Becoming a Band 3 Authority Self Assessment Workshop

Wednesday 26th October Kegworth
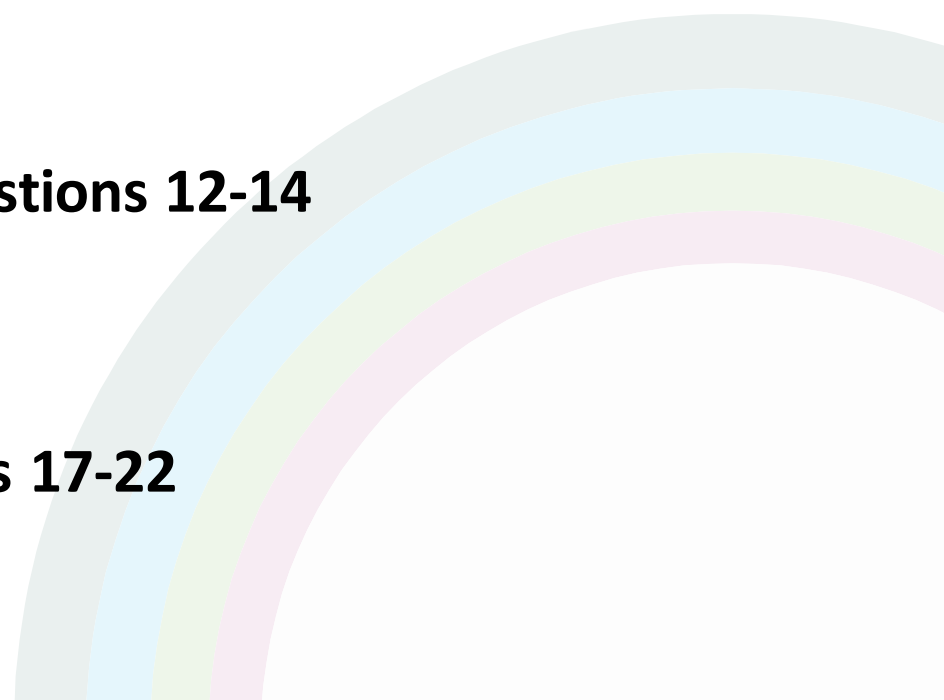
Matthew Lugg OBE
Director of Public Services for Mouchel Consulting
HMEP Advocate

Today's Programme

0900	Welcome & coffee
0930	Latest update of Self-Assessment
0945	Asset Management questions 1-6
1115	Morning break
1130	Asset Management questions 7-8
	Resilience questions 9-11
1300	Lunch break
1330	Customer interaction questions 12-14
	Efficiency 15-16
1445	Afternoon break
1500	Service Delivery questions 17-22
1615	Close

Self Assessment Workshop

Session 1
Questions 1-6

Domestics

- **Fire exits**
- **Toilets**
- **Mobiles**
- **Breaks**
- **Questions**
- **Chatham House Rules**

Latest update

- **Andrew Jones –Transport Minister scheduled to make on a speech at the ICE AM conference 28th October**

- **Number of announcements including the timescale for returns of the Self Assessment questionnaire –early December**

- **Not likely to be any changes to the questionnaire**

- **Message for CA's-**
  - *'we still expect these authorities to ensure they are following good practice and applying sound asset management principles'*

- **DfT are minded to carrying out some inspections this time round**

Current Bands

Authority	Current Band	Authority	Current Band
Cheshire & Chester	1	Nottinghamshire	2
Derby City	2	Oxfordshire	2
Derbyshire	2	Rutland	1
Leicester City	2	Sandwell	3*
Leicestershire	2	Staffordshire	2
Lincolnshire	3	Stoke	1
Milton Keynes	2	Telford & Wrekin	1
Nottingham City	1	* Combined Authority	

Reminder of the how the scoring works

Baseline scores for each Band

- Band 1 – does not reach Level 2 or Level 3 in at least 15 of the 22 questions.

- Band 2 – must reach Level 2 or Level 3 in at least 15 of the 22 questions.

- Band 3 – must reach Level 3 in at least 18 of the 22 questions.

The following 3 questions are at the corner stones of the asset management assessment:
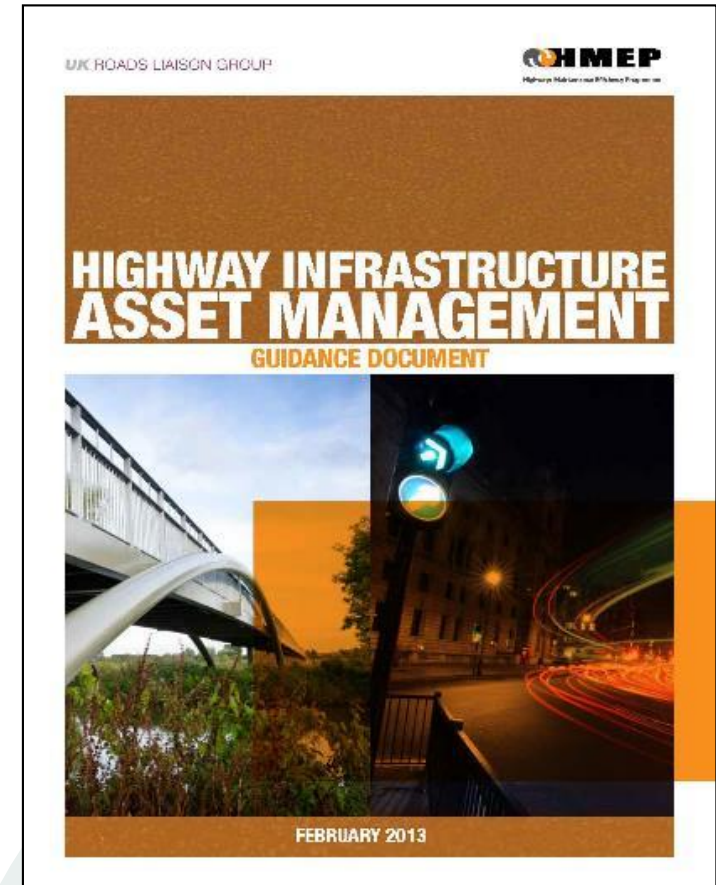
- 1 Asset Management Policy and Strategy

