

Local Pinch Point Fund Application Form



Guidance on the Application Process is available at:

<https://www.gov.uk/government/organisations/department-for-transport/series/local-pinch-point-fund>

Please include the [Checklist](#) with your completed application form.

The level of information provided should be proportionate to the size and complexity of the scheme proposed. As a guide, for a small scheme we would suggest around 25-35 pages including annexes would be appropriate.

One application form should be completed per project.

Applicant Information

Local authority name(s): Essex County Council

Bid Manager Name and position:

Alastair Southgate, Transportation Strategy Manager

Contact telephone number: 01245 437702

Email address: alastair.southgate@essex.gov.uk

Postal address:

Essex County Council
County Hall
Market Road
Chelmsford
CM1 1QH

When authorities submit a bid for funding to the Department, as part of the Government's commitment to greater openness in the public sector under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004, they must also publish a version excluding any commercially sensitive information on their own website within two working days of submitting the final bid to the Department. The Department reserves the right to deem the business case as non-compliant if this is not adhered to.

Please specify the weblink where this bid will be published:

www.essex.gov.uk/pinchpointfund

SECTION A - Project description and funding profile

A1. Project name: A176 Nether Mayne, Basildon

A2. Headline description:

Please enter a brief description of the proposed scheme (in no more than 100 words)

The scheme will provide key improvements to increase capacity and reduce congestion on the A176 Nether Mayne, a strategic gateway into Basildon from the south and the A13. The road experiences congestion in the morning and evening peak times, causing delays in accessing the commercial, employment and residential areas in Basildon Town Centre and the adjacent Basildon and Thurrock University Hospital.

This scheme will address the capacity issues along the northern part of the route through the provision of an additional northbound lane between the hospital roundabout and Roundacre roundabout; in addition there will be minor changes to the layout of the Roundacre roundabout and the provision of a puffin pedestrian crossing (please refer to **Appendix 1a** for further details). The existing short length of bus lane will be retained. Overall the efficiency of the junction will be increased, which is otherwise a significant constraint as a traffic bottleneck.

A3. Geographical area:

Please provide a short description of area covered by the bid (in no more than 100 words)

Basildon is a major 'new town' situated to the south of Essex within the Thames Gateway Regeneration area bounded to the south by the A13 and to the north by the A127, both of which run in an east west direction. It is a primary employment centre for the Thames Gateway region and represents the largest such area outside London.

The A176 Nether Mayne corridor forms the main access into Basildon from the south and the A13 and provides linkages to the A127 to the north. The A13 provides links not only to London but to Thurrock and the major London Gateway Port. It also serves as a key passenger transport corridor linking Basildon and settlements in Thurrock together with the regional Lakeside shopping centre.

The scheme covers the northern section of the corridor measuring 0.8km. On the western side of the road is Basildon and Thurrock University Hospital with residential areas further north, and to the east is a school and further residential areas. These land uses do not overlook the road, but are shielded by structures or green areas.

Just south of Roundacre roundabout junction the road is crossed by the Essex Thameside rail line as well as providing access to Basildon Railway Station.

OS Grid Reference: 570031, 188239 Lat Long: 51.567391, 0.451909

Postcode: SS16 5GG

Please append a map showing the location (and route) of the proposed scheme, existing transport infrastructure and other points of particular interest to the bid e.g. development sites, areas of existing employment, constraints etc.

Please refer to **Appendix 1a and 1b** for a plan showing the scheme and a location map showing the proposed developments respectively.

A4. Type of bid (please tick relevant box):

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

Scheme Bid
Structure Maintenance Bid

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

Scheme Bid
Structure Maintenance Bid

Note: Scheme and Structure Maintenance bids will be assessed using the same criteria.

A5. Equality Analysis

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

Essex County Council Level 1 Equality Impact Statement has been completed and submitted to the Equality and Diversity team within the County Council. It will form part of the internal governance process as the scheme progresses, a copy of the assessment is available on request.

A6. Partnership bodies

Please provide details of the partnership bodies (if any) you plan to work within the design and delivery of the proposed scheme. This should include a short description of the role and responsibilities of the partnership bodies (which may include Development Corporations, National Parks Authorities, private sector bodies and transport operators) with confirmatory evidence of their willingness to participate in delivering the bid proposals.

The scheme will be delivered by Essex County Council in partnership with its Integrated Service Provider, Essex Highways. Given the value of the scheme a tender process will be required. The County Council will utilise the Eastern Highways Alliance Framework or the Highways Agency Framework contract, to ensure an efficient and reduced tender process in order to deliver the scheme within the timescales.

In addition the County Council and successful tenderer will need to work closely with the public, businesses and local residents along the corridor as well as utility companies.

A7. Local Enterprise Partnership / Local Transport Body Involvement

It would be beneficial (though not essential) if the relevant LEP or LTB (or shadow(s)) have considered the bid and, if necessary, prioritised it against other bids from the same area. If possible, please include a letter from the LEP / LTB confirming their support and, if more than one bid is being submitted from the area, the priority ranking in order of growth significance.

