- set out their overall approach or process for drawing up their annual programmes; and
 - identify how the interventions included will help to deliver the following high profile outputs:
 - Cycle highways schemes
 - Cycle parking
 - Electric charging points
 - Better Streets
 - Cleaner local authority fleets

- Net increase in street trees.

7) Within the **Performance Monitoring Plan** boroughs are required to:

- agree locally specific targets (with annual milestones or trajectories) for a set of core LIP indicators;
- show how their local targets relate to the revised MTS targets and their own LIP objectives, demonstrating a clear link between their targets and the Programme of Investment;
- complete Proforma B (Second LIP Local Targets) providing details of each target set, including the base year and baseline data, the target year and target outcome and trajectory information
- provide evidence for each target that it is both ambitious and realistic, given indicative funding levels;
- identify key actions needed to achieve the target; and identify the principal risks to target achievement and how these will be managed;
- set trajectories with annual milestones for each of the mandatory targets;
- outline how they propose to keep progress against targets under review and address areas of over or under-performance

5. Delivering and Reporting on Second Round LIP Programmes

Reporting and Engagement with TfL

Annual Reporting

- 5.1 Boroughs will be required to report on annual spend by category and on the number of each type of intervention delivered. This will enable the Mayor and TfL to monitor delivery across all London boroughs. Given that boroughs will collect this data for their own reporting purposes, this is not considered a significant additional burden and a template will be provided. This will replace the requirement to report spend and delivery information on a bi-monthly basis.
- 5.2 Boroughs will also be required to keep their live Programme of Investment up to date on the Borough Portal.

Annual Meetings with TfL

- 5.3 TfL wishes to be a “critical friend” in order to ensure that planning and delivery of transport improves across all boroughs. It will therefore provide support to boroughs in the development and delivery of second round of LIPs.
- 5.4 TfL expects to meet each borough formally at least once each year to discuss progress on delivery of LIP programmes and whether targets are on track to be achieved. These meetings will be forward looking, insofar as key opportunities and risks to delivery over the remaining LIP period will be discussed. Engagement meetings will focus on areas of weaker performance in order to ensure that measures are in place to strengthen performance in future. TfL will also wish to discuss any significant changes to the overall Programme of Investment.
- 5.5 It is expected that the outcomes of these meetings, which will be documented through an annual review letter, will assist the Audit Commission in preparing their Comprehensive Area Assessment of the borough.
- 5.6 TfL reserves the right to request further information from boroughs whose performance against outcomes gives cause for concern that key targets are at significant risk of non-achievement.

Three Year Delivery Report

- 5.7 At the end of the Second LIP period, in 2014, boroughs will be required to prepare and publish a three-year Delivery Report setting out their expenditure and implementation of LIP programmes, achievement of targets and evidence of how the Second LIPs have contributed to wider policy objectives for local areas.
- 5.8 TfL will undertake a formal review of these Delivery Reports. The results of this review may inform the funding formula for the third round of LIPs.
- 5.9 Additional Guidance on the format, contents and assessment of the Second LIP Delivery Reports is set out in Appendix E.
- 5.10 Boroughs are encouraged to review their own performance annually, in terms of their progress against agreed Second LIP targets and based on monitoring data provided by TfL.

Delivering the Plan

- 5.11 Whilst the final Second LIP, prepared by each borough and approved by the Mayor, will provide a strong framework for improving transport locally, this will only happen if effective arrangements are put in place at an early stage to oversee delivery, identify and manage risks and monitor outcomes.

- 5.12 Boroughs are advised to set up appropriate management systems to facilitate the planning, monitoring and performance management of their transport programmes. These should be linked as appropriate to wider business improvement and performance management systems within the council, as well as, if applicable, equivalent arrangements for delivering and monitoring the LAA.
- 5.13 Setting up clear, transparent and accountable programme and performance management systems will support the effective delivery of the LIP, and ensure that delivery is focused on the achievement of targets. They will help those responsible to track progress, and where necessary to decide on corrective action. Boroughs should be clear on the projects to be pursued, the projected budget and timescales, the targets to be achieved and the trajectories for their achievement.
- 5.14 Effective risk management is essential to the second round of LIP delivery and boroughs should seek to identify key risks to delivery at an early stage. These risks should be monitored during implementation, alongside mitigation measures and remedial actions should the risks in question materialise.
- 5.15 The Audit Commission will consider a borough's effectiveness in managing delivery as part of its new Comprehensive Area Assessment and is also likely to seek clear evidence of how well boroughs are working with key partners in delivering key regional and local priorities.