- 2 Communications

- 5 Lifecycle Planning

Good scores on these 3 questions are essential for authorities aiming for Bands 2 or 3.

Hence, if an authority scores as Level 1 in any or all of questions 1, 2 and 5, they will automatically be placed in Band 1 overall, regardless of their other scores

Session 1 The Asset Management Questions

Self Assessment Question	UKRLG/HMEP AM Guidance Recommendation
1.Policy & Strategy *	3
2. Communications *	2
3. Performance management	4 &13
4. Asset Data Management	#
5. Life cycle planning*	6
6.Leadership & Commitment	8
7. Competencies and Training	10
8. Risk Management	11
* Questions that must be at a Level 2	to achieved Band 2

UK ROADS LIAISON GROUP

HMEP
Highways Maintenance Efficiency Programme

HIGHWAY INFRASTRUCTURE ASSET MANAGEMENT
GUIDANCE DOCUMENT

FEBRUARY 2013

1. Does your local authority have an asset management policy and strategy for its highway infrastructure?

Level	Specific description	Evidence
1	No asset management policy and strategy is in place but there is an awareness that it should be developed. or A commitment to producing an asset management policy and strategy has been given, but it has not been approved.	None
2	An asset management policy and strategy has been developed, clearly documenting the links with corporate vision and other policy documents providing the "line of sight" for the asset management strategy. It has been endorsed by the Executive and published on the authority's website. This document must have been published or reviewed in the past 24 months.	Evidence that the asset management policy and strategy has been completed, signed off by the Executive and published.
3	In addition: Outcomes from investment in the asset are clearly identified in the strategy. Demonstration that the strategy has been used to develop the level of service for setting and measuring performance, and the outcomes from the strategy can be demonstrated. All staff and stakeholders can demonstrate knowledge and alignment to this policy and strategy. Regular asset management briefings with the senior decision-makers, and relevant staff.	Evidence that the implementation of the asset management strategy and its objectives have been monitored through appropriate measures and that outcomes have been achieved. Evidence that the asset management policy is visible and accessible to all staff. Senior decision-makers and all relevant staff have been briefed on the asset management policy and strategy.

Does your local authority have an asset management policy and strategy for its highway infrastructure?

The objectives of an asset management policy and strategy are set out below:

- Demonstrate the commitment to adopting the principles of highway infrastructure asset management by senior decision-makers.
- Document the principles, concepts and approach adopted in delivering highway infrastructure asset management.
- Link with the local authority's policies and strategic objectives and demonstrate the contribution of the highway service in meeting these.
- Set out the desired levels of service from implementing asset management.
- Facilitate communication with stakeholders of the approach adopted to managing highway infrastructure assets.

The asset management strategy should set out the objectives that the authority aspires to achieve from the management of its assets. It should clearly link to the corporate vision and demonstrate how the highway maintenance service will support that vision over the medium to long term. It should also set out the major assets the authority has and how it intends to manage them over the medium to long term. Ideally the objectives in the strategy should be described as outcomes.

An authority which does not have an asset management policy and strategy or which does not have it signed off by its Executive will be considered to be in Level 1. As a consequence, it cannot demonstrate it has agreed with the Executive the medium to long term strategy for implementing the outcomes it aspires to achieve, with its capital investment.

Where an authority has it signed off by its Executive it can demonstrate it has agreement (Level 2).

It is only after the strategy has been implemented for some time that an authority will be able to demonstrate, through performance measurement amongst other aspects, that it is achieving these outcomes or putting improvement plans in place in order to achieve these outcomes. Such authorities are likely to achieve Level 3 on the basis that they can demonstrate that they have a strategy aligned to corporate policy that has been in place for a sufficient time to make a difference.

Resource: [HMEP / UKRLG Highways Infrastructure Asset Management Guidance](#)

Asset Management Policy

- **Aims to demonstrate to the public and all stakeholders, including senior decision makers , elected members, practitioners and service providers, how it supports the authority's corporate policies.**

- **Describes the authority's commitment to highway infrastructure asset management**

- **Should be endorsed by senior decision makers, including elected members ,and be visible to all staff involved in related activities**

Highway asset management policy

Directorate: Development and Environment

1. Executive summary

A good transport network is essential for a successful economy and society. It provides access to jobs, services and schools, gets goods to the shops and allows us to make the most of our free time. In North Somerset the gross replacement cost of the transport assets has been estimated to be over £1.1billion.

We have one of the lowest highway spends in the country, yet surveys show our carriageway condition is good compared to other authorities. This position has been achieved by revising our approach to highways maintenance to maximise value:

- Moving from reactive to proactive work
- Continuing to move away from "worst first" towards a "whole life" approach

The asset management whole life approach we already use has the same effect as an additional £1m annual investment compared to using the worst first approach.