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

Please see **Appendix 2** for letters of support

SECTION B – The Business Case

You may find the following DfT tools useful in preparing your business case:

- [Transport Business Cases](#)
- [Behavioural Insights Toolkit](#)
- [Logic Mapping Hints and Tips](#)

B1. The Scheme - Summary

Please select what the scheme is trying to achieve (this will need to be supported by evidence in the Business Case). Please select all categories that apply.

- Improve access to a development site that has the potential to create housing
- Improve access to a development site that has the potential to create jobs
- Improve access to urban employment centres
- Improve access to Enterprise Zones
- Maintain accessibility by addressing the condition of structures
- Ease congestion / bottlenecks
- Other(s), Please specify – Improves access to Basildon Town Centre and supports the approved regeneration masterplan.

B2. The Strategic Case

This section should set out the rationale for making the investment and evidence on the strategic fit of the proposal. It should also contain an analysis of the existing transport problems, identify the barriers that are preventing growth, explain how the preferred scheme was selected and explain what the predicted impacts will be. The impact of the scheme on releasing growth potential in Enterprise Zones, key development sites and urban employment centres will be an important factor in the assessment process.

In particular please provide evidence on the following questions (where applicable):

- a) What is the problem that is being addressed, making specific reference to barriers to growth and why this has not been addressed previously?

Existing Issues

The route currently experiences congestion in the morning and evening peak periods, which has been demonstrated through extensive modelling work undertaken to support the development of the Basildon Borough Council Local Plan. The corridor itself between Basildon Hospital and the Roundacre roundabout carries in excess of 25,000 vehicles per day (two-way AADT flow, 2010). This modelling work has shown that the A176 Nether Mayne link (from the A13 to the Roundacre Roundabout) is currently operating over capacity in the peak periods. Peak time queueing has been observed on a daily basis for traffic travelling into Basildon Town Centre, and is most severe in the northbound direction (A13 to Roundacre Roundabout), experienced during both the morning and afternoon peak. To support this a report '*Basildon LDF Core Strategy - Assessment of Impact of Potential Core Strategy Sites on Existing Junctions - March 2012*', describes in detail an assessment of the potential impact of Local Development Framework forecast growth by 2031 on the road network in Basildon, Billericay and Wickford. It was indicated that capacity would be exceeded on both the north-south approaches of the Nether Mayne / Ashdon Way junction, as well as the northbound link to the Roundacre Roundabout under all 2031 scenarios. It was also shown that northbound traffic on Nether Mayne through the junction of Ashdon Way, is expected to increase by 30% with the proposed LDF traffic, in the AM peak and southbound traffic by 26% in the PM peak.

This congestion has significant effects regarding access to the Town Centre and Basildon, and Thurrock University Hospital (including Accident and Emergency facilities) which serves not only Basildon but also Thurrock and the surrounding area.

The Essex Business Survey (2010) highlighted the need for infrastructure improvements. According to Essex businesses, the top three investment priorities were: information and communications technology particularly high spend broadband networks, more reliable and cheaper transport services; and the road/transport network. Over one third (35%) of businesses are concerned about local traffic congestion, especially large and medium companies.

Development Proposals

Basildon Borough is one of four large towns in the County of Essex and is also a major town in the Thames Gateway Regeneration Area, with a population of 174,000 (2011 Census). Basildon Borough Council have adopted a Masterplan for the regeneration of the town centre which will provide 2000 new homes and 3325 Full Time Equivalent jobs in the Town Centre, and a further 2175 jobs indirectly. One part of the Plan for the Town Centre is the movement of the South Essex College from its current site, adjacent to the Nether Mayne corridor, to the Town Centre. Planning permission for relocation of the college has been obtained, however in order to achieve this the land adjacent to Nether Mayne must be sold for development. In addition there is Homes and Community Agency (HCA) land at the southern end of the Nether Mayne corridor, where planning permission is currently being sought on this site for development of 725 dwellings. This significant development to the south will have planning conditions attached to it to improve capacity at the Hospital roundabout, along the southern section of the A176 and will provide signalised access onto the the A176 from the development. Basildon is also home to the Basildon Enterprise Corridor, the largest concentration of employment in Essex.

Improvements to the Nether Mayne Corridor

The A176 Nether Mayne scheme will help to facilitate the development in the Town Centre through improved access from the south giving more reliable and improved journey times, thus making it more attractive to investment from businesses and developers. It will also facilitate development along the corridor by complementing and adding value to the improvements on the southern section made by private sector developers.

The issues on this corridor have not been addressed previously, as the growth in traffic levels and congestion have been incremental and investment in the road has concentrated on maintenance and safety issues. As plans for the development of this corridor and the town centre have put forward the need for more substantial investment in capacity has become apparent.

Strategic Context

Investment in this corridor is wholly compliant with the aspirations of the Essex Economic Strategy and the Greater Essex Integrated County Strategy, supports the delivery of the Essex Local Transport Plan, and has the support of the Thames Gateway South Essex Strategic Partnership,

The Economic Growth Strategy has the stated ambition to make Essex the location of choice for business; for those already based in Essex and those who may choose Essex in the future. To grow, the Essex economy depends on the efficient movement of people, goods and information, via effective and reliable transport and communications networks at competitive prices to provide access to markets and suppliers. The Economic Growth Strategy also acknowledges that our future economic prosperity depends on ensuring that a ready supply of development land, new housing and and the co-ordinated provision of appropriate infrastructure.