Scheme Monitoring and Sharing Best Practice

- 5.16 Boroughs will no longer be required to submit Outcome Monitoring Reports concerning the delivery of individual schemes and programmes on an annual basis. Boroughs are encouraged, however, to work together to develop and share best practice on interventions which are particularly effective in delivering LIP objectives and making a visible difference to localities. TfL is keen to work with London Councils and boroughs to establish effective mechanisms by which this might be achieved.
- 5.17 This information will be used to establish best practice and to gather evidence about the impact of various different interventions. It will also provide important supporting evidence for boroughs about the effectiveness and value for money of different types of schemes and could help inform future target setting and scheme prioritisation.
- 5.18 Evidence of effective outcomes can also be useful in making the case for continued support for transport, both internally within the council, but also externally to TfL, a range of local stakeholders and the Audit Commission.

Updating the LIP Guidance

- 5.19 The Mayor does not intend to make substantial updates to this Guidance ahead of 2014. However, a revision may be published if targets specified in the revised MTS change, or significant changes are made to the funding formula.

Revision of LIPs

- 5.20 A borough may revise its LIP at any time. It is unlikely, however, that this will be necessary ahead of 2014 unless local circumstances or objectives change significantly. Boroughs considering updating their LIP ahead of this date are advised to contact TfL at an early stage.

Appendix A – Statutory Legislation covering Local Implementation Plans

A.1 Greater London Authority Act 1999

A.1.1 The LIP process has been derived against a framework of statutory and legal requirements set out in the Greater London Authority Act 1999. It is this Act that provides the authority for the Mayor and TfL to undertake this process, unless stated otherwise.

Responsibilities of the Mayor and London Authorities

A.1.2 The Greater London Authority Act 1999 requires the Mayor to produce a Transport Strategy for London. This provides the policy framework for a number of bodies, including the London Borough Councils and the Common Council (called collectively the London Authorities).

A.1.3 In addition, the Act requires that the London Authorities must implement the Mayor's Transport Strategy in two ways:

- first, in exercising any function the London Authority must 'have regard to the transport strategy' (section 144). The Mayor may also issue Guidance about the implementation of the Strategy to London Authorities (section 144(2)) which they must have regard to in exercising any function (section 144(3)). It is pursuant to this power that the current Guidance has been prepared; and
- secondly, 'as soon as reasonably practicable' after the Mayor has published the Transport Strategy, each London Authority is required to prepare a Local Implementation Plan (LIP) (section 145).

A.1.4 The Act states that a London Authority may revise its LIP at any time and must consider the need to do so when the Transport Strategy is revised (section 148).

LIP functions and requirements

A.1.5 The LIP sets out the proposals for the implementation of the Transport Strategy in the London Authority's area.

A.1.6 The GLA Act states that a LIP must contain:

- a timetable for implementing the different proposals in the plan; and
- the date by which all the proposals in the plan are implemented (section 145(3)).

A.1.7 The Act also provides a list of stakeholders the borough must consult. This is covered in more detail in Chapter 3.

A.1.8 After the Consultation process each London Borough Council must submit a LIP for the Mayor's approval (section 146(1)).

Target Setting

A.1.9 Section 41(9) of the Act provides that the Mayor shall from time to time set such targets with the respect of the implementation of any strategy...as he may consider appropriate, having regard to:

- (a) any related targets or objectives set nationally;
- (b) any performance indicators set by the Secretary of State, whether nationally or locally;

and in setting any such targets the Mayor shall seek to ensure that they are no less demanding than any related targets or objectives set nationally.