Our changing approach has been validated by the May 2011 Audit Commission report *"Going the Distance"*, the Highways Management Efficiency Programme report in April 2012 *"Prevention and a Better Cure"* and the May 2013 Highways Management Efficiency Programme document *"Highway Infrastructure Asset Management Guidance"*.

At North Somerset Council *"improving transport infrastructure"* is one of our 24 key priorities. This is set out in a vision which promotes an environment which strives to look for new ways of working and continuous improvement.

The Highways and Transport service have identified our overall purpose as "To facilitate the safe and expedient movement of people and goods". In a wide ranging service asset management is at the core of four of our 19 priorities.

To support this priority we undertake to proactively manage our highway assets in a safe, efficient and sustainable way. We will deliver a service which treats all road users in a consistent, fair and transparent manner in accordance with published strategies and plans. **Our key objective is to *arrest the deterioration of the network* whilst implementing an asset management approach.**

This in turn is supported by our Joint Local Transport Plan where one of four supporting indicators is: "Maintenance – roads... where maintenance should be considered".

North Somerset COUNCIL

Asset Management Policy

The AM policy should be :

- **A broad statement of intent that provides direction to other policies and practices related to AM**

- **Consistent with, and not contradict, the authority's vision, strategic objectives/plans and other relevant policies**

- **Realistic and achievable – it can be undermined if it is too far reaching and overly optimistic**

- **Communicated and made available to the public and all staff**

Joint Transport Asset Management Plan

December 2011

Bath & North East Somerset, Bristol, North Somerset and South Gloucestershire Councils working together to improve your local public transport

The AM Strategy

- **Sets out how highway infrastructure AM is delivered for the authority to meet its long term corporate goals and objectives**

- **Should describe how the implementation of the AM policy is achieved, along with an explanation on how the principles of AM are to be adopted to achieve the authority's long term goal and objectives**
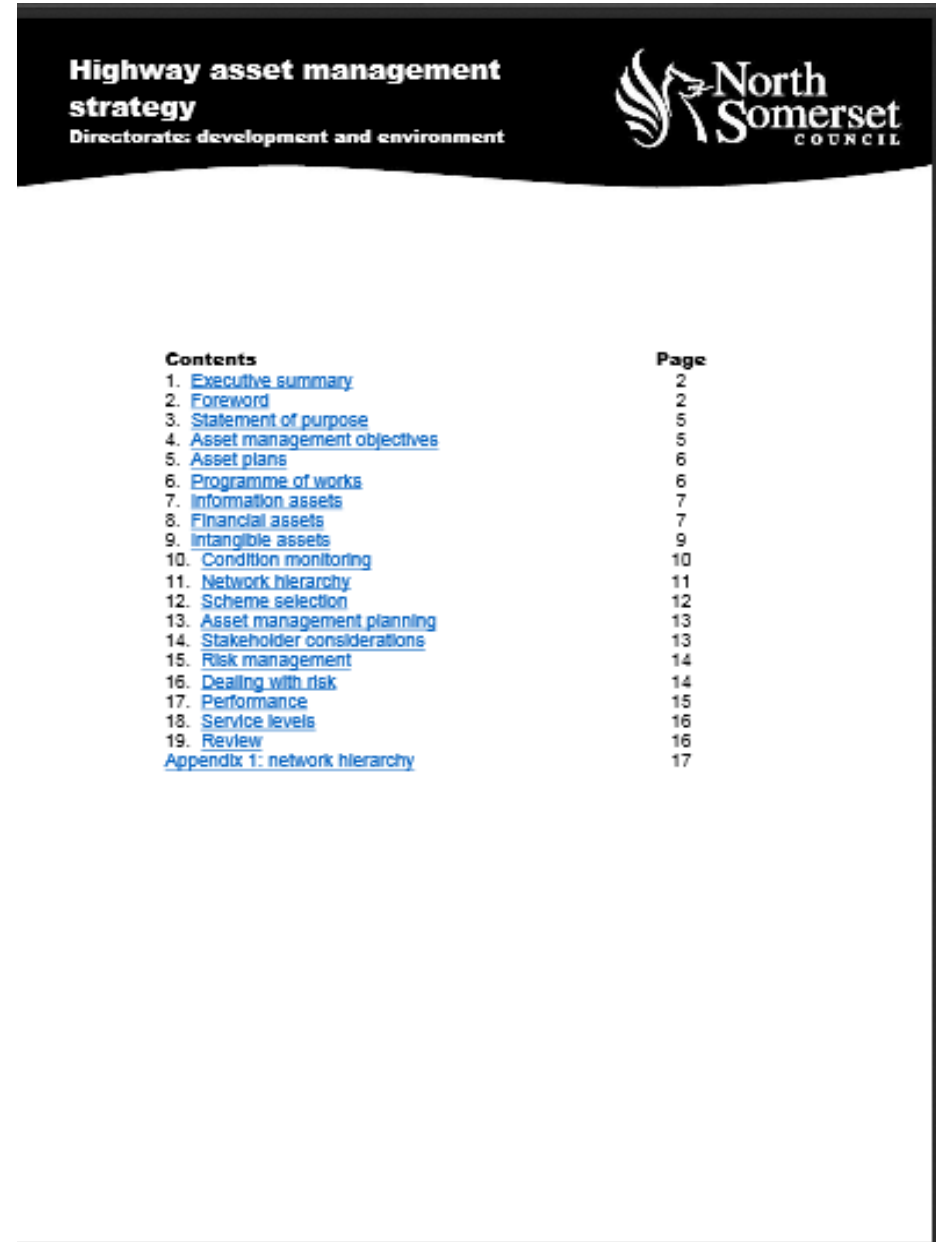
Strategic Highway Infrastructure Asset Management Plan