Essex County Council has been working closely with the district, borough, city and unitary councils to agree on where growth should take place in future. The results of this cooperation form the Integrated County Strategy for Greater Essex. Investment will be focused on our principal urban areas; Basildon, Chelmsford, Colchester and Harlow (as well as Southend and Grays) as these are the main locations for growth.

The Local Transport Plan applies an incremental approach to ensuring that our transport network is fit for purpose and enables economic growth. This entails; prioritising the maintenance and smarter use of our existing transport network; making targeted investments to address local network pinch points and land to support local development; and promoting larger scale projects only where these are required to most effectively address the transport challenges facing Essex.

The County Council's approach and strategy has identified the need for economic growth in Basildon and investment in three key priorities to support this; improvements to Nether Mayne, to provide more reliable access to support the future expansion of the hospital and re-use of the existing college site for a town centre campus; transport improvements necessary for the delivery of the Basildon Town Centre Package including the redevelopment of the railway station and delivery a package of commercial, residential, education and infrastructure outputs and; sustainable access to employment opportunities on the Basildon Enterprise Corridor to reduce congestion and provide access by bus.

b) What options have been considered and why have alternatives have been rejected?

In terms of addressing trip generation there is an ongoing Travel Planning programme at Basildon and Thurrock University Hospital that Essex County Council has supported through investment in public transport, walking and cycling infrastructure along the corridor and at the hospital itself. The Travel Planning programme will continue and will be extended to new development in the area. However, given the strategic nature of the route and the long distances people travel to access the area this programme alone cannot address the congestion issues along the corridor.

Essex County Council also developed a major scheme in the form of the South Essex Rapid Transit (*sert*), of which this corridor formed one of the routes to link Basildon Town Centre with Thurrock and the Regional Shopping Centre, Lakeside. However the scheme was not successful in obtaining funding so this option which is at a significantly lower cost but will benefit not only public transport but all traffic once it has been developed.

Other engineering solutions have been considered such as widening the both the north and the southbound carriageways but these were rejected at this stage on the grounds of cost, deliverability and the benefits of adding an extra lane southbound are not as great as providing extra capacity northbound as the congestion is greater in a northbound direction.

Proposals to significantly change to the flow of traffic at the Roundacre junction were also investigated but were not considered appropriate at this stage, because of the impact of the proposed development in the town centre.

c) What are the expected benefits / outcomes? For example, job creation, housing numbers and GVA and the basis on which these have been estimated.

Appendix 1b shows in the detail the development proposals which these improvements will directly contribute to. There is currently a planning application of 725 dwellings which is being considered by Basildon Borough Council. The scheme will also facilitate the regeneration of the

Town Centre which is a significant development by the Borough Council, who has recently adopted a £2 billion Masterplan proposal, which has evidence to support the fact that 2000 dwellings and 5500 new jobs (both direct and indirect) will be created by the regeneration process.

In addition this route forms part of the access from the south to the Basildon Enterprise Corridor which is the largest business area in the Thames Gateway outside of London, home to 45,000 jobs and over 5,000 business including Ford, Selex, Case New Holland, RBS and Starbucks. Access to this employment area is vital to stimulate growth and is a key priority for Thames Gateway, the County Council and Basildon Borough Council.

- d) What is the project's scope and is there potential to reduce costs and still achieve the desired outcomes? For example, using value engineering.

Throughout the development of this option the most cost effective solutions have been sought. There is little scope to reduce the cost of the scheme, which is all within the Public Highway. Other options considered, including work at the junctions were more costly. However once the contractor has been appointed via the Eastern Highways Alliance or the Highways Agency Framework Contract, there will be the opportunities to value engineer the proposals to reduce the overall cost of construction.

- e) Are there any related activities, that if not successfully concluded would mean the full economic benefits of the scheme may not be realised. For example, this could relate to land acquisition, other transport interventions being required or a need for additional consents?

The benefits of this scheme are self-contained and not reliant on any other interventions or consents. However if the Dry Street planning application to the south of the corridor is not approved the highway improvements attached to that planning condition will not be implemented within a similar timescale to this scheme. Although as already mentioned the improvements proposed in this bid are separate and will provide strong benefits to existing movements and approved developments such as the Town Centre regeneration not to mention providing strong economic benefits. If the application is not approved Basildon Borough Council have identified this corridor as a preferred option for development in their draft Local Plan and it is likely that in the long term more development will occur along this corridor rather than less.

- f) What will happen if funding for this scheme is not secured - would an alternative (lower cost) solution be implemented (if yes, please describe this alternative and how it differs from the proposed scheme)?

This scheme is the most cost effective option. The corridor would rely on minimal improvements attached to the development proposals which would only deliver localised improvements and not address more strategic movements and/or provide economic benefits. This scheme very much supports the strategic movements to enhance the developments and accessibility therein.

- g) What is the impact of the scheme – and any associated mitigation works – on any statutory environmental constraints? For example, Local Air Quality Management Zones.

The scheme is all within in the existing public highway therefore no statutory powers are required with the exception of Traffic Regulation Orders to carry out construction.

Basildon Borough Council currently has no declared Local Air Quality Management Areas in the Basildon Area.