Approval of LIPs

- A.1.10 The Mayor cannot approve a LIP unless he or she considers that:
- it is consistent with the Strategy;
 - that the proposals contained in the LIP are adequate for the purposes of the implementation of the Strategy; and
 - that the timetable for implementing the proposals and the end date by which the proposals are implemented are adequate (section 146(3)).
- A.1.11 The GLA Act gives the Mayor powers to issue directions to the London Authorities under section 153 and states that London Authorities 'shall comply with any direction'. A direction may cover any matter relating to how a London Authority exercises its LIP functions.
- A.1.12 Directions can be general or specific and may cover such matters as:
- the timetable for completing or revising a LIP;
 - the bodies or persons that must be consulted in preparation of a LIP;
 - timetables and dates within the LIP;
 - actions to be taken to implement the proposals in the LIP; and
 - steps to be taken to remove the effects of an action which is incompatible with the proposals in the LIP (section 153(2)).
- A.1.13 The Mayor has extensive powers to prepare the LIP if an Authority fails to prepare one that is in his or her opinion adequate (section 147). The Mayor can recover the cost of doing so from the London Authority as a civil debt (section 147). Also, where the Mayor considers that the London Authority has failed 'or is likely to fail' to implement any proposal within the LIP he can exercise on behalf of the London Authority its powers and recover the costs of doing so (section 152).

Appendix B – The Revised Mayor’s Transport Strategy

B.1 LIPs and the Mayor’s Transport Strategy

B.1.1 LIPs must be developed in accordance with the requirements set out by the Mayor in the revised MTS. The following excerpt has been taken from pages 285-287 (paragraphs 809-819) of the draft revised MTS which set out the Mayor’s requirements of a LIP and the contribution each is expected to make to the delivering the revised MTS goals and specific MTS outputs.

B.2 Revised MTS Chapter 7.33 – Local Implementation Plans

B.2.1 At the borough level the implementation of the MTS is delivered by the LIP, prepared by each London borough council (including the City). The MTS and non-statutory London Sub-regional Transport Plans will provide the overarching framework for their development. The new LIPs must be prepared as soon as reasonably practicable after the new MTS is published in 2010, and when approved by the Mayor, will supersede any previous version.

B.2.2 The GLA Act states that a LIP must contain each particular borough’s proposals for the implementation in its area of the policies and proposals contained in the MTS. The LIP must also contain a timetable for implementing the borough’s proposals, and a date by which all those proposals in the plan will be implemented. It is important that LIPs also link-up with other documents and mechanisms, for example, Local Area Agreements, Local Development Frameworks and Local Strategic Partnerships, to ensure delivery of wider community and economic development priorities.

B.2.3 It is for each borough to seek the financial resources it requires to implement its LIP proposals. For these, and for any other borough transport proposals that are conducive to the provision of safe, integrated, efficient and economic transport facilities, or services, to, from, or within Greater London, a borough may apply for such financial assistance as may from time to time be available from TfL. This assistance is provided by TfL under section 159 of the GLA Act 1999. Assistance may be made by way of grant, loan or payment, and be given subject to such conditions as TfL considers appropriate. The Second London LIPs Guidance (referred to below) will set out further information on funding.

B.2.4 In preparing its new LIP, the borough must consult the Metropolitan Police Commissioner (or City of London Police Commissioner in the case of the City’s LIP), TfL, such organisations representative of disabled persons as the borough considers appropriate, each other London borough whose area is, in the opinion of the borough preparing the LIP, likely to be affected by the plan, and any other person that the Mayor has directed should be consulted.

B.2.5 Each new LIP must be submitted to the Mayor for his approval and the GLA Act 1999 sets out the criteria that must be met before Mayoral approval can be given. Section 146 states that the Mayor shall not approve a LIP unless he considers:

- That the LIP is consistent with the MTS
- That the proposals it contains are adequate for the purposes of the implementation of the MTS in its area
- That the timetable for implementing those proposals, and the date by which those proposals are to be implemented, are adequate for those purposes

B.2.6 The Mayor may issue statutory guidance as to the implementation of the MTS to which boroughs must have regard. He also has reserve powers to issue general or specific statutory directions as

to the manner in which a borough is to exercise its functions of preparing and implementing its LIP, with which they must comply.