Enabling Bath & North East Somerset to become an even better place to live, work and visit

The Strategy for Managing Highway Assets in Bath & North East Somerset

The AM Strategy

- **Sets out the long term objectives for managing highway infrastructure assets are met including :statutory obligations, stakeholder needs and overall performance of highway infrastructure**

- **Sets clear direction for implementation of AM**

- **Provides a link with other with other relevant documents (corporate objectives, business planning ,risk management and transport objectives)**

- **Provides the basis for the authority to adopt AM principles**

- **Sets out the benefits of investing in highway infrastructure compared to funding other infrastructure services**

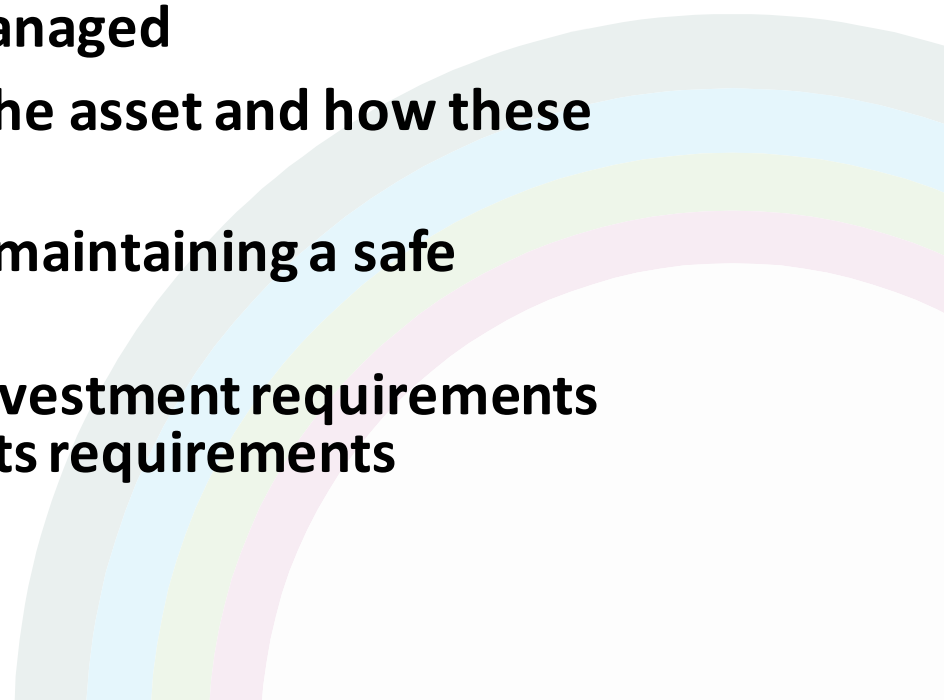- **Sets out how AM activities are implemented, measured and continuously improved**

Highway asset management strategy
Directorate: development and environment

North Somerset COUNCIL

The AM Strategy

Typical aspects of an AM strategy should include:

- Relevant strategy plans and transport objectives

- The high level outcomes required

- Performance management ,including levels of service

- Stakeholder needs and how these are managed

- Future demands in the management of the asset and how these contribute to meeting stake

- Meeting statutory obligations, including maintaining a safe network

- Long term financial needs including its investment requirements and meet Whole of Government Accounts requirements

The AM Strategy

Typical aspects of an AM strategy should include:

- Implementation of the AM Framework and how it is delivered
- The process for making investment decisions and the priorities for funding
- Identification of any critical assets and management of risk associated with those, as well all other assets.
- The benefits and consequences to the local community through AM and investment
- Findings from any Management Reviews and the approach to continuous improvement ,capturing lessons learnt and how practices will be improved
- Initiatives undertaken to improve any AM activities

2. Has your local authority communicated its approach to highway infrastructure asset management?

Level	Specific description	Evidence
1	No approach to communication has been developed. or The need for communication with key stakeholders is understood, however no relevant action has been undertaken. There is an intent to improve the organisation's ability to communicate asset management activities that affect stakeholders.	None
2	All key stakeholders have been identified. Progress has been made in communicating with them around the benefits of and the reasons behind decisions that affect them. This should be supported by a procedure for communicating and, where appropriate, consulting on relevant issues on a regular basis that is transparent and understood.	A list of all key stakeholders. Demonstration that a process is in place to support communication with them, together with records of communication. Evidence of consultation, where appropriate, regarding the decision making process. This should include publishing relevant information on the authority's website or making it accessible to stakeholders. It could also include periodic surveys of asset condition and demonstration of how that feedback is being used.
3	In addition: Communication strategy is in place, its implementation is monitored and "lessons learnt" are incorporated. Stakeholder consultation information is used to develop levels of service. There is a transparent process for decision-making available to the public.	A communication strategy that is signed off by senior decision-makers and evidence that it is reviewed regularly and "lessons learnt" incorporated. Levels of service have been developed using stakeholder information. All relevant documentation is on the authority's website or is accessible to the stakeholders, there is opportunity for the public to comment and these comments are considered.

Has your local authority communicated its approach to highway infrastructure asset management?

The objective for this question is to ensure that key stakeholders identified in the asset management strategy have been consulted regarding the authority's approach to asset management and that their requirements have been managed appropriately.