B3. The Financial Case – Project Costs

Before preparing a scheme proposal for submission, bid promoters should ensure they understand the financial implications of developing the scheme (including any implications for future resource spend and ongoing costs relating to maintaining and operating the asset), and the need to secure and underwrite any necessary funding outside the Department's maximum contribution.

Please refer to **Appendix 3** for a detailed breakdown of the costs

Figures should be entered in £000s (i.e. £10,000 = 10).

Table A: Funding profile (Nominal terms)

£000s	2013-14	2014-15	2015-16	Total
DfT funding sought	763	1,583		2,346
Local Authority contribution	328	679	0	1,007
Third Party contribution	0	0	0	0
TOTAL	1,091	2,262	0	3,353

Table B: Cost estimates (Nominal terms)

Cost heading	Cost (£000s)	Date estimated	Status (e.g. target price)
Preliminaries	287	12/02/13	Estimate
Site Clearance	21	12/02/13	Estimate
Safety Barriers	2	12/02/13	Estimate
Earthworks	14	12/02/13	Estimate
Surfacing	389	12/02/13	Estimate
Kerbs/Footways	124	12/02/13	Estimate
Traffic Signs/Markings	434	12/02/13	Estimate
Road Lighting	78	12/02/13	Estimate
Landscaping	3	12/02/13	Estimate
Utility Diversions	1,053	12/02/13	Estimate
Quantified Risk Assessment (@ P50)	425	12/02/13	Estimate
Design/Surveys incurred post 3 rd January 2013	297	12/02/13	Estimate
Supervision	226	12/02/13	Estimate
TOTAL	3,353		

Notes:

- 1) Department for Transport funding must not go beyond 2014-15 financial year.
- 2) A minimum local contribution of 30% (local authority and/or third party) of the project costs is required.
- 3) Costs in Table B should be presented in outturn prices and must match the total amount of funding indicated in Table A.

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

Please provide information on the following points (where applicable):

- a) The non-DfT contribution may include funding from organisations other than the scheme promoter. If the scheme improves transport links to a new development, we would expect to see a significant contribution from the developer. Please provide details of all non-DfT funding contributions to the scheme costs. This should include evidence to show how any third party contributions are being secured, the level of commitment and when they will become available.

The non-DfT contribution will be provided by the Essex County Council Capital Programme.

- b) Where the contribution is from external sources, please provide a letter confirming the body's commitment to contribute to the cost of the scheme. The Department is unlikely to fund any scheme where significant financial contributions from other sources have not been secured or appear to be at risk.

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

- c) The Department may accept the provision of land in the local contribution towards scheme costs. Please provide evidence in the form of a letter from an independent valuer to verify the true market value of the land.

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

- d) Please list any other funding applications you have made for this scheme or variants thereof and the outcome of these applications, including any reasons for rejection.

None

B5. The Financial Case – Affordability and Financial Risk

This section should provide a narrative setting out how you will mitigate any financial risks associated with the scheme (you should refer to the Risk Register / QRA – see Section B11).

Please ensure that in the risk / QRA cost that you have not included any risks associated with ongoing operational costs and have used the P50 value.

Please provide evidence on the following points (where applicable):

- a) What risk allowance has been applied to the project cost?

A quantified risk analysis/assessment has been carried out and is attached as **Appendix 15**. It should be noted that this is based on P50 values. The total risk allowance is £424,500.

b) How will cost overruns be dealt with?

As referred above the work will be tendered under one of two framework contracts, the Eastern Highways Alliance or the Highways Agency framework contracts. Within this the works will be delivered using the New Engineering Council (NEC) 3 suite of documents which has mechanisms to deal with cost overruns including penalties and pain/gain provisions. If necessary specific terms and clauses could be added to the tender documentation.

c) What are the main risks to project delivery timescales and what impact this will have on cost?

Appendix 10 shows the top strategic risks and the highest risks contained in the QRA including their associated mitigations

d) How will cost overruns be shared between non-DfT funding partners (DfT funding will be capped and will not be able to fund any overruns)?

Any cost over runs not covered by the contract or due to third party issues will be dealt with through the County Councils budget

B6. The Economic Case – Value for Money

This section should set out the full range of impacts – both beneficial and adverse – of the scheme. The scope of information requested (and in the supporting annexes) will vary according to whether the application is for a small or large project.

Small project bids (i.e. DfT contribution of less than £5m)

a) Please provide a description of your assessment of the impact of the scheme to include:

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

Data and analysis to support the description of traffic characteristics of the road section, the impact of the proposals and the data used to populate the pro-forma tables are contained in a separate note: *Nether Mayne, Basildon: Supplementary Information to Application for Pinch Point Funding, February 2013 (Appendix 4)*

B6a) Significant Positive and Negative Impacts

Modelling has shown that the scheme can be expected to save 5.38 vehicle hours in a single AM peak hour and 24.02 vehicle hours in a PM peak hour in the base year.