- B.2.7 Detailed guidance to boroughs on how to prepare and submit their LIPs will be contained in the Second London LIP Guidance, to be published in spring 2010, following consultation with the boroughs and key partners. The Mayor has recognised the autonomy of the boroughs as reflected in the City Charter and that they should be given greater flexibility to determine their own transport priorities consistent with the goals and outcomes of the MTS. Boroughs will be expected to develop their own delivery and performance monitoring plans. The Mayor shares London councils' desire to minimise the amount of work associated with the preparation, submission and monitoring of LIPs.
- B.2.8 To this end the guidance will indicate how LIPs should best be structured, and the level of information they should contain, including monitoring, to assist the Mayor by providing him with a reasonable level of information so as to determine the LIP's consistency with the MTS, and with the other statutory approval criteria set out in section 146 of the Act.
- B.2.9 Policy 29: The Mayor, consistent with the approach of the London City Charter, will work with TfL and London councils to seek to ensure the requirements for a LIP to demonstrate consistency with the policies and proposals set out in this MTS, and that other legal requirements, are kept to a minimum. The boroughs will develop LIPs which set out their transport objectives, a delivery plan and a performance monitoring plan. The goals that are required to be addressed by boroughs in their LIP are:
- 1 Supporting economic development and population growth
 2. Enhancing the quality of life for all Londoners
 3. Improving the safety and security of Londoners
 4. Improving transport opportunities for all Londoners
 5. Reducing transport's contribution to climate change and improving its resilience.
- B.2.10 Delivering the London 2012 Olympic and Paralympic Games and its legacy is also a goal that boroughs may wish to include in their LIP submission. This will depend on the impact of the Games in each borough and whether significant Games-related transport projects need to be implemented in each borough after the next round of LIPs are effective in 2011.
- B.2.11 The Mayor will also expect boroughs to work towards achieving a number of specific outputs. More detail on these outputs will be supplied in the Second London LIP Guidance.

Appendix C – Mandatory Proformas

Proforma A1 – Programme of Investment (Example)

BOROUGH:		Thamesdon									
Programme Areas		Funding Source	High Level Goals				LIP Funding (£,000s)				
			Econ. Devt and Pop Growth	Quality of Life	Safety and Security	Opportunities for All	Climate Change	2011/12	2012/13	2013/14	Total
Corridors and Neighbourhoods	Local Safety Schemes - Priority accident spots	LIP Allocation	✓	✓	✓	✓	✓	500	430	450	1380
	Brown Road safety improvements - Improve pedestrian and cycle environment, junction improvements, vehicle speeds.	LIP Allocation			✓	✓	✓	0	180	700	880
	Green Lane - Improve pedestrian accessibility and road safety improvements	LIP Allocation			✓	✓	✓	300	250	0	550
	Lee Vale - Improve pedestrian accessibility, address vehicle speeds and improve the public realm around the station. Possible refurbishment of the rail bridge (from Maintenance Allocation).	LIP Allocation	✓	✓	✓	✓	✓	200	200	180	580
	Thamesdon College Access	Education	✓			✓	✓	40	0	0	40
	Borough-wide bus stop accessibility programme	LIP Allocation				✓	✓	100	100	100	300
	London Road Quality Bus Corridor - Bus priority, bus stop accessibility, walking improvements.	LIP Allocation		✓		✓	✓	420	420	0	840
		Developer						20	20	0	40
		Council						0	40	0	40
	London Ave - Local Area Accessibility Improvements, CPZ and 20mph Zone	LIP Allocation		✓		✓	✓	0	155	170	325
		Developer						50	40	0	90
	Thamesdown Town Centre improvements - improve pedestrian accessibility, road safety, lighting and cycle facilities	LIP Allocation	✓	✓	✓	✓	✓	350	450	200	1000
		Developer						50	30	45	125
Council							50	50	50	150	
Sustrans Grant							10	5	2	17	
Smithwood Neighbourhood Improvements - Encourage more walking through legibility, permeability, and accessibility improvements. Public realm and environmental improvements.	LIP Allocation		✓		✓	✓	0	150	300	450	
Freight Improvements - Thamesdown Town	LIP Allocation	✓				✓	160	120	120	400	
	Local Business						200	0	0	200	
Smarter Travel	Education, Training & Publicity	LIP Allocation			✓	✓	✓	92	90	95	277
		Council Revenue						100	100	100	300
	Travel to school programme (STPs, provision of pedestrian and cycling training)	Council Revenue			✓		✓	120	120	120	360
		LIP Allocation				✓	✓	85	85	85	255
	Workplace Travel Plans	LIP Allocation			✓		✓	50	50	50	150
		LIP Allocation			✓		✓	85	85	85	255
Travel Awareness	Council Revenue						230	230	230	690	
INTEGRATED TRANSPORT TOTAL							3,212	3,400	3,082	9,694	
Maintenance	Riverview Hill	LIP Allocation					250			250	
	- Road maintenance	Council Revenue	✓				100			100	
	Sundown Road	LIP Allocation						350		350	
	- Road maintenance	Council Revenue	✓					200		200	
	Principal Road Maintenance	LIP Allocation					650	550	900	2100	
- Priority locations	Council Revenue					500	400	600	1500		
Bridge Assessment & Strengthening - Prioritised locations	LIP Allocation	✓					900	900	900	2700	
Lee Vale - Refurbishment of rail bridge	LIP Allocation	✓					900	900	900	2700	
MAINTENANCE TOTAL							3,300	3,300	3,300	9,900	
Major Schemes	Lee Vale Link Road - new link between Thamesmead Road and new housing	GAF	✓	✓		✓					2500
	Major Scheme 2	LIP Allocation		✓	✓	✓					2400
	Major Scheme 3	LIP Allocation				✓					1200
	Etc.										
MAJOR SCHEME TOTAL							0	0	0	6,100	