Authorities that have no formal documented approach to consultation are likely to be Level 1. This would also include those circumstances where authorities are undertaking ad-hoc surveys.

Where authorities have identified key stakeholders, these have been documented and there is a communication process in place, then they are likely to be Level 2. It is important that they can also demonstrate that they are managing decision-making using this process.

An authority that is Level 3 will have a communication process in place and be able to demonstrate its approach to asset management to the public through its website.

Resource: [HMEP / UKRLG Highways Infrastructure Asset Management Guidance](#)

A Communication Strategy

HMEP — Highways Maintenance Efficiency Programme

mouchel building great relationships

Shropshire Council

Advanced Warning Major Roadworks ahead. Please use alternative routes

Communications strategy for Highway Asset Management

September 2015

Contents

A Communication Strategy

With our communications we will:

- Give accurate and consistent messages tor residents and stakeholders

- Provide up-to-date information about highways matters – diversion routes, how works are progressing, etc.

- Encourage people to use sustainable transport

- Improve our customer experience

- Demonstrate value for taxpayers

- Improve our relationships with key partners – the police, the road safety partnership, Kier, etc.

How we can achieve this:

- Promote all achievements and success stories

- Manage the expectations of local residents

- Protect and improve the reputation of highways and LCC

- Respond to press enquiries quickly and accurately to give our side of the story

- Make it easy for people to find out about our projects online (www.lincolnshire.gov.uk/roadworks) and engage with them on social media (@LincsCC_Roads and LCC's Facebook account)

A Communication Strategy

How we can achieve this:

- Improve residents' understanding of what we do

- Raise awareness of major projects and promote their long-term benefits

- Promote online reporting methods

- Communicate with people in plain English and avoid jargon

Our communications, including letters to the public, should be:

- Concise – use short sentences and short paragraphs

- Polite – sounding 'human and helpful' is part of good customer service

- Precise – make sure you are clear and accurate in what you are saying

- Easy to understand and jargon-free. If you are not sure, try what you've written on someone who doesn't work for Highways. If they're not clear, re-think your wording

- Honest – if you are not 100% confident you can achieve something, for instance if it is weather dependent, tell the recipient this

- Grammatically correct with good punctuation and spelling

Durham communications key priorities

- Stakeholders identified

- Council Member backed investment

- Works Programme consultation process

- Making the case for Asset Management
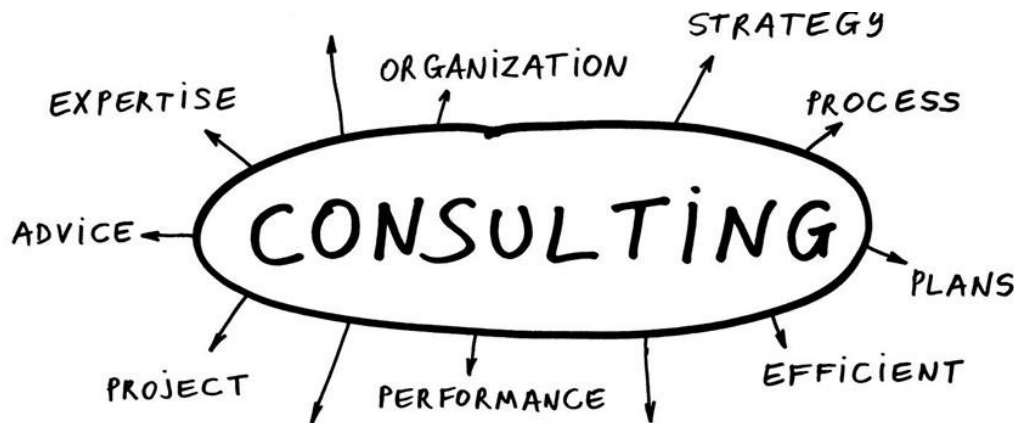
3. Does your local authority have a performance management framework and maintenance regime that supports its highway infrastructure asset management strategy and continuous improvement?

Level	Specific description	Evidence
1	No reference to performance measures and monitoring linked to asset management. or Historical measures are being used as the only point of measuring and monitoring asset management performance. These are not being used to support asset management decisions or continuous improvement.	None
2	A set of performance measures and a monitoring regime have been developed to support the implementation of the asset management strategy, the works programmes and other aspects that will support continuous improvement. This includes measures of stakeholder satisfaction, safety, serviceability and sustainability of the network. These are measured and reported on a regular basis and the approach is clearly documented, together with relevant action plans.	A suite of performance measures that demonstrates support for the objectives are set out in the asset management strategy. It can be demonstrated that these are monitored on a regular basis and they are used to inform business decisions and action plans to support continuous improvement.
3	A complete performance management framework is in place. Performance targets are in place and link to investment levels. Stakeholders including road users, other groups and senior decision-makers have been liaised with in the development of customer focused measures and levels of service. Performance targets are aligned to financial requirements over the next 3 years and the funding required has been identified. Regular reviews by senior management are undertaken and improvement actions developed as a consequence. These have been aligned with senior decision-makers and the service delivery.	A performance management framework with levels of service, performance measures and targets, which supports the implementation of the strategy, forward programme and continuous improvement. Results from performance monitoring with action plans to improve performance if needed, including changing strategy as a consequence. Evidence of a regular review with senior decision-makers a minimum of every quarter. Investment level required to achieve the targets and acceptance by the Executive over at least the next 3 years.