In addition a report *Basildon LDF Core Strategy - Assessment of Impact of Potential Core Strategy Sites on Existing Junctions - March 2012*, describes in detail an assessment of the potential impact of LDF forecast growth by 2031 on the road network in Basildon, Billericay and Wickford. It was shown that northbound traffic in the study area, with the proposed LDF traffic and network improvements, is expected to increase by 30% in the AM peak and southbound traffic by 26% in the PM peak. 2031 forecast flows with LDF developments and network improvements. Junctions were modelled with the current proposals for Nether Mayne, but

resulting journey times were not assessed. The modelling results are presented in the accompanying note (**Appendix 4 and 6**) which show that the proposals for the Nether Mayne junctions are robust to accommodate forecast growth.

B6b) Key Risks and Uncertainties

The junction assessments have been undertaken using standard software (ARCADY and LINSIG) and analysis, based on junction counts that were undertaken on a normal day in a neutral month. Risks to modelling results are therefore considered to be low.

B6c) Modelling Approach

Junctions for the Do-minimum and Do-something cases were assessed by LINSIG and ARCADY. Journey times were assessed by using Trafficmaster journey times and delays from the results of the junction modelling.

Results are presented in:

- The supplementary Information Note (**Appendix 4**)
- Junction Counts (**Appendix 5a, 5b and 5c**)
- Nether Mayne Junction Modelling Results (**Appendix 6**)
- Nether Mayne Scheme Impact Tables (**Appendix 7**)
- Nether Mayne Local Pinch Point Proforma (**Appendix 8**)
- Nether Mayne Appraisal Summary Table (**Appendix 9**)

Summary of Data sources used:

- 2010/11 Trafficmaster Journey Time data, average of neutral months per hour and hourly data for June 2011.
- 12 hour classified junction counts at the Nether Mayne / Roundacre Roundabout Thursday 26 March 2011 07:00 to 10:00 and 16:00 to 19:00 - presented in workbook: Site 21 - 26 MAY 2011 (MCC 4-arm ECC STD) Roundacre
- 12 hour classified junction counts at the Nether Mayne / Ashton Way Wednesday 25 March 2011 07:00 to 10:00 and 16:00 to 19:00 - presented in workbook: Site 22 - 25 MAY 2011 (MCC 3-arm ECC STD) Ashdon Way
- Automatic Speed and Volume Traffic Count A176 Nether Mayne /Between Ashdon Way and Roundacre
- 22-30 May 2011 presented in workbook ATC A176 Nethermayne BASILDON - MAY 2011 – Summary
- AADF data from <http://www.dft.gov.uk/traffic-counts/>
- Bus timetables
- Typical bus usage provided by operators

Flows, traffic composition and patterns were extracted from the available data. Where no direct data was available default values from WebTAG were used.

** Small projects bids are not required to produce a Benefit Cost Ratio (BCR) but may want to include this here if they have estimated this.*

b) Small project bidders should provide the following as annexes as supporting material:

- A completed [Scheme Impacts Pro Forma](#) which summarises the impact of proposals against a number of metrics relevant to the scheme objectives. It is important that bidders complete as much of this table as possible as this will be used by DfT – along with other centrally

sourced data – to form an estimate of the BCR of the scheme. Not all sections of the pro forma are relevant for all types of scheme (this is indicated in the pro forma).

- A description of the sources of data and forecasts used to complete the Scheme Impacts Pro Forma. This should include descriptions of the checks that have been undertaken to verify the accuracy of data or forecasts relied upon. Further details on the minimum supporting information required are presented against each entry within the pro forma.

Has a Scheme Impacts Pro Forma been appended? Yes No N/A

Has a description of data sources / forecasts been appended? Yes No N/A

Please refer to **Appendix 8**

- A completed [Appraisal Summary Table](#). Bidders are required to provide their assessment of all the impacts included within the table and highlight any significant Social or Distributional Impacts (SDIs). Quantitative and monetary estimates should be provided where available but are not mandatory. The level of detail provided in the table should be proportionate to the scale of expected impact with particular emphasis placed on the assessment of carbon, air quality, bus usage, sustainable modes, accessibility and road safety. The source of evidence used to assess impacts should be clearly stated within the table and (where appropriate) further details on the methods or data used to inform the assessment should be attached as notes to the table.

Has an Appraisal Summary Table been appended? Yes No N/A

Please refer to **Appendix 9**

- Other material supporting the assessment of the scheme described in this section should be appended to your bid.

** This list is not necessarily exhaustive and it is the responsibility of bidders to provide sufficient information to demonstrate the analysis supporting the economic case is fit-for-purpose.*

Large project bids (i.e. DfT contribution of more than £5m)

- c) Please provide a short description of your assessment of the value for money of the scheme including your estimate of the BCR. This should include:

- Significant monetised and non-monetised costs and benefits;
- A description of the key risks and uncertainties and the impact these have on the BCR;
- Key assumptions including (but not limited to): appraisal period, forecast years, level of optimism bias applied; and
- A description of the modelling approach used to forecast the impact of the scheme and the checks that have been undertaken to determine that it is fit-for-purpose.

N/A

- d) Detailed evidence supporting your assessment – including a completed [Appraisal Summary Table](#) – should be attached as annexes to this bid. **A checklist of material to be submitted in support of large project bids has been provided.**

Has an Appraisal Summary Table been appended? Yes No N/A

- Please append any additional supporting information (as set out in the [Checklist](#)).