Proforma B –Second LIP Local Targets

Borough:

Second LIP Mandatory Outcome Targets

Core Indicator	Definitions	Year Type	Units	Base Year	Year	Value	Trajectory Data				Data Source
							2006-10	2011	2012	2013	
Mode share at borough level for all residents for all trip purposes	Percentage of trips										
Public transport reliability	% of services on-time										
Principal roads where maintenance should be considered (NI 168)	% of network in need of further investigation						2010/11	2011/12	2012/13	2013/14	
Total number of people Killed or Seriously Injured (NI 147)	Number of people						2010/11	2011/12	2012/13	2013/14	
CO2 emissions	Tonnes per year per capita						2010/11	2011/12	2012/13	2013/14	

Second LIP Mandatory Output Targets

Core Indicator	Definitions	Year Type	Units	Base Year	Year	Value	Trajectory Data				Data Source
Cycle highways schemes	TBC										
Cycle parking	TBC										
Electric charging points	TBC										
Better Streets	TBC										
Cleaner local authority fleets	TBC										
Net increase in street trees	TBC										

Optional Local Targets

Local Indicator	Definitions	Year Type	Units	Base Year	Year	Value	Trajectory Data				Data Source

Appendix D – Guidance on Annual Spending Submissions

- D.1.1 Boroughs will be required to submit an annual spending submission, similar to that submitted for the 2010/11 Transition Year. This will provide more detailed information, potentially on a packaged scheme basis. Submissions for 2011/12 will be required in September 2010, and subsequent submissions for 2012/13 and 2013/14 will be required in September 2011 and 2012 respectively. Submissions should be made using Proforma A2, which will be uploaded onto the Borough Portal.
- D.1.2 The following information is required:
- a list of the areas where planned schemes for the corridor and neighbourhoods and smarter travel programmes of work will be undertaken, naming the geographical corridor or area e.g. a link, node, corridor or area name;
 - a narrative which explains why a programme of work is being undertaken e.g. to address which problem, continue work to complete a programme of work like school travel plans etc.
 - expected outcomes, making reference to relevant revised MTS expected outcomes (Table 2.1);
 - contribution to LIP objectives and mandatory LIP performance indicators and targets (Table 3.1);
 - how many signal slots will be required to implement the interventions;
 - LIP funding required; and,
 - other supporting information, including:
 - contributions from other funding sources (e.g. their own capital funding and revenue-based funding for Smarter Travel initiatives, European Objective funds, Community Infrastructure Levy, pricing measures and charges, Section 106 contributions from developers, other government grants, etc). Boroughs are required to clearly identify the nature and extent of the funding commitment of partners. Boroughs are advised to seek to maximise the contribution of the private sector, both as a source of funds and as a provider of services;
 - what, if any, impact (positive, negative or neutral) the interventions will have on Crossrail;
 - which, if any, interventions may be delivered that do not align with, or are opposed to, any of the Mayor's policies or proposals and why; or will result in the removal of infrastructure previously funded or installed by TfL with a reasoned justification.
- D.1.3 Boroughs are advised to consider packages or groups of complementary and holistic measures, designed to deliver a range of area or corridor-based outcomes.