Does your local authority have a performance management framework and maintenance regime that supports its highway infrastructure asset management strategy and continuous improvement?

The objectives of setting out the performance management framework are to:
- Provide a systematic approach to measure progress in the implementation of asset management.
- Set levels of service and performance targets to enable auditing and monitoring of the delivery of the asset management strategy.
- Demonstrate how funding is being used effectively to meet the levels of service and performance targets.
- Provide the link between corporate vision, asset management strategy, levels of service and maintenance operations.
- Facilitate effective communications with stakeholders by demonstrating performance against their requirements.
- Demonstrate any shortfalls in funding.

The performance management framework is important because it supports the implementation of the asset management strategy and can be used to measure its performance and continuous improvement in general. It should also be used to demonstrate that investment is being used in an efficient and effective way that will deliver value for money.

An authority that is Level 1 will not have a performance management framework in place. It may undertake performance monitoring but this cannot be demonstrably linked to its asset management strategy.

A Level 2 authority will have a performance management framework in place that supports its asset management strategy and will have a systematic approach to measuring performance to support the implementation of its strategy and continuous improvement in general.

A Level 3 authority will have a fully functional performance management framework together with levels of service and performance targets. These will be reviewed at regular intervals with senior decision-makers.

Resource: HMEP / UKRLG Highways Infrastructure Asset Management Guidance

Setting and Measuring Performance

The objective of setting and measuring performance (Performance Management Framework) include:

- **Provide a systematic approach to measure progress in the implementation of AM**

- **Set levels of service and performance targets to enable auditing and monitoring of the delivery of the AM strategy**

- **Demonstrate how funding is being used effectively to meet the levels of service and performance targets**

- **Provide the link between corporate vision ,AM strategy, levels of service and maintenance operations.**

- **Facilitate effective communications with stake holders by demonstrating performance against their requirements**

- **Demonstrate any shortfalls in funding**

Performance Measures

Performance measures are used to :

- **Monitor whether authorities are meeting the Level of Service**

- **Report on actual performance**

Performance measures may be used at the following levels:

- **Strategic**

- **Tactical**

- **Operational**
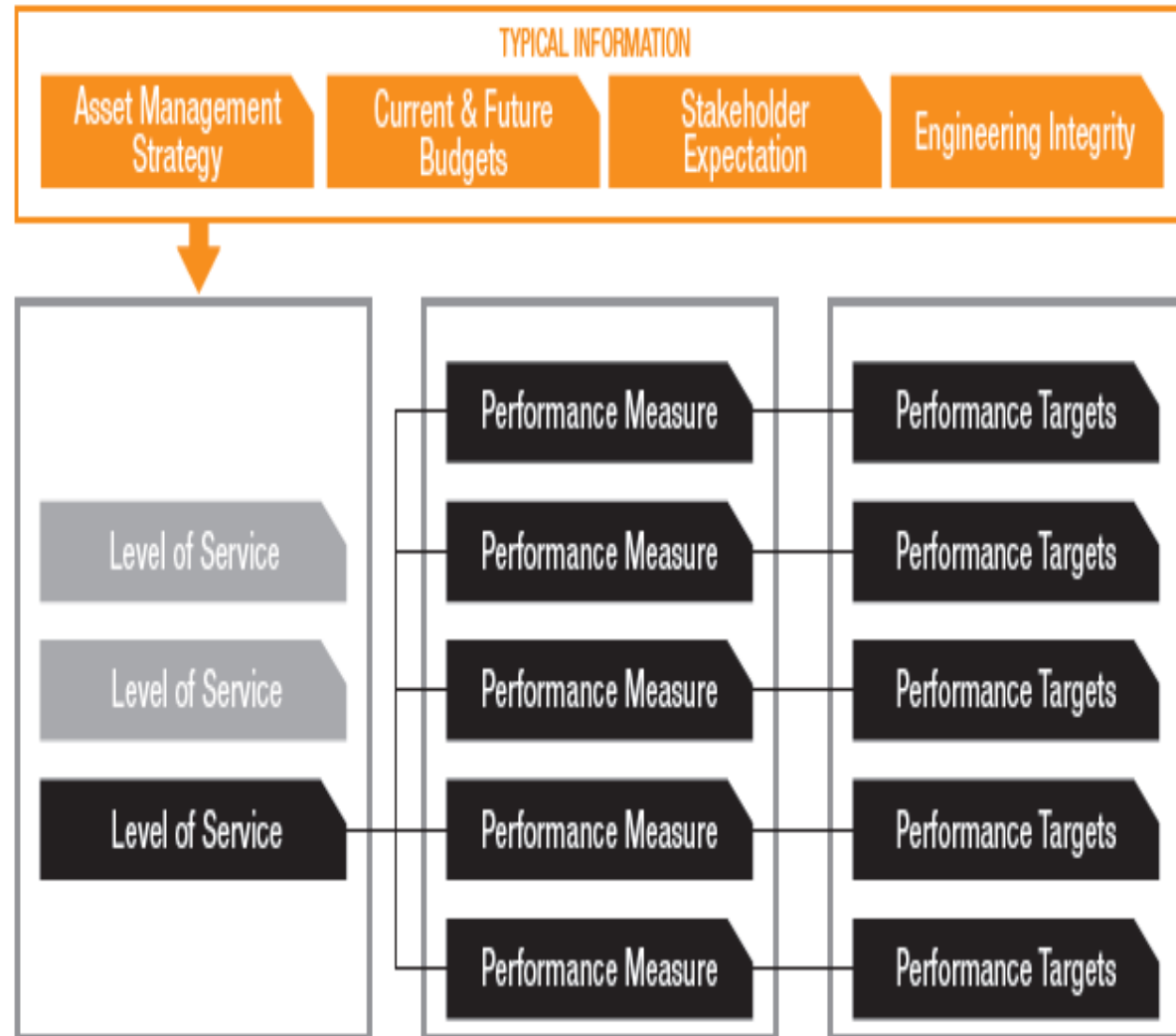
Performance Targets

Describe performance that needs to be achieved they should be:

- **Set by staff responsible for AM**
- **Agreed with decision makers**
- **Affordable**

In developing performance targets consideration should be given to:

- **Past and current performance of the service**
- **What is achievable**
- **What it will cost in the short , medium and long term to achieve the target**
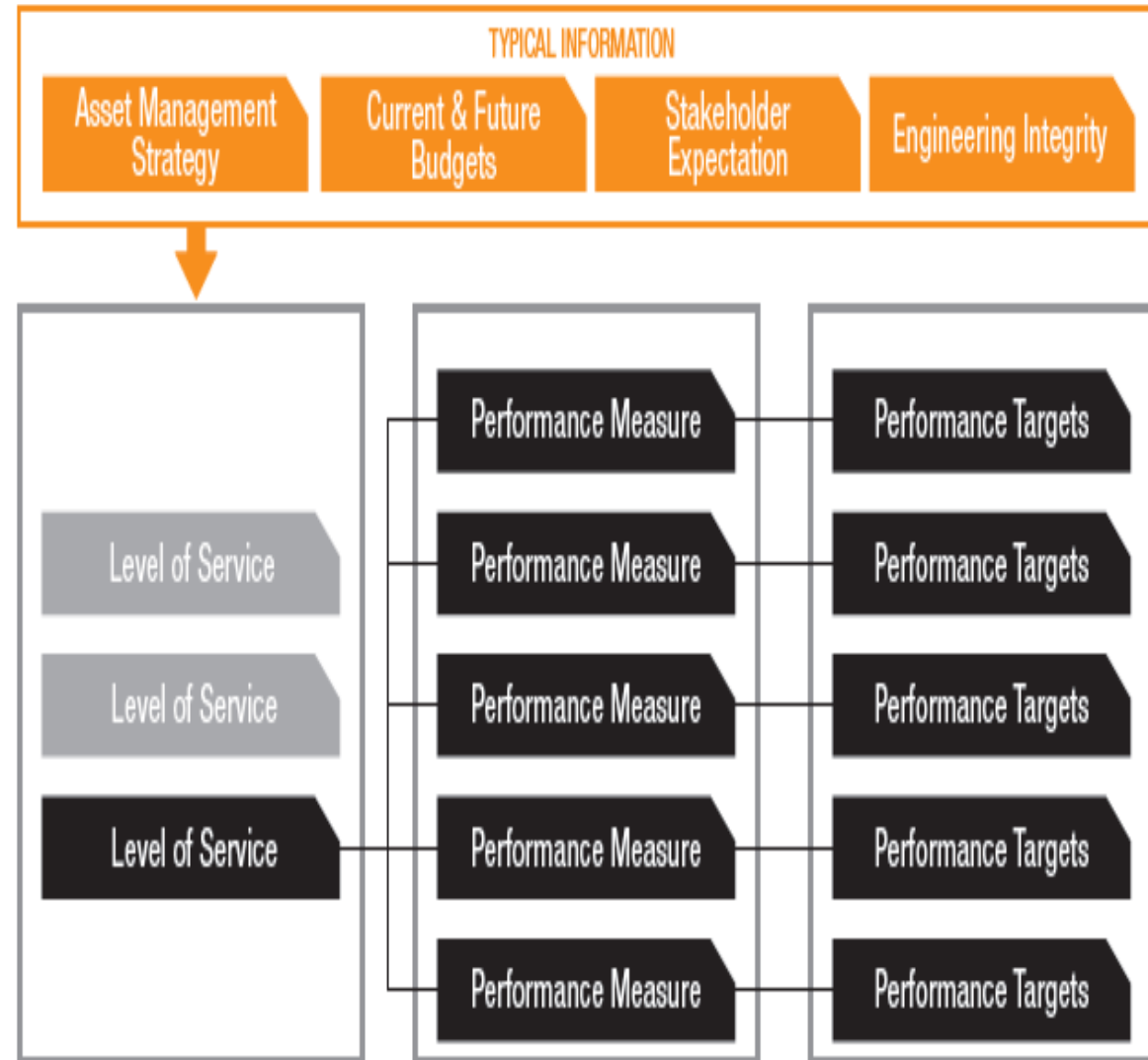
The Performance Management Framework

The LoS , performance measures and targets form the Performance Management Framework.