**It is the responsibility of bidders to provide sufficient information for DfT to undertake a full review of the analysis.*

B7. The Commercial Case

This section should set out the procurement strategy that will be used to select a contractor and, importantly for this fund, set out the timescales involved in the procurement process to show that delivery can proceed quickly.

- a) Please provide evidence to show the risk allocation and transfer between the promoter and contractor, contract timescales and implementation timescales (this can be cross-referenced to your Risk Management Strategy).

As already mentioned the NEC 3 contract suite will be used, within this form of contract are various options regarding the transfer of risk from the promoter to the contractor, typical examples of risk transfer include, programme, and weather. These issues will obviously be confirmed once an appropriate contractor has been brought on board. Please refer to **Appendix 16** for the Risk Management Strategy.

- b) What is the preferred procurement route for the scheme and how and why was this identified as the preferred procurement route? For example, if it is proposed to use existing framework agreements or contracts, the contract must be appropriate in terms of scale and scope.

All design work will be carried out by the County Council's integrated service partner, Essex Highways. Construction will be undertaken via mini competitive tender process utilising existing framework contracts available to Essex County Council, including the Eastern Highways Alliance or the Highways Agency Framework. These framework contracts are suitable for schemes up to and including £10 million.

- c) A procurement strategy will not need to form part of the bid documentation submitted to DfT. Instead, the Department will require the bid to include a joint letter from the local authority's Section 151 Officer and Head of Procurement confirming that a strategy is in place that is legally compliant and is likely to achieve the best value for money outcome.

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

Please refer to **Appendix 11** for the letter

**It is the promoting authority's responsibility to decide whether or not their scheme proposal is lawful; and the extent of any new legal powers that need to be sought. Scheme promoters should ensure that any project complies with the Public Contracts Regulations as well as European Union State Aid rules, and should be prepared to provide the Department with confirmation of this, if required.*

B8. Management Case - Delivery

Deliverability is one of the essential criteria for this Fund and as such any bid should set out any necessary statutory procedures that are needed before it can be constructed.

- a) A detailed project plan (typically in Gantt chart form) with milestones should be included, covering the period from submission of the bid to scheme completion. The definition of the

key milestones should be clear and explained. The critical path should be identifiable and any key dependencies (internal or external) should be explained. Resource requirements, task durations, contingency and float should be detailed and easily identifiable. Dependencies and interfaces should be clearly outlined and plans for management detailed.

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

Please refer to **Appendix 12** for the Project Plan

b) If delivery of the project is dependent on land acquisition, please include a letter from the respective land owner(s) to demonstrate that arrangements are in place in order to secure the land to enable the authority to meet its construction milestones.

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

c) Please provide summary details of your construction milestones (at least one but no more than 5 or 6) between start and completion of works:

	Estimated Start Date
Funding Agreed	Mar 2013
Consultation, detail design and contract preparation	May 2013
Utility Diversions	Aug 2013
Tender Process	Oct 2013
Appointment of Contractor	Feb 2014
Mobilisation	Feb 2014
Construction	Mar 2014
Scheme Completion	Oct 2014

d) Please list any major transport schemes costing over £5m in the last 5 years which the authority has delivered, including details of whether these were completed to time and budget (and if not, whether there were any mitigating circumstances)

Please see **Appendix 13** for details regarding the past delivery for Essex County Council.

B9. Management Case – Statutory Powers and Consents

a) Please list separately each power / consents etc obtained, details of date acquired, challenge period (if applicable) and date of expiry of powers and conditions attached to them. Any key dates should be referenced in your project plan.

Not Applicable as the scheme is within the Highway Boundary so therefore no statutory powers are required to construct the scheme

b) Please list separately any outstanding statutory powers / consents etc, including the timetable for obtaining them.

The scheme will need to be tendered so a small competitive tender process will need to be completed prior to construction commencing

B10. Management Case – Governance

Please name who is responsible for delivering the scheme, the roles (Project Manager, SRO etc.) and responsibilities of those involved, and how key decisions are/will be made. An organogram may be useful here. Details around the organisation of the project including Board accountabilities, contract management arrangements, tolerances, and decision making authorities should be clearly documented and fully agreed.

Essex County Council and its Contractors use the Office of Government and Commerce PRINCE 2 frameworks and as such will hold formal Project Boards on a regular basis. The responsibilities and accountabilities of the members of the Project Board are in accordance with current PRINCE 2 methodologies. The structure chart shown in **Appendix 14a** is the basis for monthly progress meetings of the project management team to fully update the project executive via the Project Manager, Senior Supplier and Project Assurance. Further details on the procurement strategy and internal governance procedures can be found in **Appendix 14b**. The Project Board and progress meetings take place on a monthly basis to update project milestones and any other items by exception. The Project Board reports to the Senior Responsible Owner and (as necessary) Essex County Council Corporate Management throughout the project.

The Project Sponsor and Project Manager (once appointed) will communicate with the Project Board at scheduled meetings or on an ad-hoc basis when raising a project issue, warning of an instance where Stage tolerance could be exceeded (presenting an Exception Report), producing a Highlight Report to flag up a particular incident or issue with strategic implications, or when indicating that a Stage is about to be completed through the submission of an End Stage Report.

From commencement of construction the Project Sponsor will also be responsible for allocating duties to the Project Manager (once appointed). The contractor's Project Manager will be responsible for the day to day responsibilities under the build contract and to provide the lead in costs, delivery and stakeholder issues.