- D.1.4 Boroughs will be expected to develop packages of schemes that match their allocations for Corridor and Neighbourhood, and Smarter Travel programmes. However, there is discretion to increase or decrease the amount in each programme by up to 20%, provided that the overall value of both programmes reflects borough's total allocations.
- Boroughs will have flexibility to change or update their annual programmes in response to delays and cost over-runs, stakeholder feedback, new evidence of the impact of previous interventions, changes in priorities, etc. Engagement with TfL may be necessary if significant changes are to be made.

Proforma A2 – Annual programme of formula funded interventions (Example)

Package Number	Location & Package Name	Programme Narrative <i>(please describe the key components of the scheme)</i>	Expected Outcomes <i>(making reference to relevant MTS expected outcomes and identifying, if appropriate, how this relates to the 6 high profile outputs of the MTS)</i>	Number of Signal Slots	Cost 2010-11 £000	Cost 2011-12 £000	Cost 2012-13 £000	Comments
1	London Road	<p>Route 1 This corridor runs along London Road between George Street and Palace Road and it is on the Strategic Road Network (SRN) and London Cycle Network (LCN).. It has 25,000 movement movements a day. Is a heavily used bus corridor with approx. 30,000 passengers per weekday. In addition there is a heavy cycle demand of 500 cyclists per day. There are also 56 accidents along this corridor over the last three years, of which 10 were KSI's.</p> <p>The southern side of London Road is predominately residential, whereas the northern side of London Road is mainly commercial retail units resulting in kerbside pressure with high levels of opportunist parking. There are a number of fast food outlets that result in vehicles causing temporary obstructions to London Road, particularly in the pm peak. Severance and safety is also an issue, especially outside the local Primary School, as residents attempt to access the school, shops and other services on foot across the busy road.</p>	<p>MTS Outcomes:</p> <ul style="list-style-type: none"> • Smoothing traffic flow • Improving bus reliability • Reducing operating costs • Reducing the Number of Road Traffic Casualties • Improving the physical accessibility of the transport system <p>The proposals we are developing to achieve these outcomes include:</p> <ul style="list-style-type: none"> • Review all of the existing bus priority - initial analysis of information from TfL on pinch points indicates that an extension of the bus lane on the approaches to the Wood Street junction could improve reliability • Assess if the bus lane can be widened to provide additional protection for cyclists. • Trial the removal of a traffic signal junction. If successful install a raised zebra crossing on the key pedestrian desire line • Inset parking and loading bays on the north side of London Road will alleviate the current kerbside friction and regulate loading activity. • The effect on general traffic is expected to be neutral, but benefits are anticipated at Wood Street junction due to a signal timings review. • As part of the Bus Stop Accessibility (BSA) programme, the four bus stops in this location will be upgraded to provide step-free access for passengers • Comprehensive review of street signage & clutter -seeking to remove all unnecessary guardrail and signage 	1	300	600	0	Trial removal of existing traffic signals

Appendix E – Glossary

Glossary

CAA – Comprehensive Area Assessment

CIF – Community Infrastructure Fund

CIL – Community Infrastructure Levy

DCLG – Department for Communities and Local Government

DfT – Department for Transport

EQIA – Equality Impact Assessment

GLA – Greater London Authority

LAA – Local Area Agreement

LDA – London Development Agency

LIP – Local Implementation Plan

LSP – Local Strategic Partnership

LTP – Local Transport Plan

MTS – Mayor’s Transport Strategy

ODA – Olympic Delivery Authority

SEA – Strategic Environmental Assessment

SCS – Sustainable Community Strategy

SNR – Sub-National Review of Economic Development and Regeneration

SRTP – Sub-regional Transport Plan

TfL – Transport for London

Appendix F – Outline Guidance on Second Round LIP Delivery Report

Introduction

- F.1.1 Each Borough is required to produce a Three Year Delivery Report covering the period April 2011 to March 2014. This Report should be submitted to TfL in July 2014.
- F.1.2 This Supplementary Guidance should be read in conjunction with the Guidance on Developing Second London Local Implementation Plans. It applies to all boroughs in London which produce Second LIPs and deliver programmes consistent with these frameworks between 2011 and 2014.

Objectives

- F.1.3 A second round LIP Delivery Report should provide a concise account of the impact of the Second LIP on its locality, so that TfL, on behalf of the Mayor, can assess the strength and breadth of what has been achieved.
- F.1.4 The experience of delivery and achievement of outcomes set out in the Delivery Report will be an important focus of TfL's ongoing engagement with boroughs. The evidence presented will also influence TfL's decisions on whether to amend formula funding for a borough to support third round LIP delivery between 2014 and 2017 and other matters relevant to the borough. It is also possible that the Report may be a consideration for the Audit Commission in undertaking future rounds of Comprehensive Area Assessments. Finally, boroughs may themselves use their analysis of delivery in the Second LIP to inform the development of robust strategies and delivery plans for the third round LIP, thereby supporting better outcomes in the area.
- F.1.5 A second round LIP Delivery Report is required to set out:
- the overall impact of the Second LIP, including the impact on the area covered by the borough, its 'place shaping' role, and its contribution to transport, other public services and the borough's wider policy objectives;
 - how delivery has matched the overall Implementation and Delivery Plan set out in the Second LIP and the reasons for any significance divergences; and
 - progress against the stated targets and a related commentary for achievement or non-achievement.
- F.1.6 A Delivery Report will need to contain some technical information for use by TfL in assessing progress. However, it should be written with a view to summarising key achievements to the general public and stakeholders. TfL also recommends that the Delivery Report is prepared in close liaison with stakeholders so that a rounded overview of progress can be presented, not just the perspective of the borough itself.

Overall Impact of the Second LIP

- F.1.7 A Delivery Report should summarise what has been achieved in relation to local transport during the three years of the Second LIP. It should not only consider the impacts of transport capital programmes, but should consider the impacts of other key transport-related decisions and revenue-funding. Boroughs should also summarise the effects of investment decisions by TfL on the borough and how this has influenced the effectiveness of the Second LIP programmes over the area.
- F.1.8 Key questions which boroughs may wish to consider include the following:
- what difference has the Second LIP made to the borough?
 - what are the key achievements over the Second LIP period?

- have the main objectives of the Second LIP been achieved?
- what has worked well and therefore might inform the third round LIP and what might have been done differently in hindsight?
- how has action by, and within, the borough supported the objectives and priorities set out in the revised MTS?

F.1.9 In considering these questions, boroughs should consider how the Second LIP investment has impacted on wider policy aims and service delivery beyond transport, for example in relation to sustainable development, social inclusion, quality of life, town centre vitality and regeneration, education, health and tackling climate change. As a minimum, the Report should consider the priorities defined within the SCS.

Second LIP Delivery

F.1.10 Boroughs should summarise what has been delivered over the Second LIP period. They should describe actual programmes delivered together with any significant changes from the original Second LIP Implementation Plan. Where significant changes have taken place, the borough should provide an explanation of the principal reasons for the divergence.

F.1.11 Reporting under this section should reflect the five revised MTS goals and the six high profile outputs.