B11. Management Case - Risk Management

All schemes will be expected to undertake a thorough Quantified Risk Assessment (QRA) and a detailed risk register should be included in the bid. The QRA should be proportionate to the nature and complexity of the scheme. A Risk Management Strategy should be developed and should outline on how risks will be managed.

Please ensure that in the risk / QRA cost that you have not included any risks associated with ongoing operational costs and have used the P50 value.

Has a QRA been appended to your bid?

Yes No

Please refer to **Appendix 15** for the QRA

Has a Risk Management Strategy been appended to your bid?

Yes No

Please refer to **Appendix 16** for the Risk Management Strategy

B12. Management Case - Stakeholder Management

The bid should demonstrate that the key stakeholders and their interests have been identified and considered as appropriate. These could include other local authorities, the Highways Agency, statutory consultees, landowners, transport operators, local residents, utilities companies etc. This is particularly important in respect of any bids related to structures that may require support of Network Rail and, possibly, train operating company(ies).

- a) Please provide a summary of your strategy for managing stakeholders, with details of the key stakeholders together with a brief analysis of their influences and interests.

The strategy for engagement is in 3 stages:

Stage 1 Development Phase

Early initial engagement with local decision makers, statutory undertakers and transport operators to ensure that the scheme has key stakeholders in this scheme, which can be split into 4 major groups (described below).

Local decision makers: Basildon Borough Council, South East LEP, Thames Gateway Partnership

Interests: to promote sustainable growth within Basildon and the wider Thames Gateway Area. To facilitate economic growth and regenerate Basildon Town Centre to ensure that there is appropriate infrastructure to support the growth

Statutory Undertakers: Utility companies who own plant and/or equipment in the vicinity of the scheme

Interests: to ensure plant and/equipment is sufficiently protected and/or diverted away from the scheme

Transport operators: Bus Operators, taxi operators, train operators and Network Rail.

Interests: To ensure that this strategic link for services is protected and enhanced and they can maximise the use of their mode of transport by increasing the attractiveness of the route. Network rail will want to be reassured that their assets and infrastructure are protected.

Business: Business representatives and key businesses on the corridor including Basildon and Thurrock University Hospital and future developers in the Town Centre and along the corridor.

Interests: Reducing the congestion on this strategic link into Basildon. Ensuring that their businesses can be accessed throughout the construction period and in the case of Basildon and Thurrock University Hospital that patients can get to the hospital and that emergency services are not compromised. Future developers will want to ensure that the route increases the attractiveness of their developments to future residents and businesses who may want locate in the area.

Public: Local residents; local schools, travelling public including pedestrians, cyclists, bus passengers and car drivers.

Interests: The public will want to ensure that their access to the town centre and hospital by all modes of transport is not compromised by the capacity improvements to the road. Residents will want to ensure that their quality of life is not compromised by the capacity enhancements and new developments proposed in the area.

Stage 2 Pre-Construction Phase

This stage would involve feeding back to stakeholders the final scheme, and we will commence early engagement with transport operators businesses and emergency services to ensure continuity during construction. In addition engagement on traffic management plans would begin as appropriate.

Stage 3 Construction Stage and Post Construction Stage

This would involve ongoing engagement with businesses, emergency services and transport operators to continue to ensure continuity of service. Provision of information for the travelling public using the internet (Essex County Council's website), press, radio and the Essex County Council Highways Helpline to report problems and get information. During this stage the Essex Traffic Control Centre will be utilised to inform the public and actively manage the traffic in the area via the use of variable message signing (VMS) and traffic signal control as appropriate. Finally during construction promotion of alternative forms of transport is a key part of the communications to ensure disruption is kept to a minimum.

Once the scheme has been completed promotion of the scheme and travel choices should begin along the corridor to ensure the usage of the scheme is maximised.

- b) Can the scheme be considered as controversial in any way? Yes No
If yes, please provide a brief summary (in no more than 100 words)

The scheme itself is unlikely to cause controversy; there may be opposition to some of the local development proposed in the development. In addition there may be some concerns from local residents with regard to noise of construction; this will be actively managed through the Environmental Health teams at Basildon Borough Council particularly if night working is required.

- c) Have there been any external campaigns either supporting or opposing the scheme?
 Yes No
If yes, please provide a brief summary (in no more than 100 words)

There have been some local campaigns set up to oppose the development of the HCA's Dry Street site and designate it instead as open space and Green Belt. There has been strong local opposition to its development, reflected by representations made to the Core Strategy Preferred Option Consultation in Feb-April 2012 in respect of Primary Area for Development and Change 10 (PADC10) which included the Dry Street site. In addition, the Council received a 2,302 signature petition against any development in the location.

- d) For large schemes please also provide a Stakeholder Analysis and append this to your application.

Has a Stakeholder Analysis been appended? Yes No N/A

e) For large schemes please provide a Communications Plan with details of the level of engagement required (depending on their interests and influence), and a description of how and by what means they will be engaged with.

Has a Communications Plan been appended? Yes No N/A

B13. Management Case - Assurance

We will require Section 151 Officer confirmation (Section D) that adequate assurance systems are in place.