Progress on Second Round LIP Indicators

F.1.12 The Second LIP Guidance requires boroughs to monitor their performance against a core set of locally specific targets. TfL will collect data on these indicators and will provide this information to boroughs for the purposes of their Delivery Report. There is no requirement for boroughs to collect data themselves, except in support of local or intermediate outcomes relevant to the locality.

F.1.13 Boroughs should provide evidence and a supporting commentary on whether the Second LIP targets have been met, or if a target relates to a period beyond the Second LIP, whether the borough is on track to meet the target by the relevant year. Where targets have been achieved, this commentary need not be extensive, but further explanation should be provided in the event of non-delivery together with proposed remedial action in the third round LIP to achieve the target or move it closer to the intended trajectory. Further explanation is also required for any target where there is “no clear evidence” as to whether it is on track or not to be achieved.

TfL Assessment of Second Round of LIP Delivery Reports

F.1.14 TfL will undertake a formal assessment of the Second Round LIP Delivery Reports. The results of this assessment will inform funding decisions for the third round LIP and may also be shared with the Audit Commission for their evidence base under Comprehensive Area Assessment.

F.1.15 The assessment will be made on the basis of the following criteria:

- the overall impact of the Second LIP on the area covered by the borough;
- the extent to which transport investment has supported wider policy objectives, for example those set out in the SCS, as well as agreed priorities at a regional level;
- how well the objectives and proposals set out in the Second LIP have been delivered over the period and the reasons for any significant divergences;
- the achievement of Second LIP targets and the quality of the accompanying commentary, especially where targets have not been achieved; and
- evidence of lessons learned from the Second LIP which provide opportunities and risks and therefore inform the development and delivery of third round LIP.

Format of Delivery Reports

- F.1.16 The precise format of Delivery Report is for boroughs themselves to determine. TfL will not insist on any particular structure, length, set of contents or presentational style. This gives flexibility to boroughs to reflect their own local circumstances and audiences. Reports should, however, be concise and boroughs should ensure that evidence is included that matches the key assessment criteria set out above. As noted, evidence on the Second LIP delivery should also indicate how programme expenditure and implementation has supported the Mayor's strategic objectives as defined in the revised MTS.
- F.1.17 Boroughs are invited to present examples of what they perceive to be good practice in the delivery of their LIP, either in terms of specific delivery processes (e.g. partnership working, scheme prioritisation, performance management), particular schemes or programmes, or above-average outcomes. TfL will not formally assess such examples, but would welcome such evidence to provide support to the continuation of LIP funding within the TfL Business Planning process.

Practicalities

- F.1.18 Second Round LIP Delivery Reports should be produced as free-standing documents. They should be submitted to TfL at the end of July 2014 and at the same time available to the public and stakeholders within each borough. Ideally, Delivery Reports should be available online via the boroughs' website and also presented to the relevant partnerships responsible for the LAA.
- F.1.19 TfL will undertake an initial assessment of the Delivery Reports and then arrange a formal meeting with each Borough to discuss its overall progress on the Second LIP. This meeting will provide an opportunity for TfL to seek clarification on any areas where evidence of delivery is unclear and for the each borough to provide further evidence as it thinks appropriate and necessary. A key element of the meeting is also to assess opportunities and risks on delivery of the third round LIP.

Updates of this Guidance

- F.1.20 TfL believes that boroughs will find it useful to understand how their progress in delivering successful Second LIPs will need to be reported and assessed in due course. To this end, it is intended that there will be no fundamental changes to the advice set out in this Guidance before boroughs submit their Delivery Reports in July 2014.
- F.1.21 TfL may amend the detail of this Guidance closer to the conclusion of the Second LIP round, however. This may focus, for example, on those aspects of LIP delivery which emerge as problematic from the annual engagement meetings, the introduction of new targets by the Mayor or the completion of London Sub-Regional Transport Plans.
- F.1.22 TfL also expects to issue consolidated data of borough performance against the Second round of LIP performance indicators and to issue further advice on how it will formally assess the Second Round LIP Delivery Reports and the potential changes in the third round of LIP funding which may result from the results of these assessments. This further advice will be published no later than December 2013.

Appendix G – TfL Contacts

(To be provided)