Please refer to **Appendix 11**

For large schemes please provide evidence of an integrated assurance and approval plan. This should include details around planned health checks or gateway reviews.

SECTION C – Monitoring, Evaluation and Benefits Realisation

C1. Benefits Realisation

Please provide details on the profile and baseline benefits and their ownership. This should be proportionate to the size of the proposed scheme.

Specific measures and reporting are specified in the Benefits Realisation Plan detailed below. The County Council would be the owner of these measures, which would also be managed according to the Prince 2 Project Management governance. The Project Team will use established best practices for this type of scheme, utilising experience gained from previous schemes successfully completed.

Economy

1. Improve the economic efficiency and reliability of the local road network by reducing congestion on the A176.

Measurement would be achieved through collection of pre-scheme peak period traffic flows, journey times and queue lengths. The baseline figures would then be compared to post-scheme opening. Benefit Evaluation surveys would be produced after 3 months and then 1 year after the scheme has opened. This method would incorporate surveys on both the existing & new network.

2. Improve public transport reliability to hospital and town centre.

Measurement obtained through collection of pre-scheme PSV traffic flows and journey time reliability (16hrs). The baseline figures would subsequently be compared to the post-scheme opening. Benefit Evaluation surveys would be produced after 3 months and then 1 year after the scheme has opened.

3. Improve freight movements connecting from Industrial sites at Pipp's Hill to A13.

Measurement obtained through collection of pre-scheme HGV traffic flows, over a 16hr period. baseline figures compared to post opening. The baseline figures would subsequently be

compared to the post-scheme opening. Benefit Evaluation surveys would be produced after 3 months and then 1 year after the scheme has opened.

Integration

1. *Integrate land-use, regeneration & transport policy by providing transport infrastructure as part of the strategy for regeneration and growth.*

Measurement obtained through the undertaking of before and after infrastructure comparisons. This would include liaison with Basildon Council throughout the scheme design process in order to incorporate any plans and views as far as possible.

Safety

1. *Traffic flows will be more controlled due to the removal of a key 'pinch point' leading to safety benefits.*

Measurement obtained through collection of pre-scheme accident baseline figures compared to post-scheme opening. After-scheme data would be collected after 3 months and then 1 year after the scheme has opened. The figures from the Essex County Council accident database will be supplied by Essex Police. In addition this will be supported by results from the Road Safety Audits (1st carried out at Outline Design, 2nd carried out at Detailed Design and 3rd carried out post construction).

Environment

1. *Maximise opportunities to make positive contributions to the environment.*

Progress will be monitored regularly against the programme until completion of the scheme, employing a 'Best Practice' and Environmental Management System. The Project Team will use established best practices for this type of scheme.

2. *As this scheme is contained within the existing highway boundary, the majority of proposed layout is within the existing highway or Council owned land, environmental disruption will be minimal.*

Progress will be monitored regularly against the programme until completion of the scheme.

3. *Minimise project programme slippages and delays through the early identification of environmental / topographical issues.*

This will be achieved through undertaking early environmental and topographical checks to avoid later issues. Progress will be monitored regularly against the programme until completion of the scheme.

Please refer to **Appendix 17** for more details on the Benefit Realisation

C2. Monitoring and Evaluation

Evaluation is an essential part of scheme development and should be considered and built into the planning of a scheme from the earliest stages. Evaluating the outcomes and impacts of schemes is important to show if a scheme has been successful.

Please set out how you plan to measure and report on the benefits identified in Section C1, alongside any other outcomes and impacts of the scheme

A benefits realisation study would be programmed to assess the long term impact of the scheme one-year after the opening of the scheme. As part of this process, a study would be

prepared to account for the “before” and “one month after” opening scenarios. This would include environment surveys and traffic data collection to enable robust reporting on the traffic benefits associated with the scheme, enabling a full appraisal of the traffic, safety, environmental and economic impacts of the scheme.

The appraisal process will be carried out using a NATA template as guidance for analysing the impacts of the infrastructure improvements on changes to local accessibility, safety, the environment, and the economy.

A fuller evaluation for large schemes may also be required depending on their size and type.

SECTION D: Declarations

D1. Senior Responsible Owner Declaration

As Senior Responsible Owner for A176 Nether Mayne, Basildon I hereby submit this request for approval to DfT on behalf of Essex County Council and confirm that I have the necessary authority to do so.

I confirm that Essex County Council will have all the necessary statutory powers in place to ensure the planned timescales in the application can be realised.

Name: *Chris Stevenson*

Signed:



Position: *Head of Strategy & Engagement*

D2. Section 151 Officer Declaration

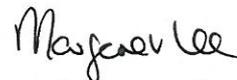
As Section 151 Officer for Essex County Council I declare that the scheme cost estimates quoted in this bid are accurate to the best of my knowledge and that [*name of authority*]

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

Name:

MARGARET LEE

Signed:



Submission of bids:

For both small bids and large bids the deadline is 5pm, **21 February 2013**

One hard copy and a CD version of each bid and supporting material should be submitted to:

Steve Berry
Local Transport Funding, Growth & Delivery Division
Department for Transport
Great Minster House
33 Horseferry Road
London
SW1P 4DR

An electronic copy should also be submitted to steve.berry@dft.gsi.gov.uk