Local Authorities should:

- Communicate the LoS to all stakeholders

- Regularly review the Performance Management Framework

- Monitor the performance of the asset against performance targets to determine the effectiveness of the approach to AM , and to form the basis of developing an Improvement Plan

TYPICAL INFORMATION

| Asset Management Strategy | Current & Future Budgets | Stakeholder Expectation | Engineering Integrity |

Level of Service — Performance Measure — Performance Targets

Level of Service — Performance Measure — Performance Targets

Level of Service — Performance Measure — Performance Targets

Performance Measure — Performance Targets

Performance Measure — Performance Targets

Durham TAMP Performance Measures

Primary Objectives	Secondary Objectives	Performance Measure
Safety	Complying with statutory obligations	Public liability claims repudiation rate
	Meeting user's needs for safety	Completion of Highway Safety Inspections
		Response to Category 1 and 2 safety defects versus target
Serviceability	Ensuring availability	Unplanned streetworks
	Achieving integrity	Condition surveys
	Maintaining reliability	NHT Public Satisfaction Survey
	Enhancing condition	Programmed maintenance
Sustainability	Minimising whole life costs	Lifecycle plans
	Maximising value to the community	Not quantifiable
	Minimising environmental impact	Maintaining accreditation and compliance with ISO 14001 Environmental Management

Techniques to review performance
Dashboard

HMEP — Highways Maintenance Efficiency Programme

mouchel — building great relationships

USING THE ROADS

Road Condition
% of road reaching acceptable standards — Data frequency: Fiscal Annual

Principal roads - latest by Division	County	North	East	South	West
	97%	97%	96%	99%	98%
Trend over time					

Non-principal roads - latest by Division	County	North	East	South	West
	87%	90%	88%	90%	86%
Trend over time					

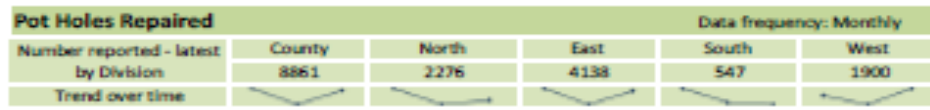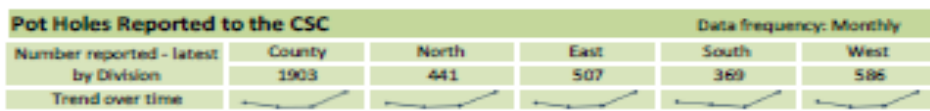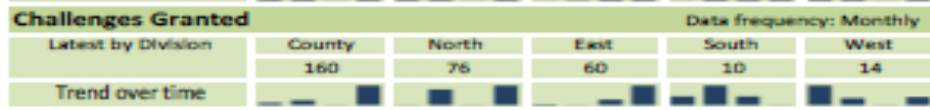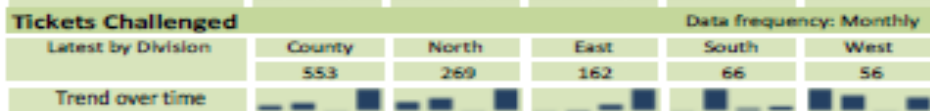| Unclassified roads - latest by Division	County	North	East	South	West
	71%	74%	68%	68%	72%
Trend over time					

Satisfaction with Highway Condition — Data frequency: Fiscal Annual

Satisfaction with Highway Condition	2010/11	2011/12	2012/13	2013/14
	53.9%	54.4%	53.5%	53.0%
Trend over time				

Revenue Outturn

	2011/12			2012/13		
Costs	Km	£'000s	£/km	Km	£'000s	£/km
Principal Roads	1,108	2,353	2,124	1,108	2,926	2,641
Non-Principal Roads	7,773	23,319	3,000	7,793	16,494	2,116
TOTAL	8,880	25,672	2,891	8,902	19,420	2,182

On Street Parking Enforcement

Tickets Issued — Data frequency: Monthly

Latest by Division	County	North	East	South	West
	2814	1185	881	456	292
Trend over time					

Tickets Challenged — Data frequency: Monthly

Latest by Division	County	North	East	South	West
	553	269	162	66	56
Trend over time					

Challenges Granted — Data frequency: Monthly

Latest by Division	County	North	East	South	West
	160	76	60	10	14
Trend over time					

Pot Holes Reported to the CSC — Data frequency: Monthly

Number reported - latest by Division	County	North	East	South	West
	1903	441	507	369	586
Trend over time					

Pot Holes Repaired — Data frequency: Monthly

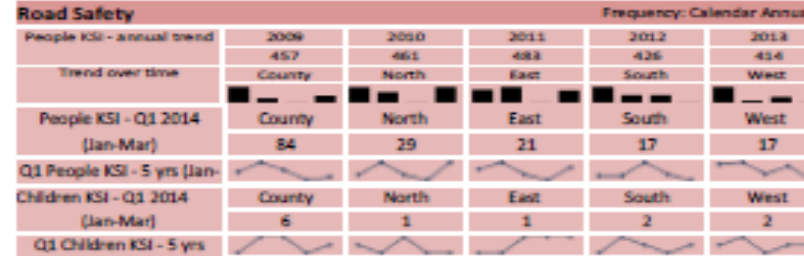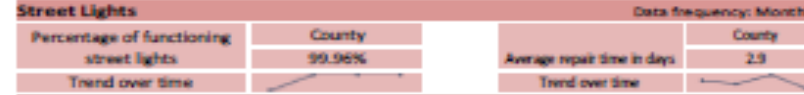| Number reported - latest by Division	County	North	East	South	West
	8861	2276	4138	547	1900
Trend over time					

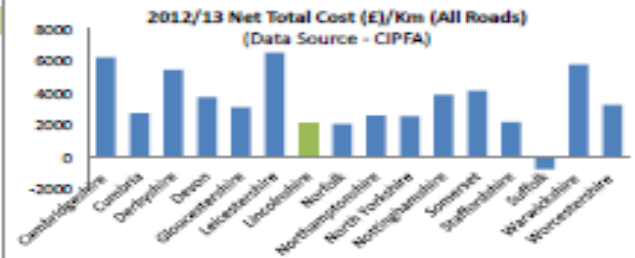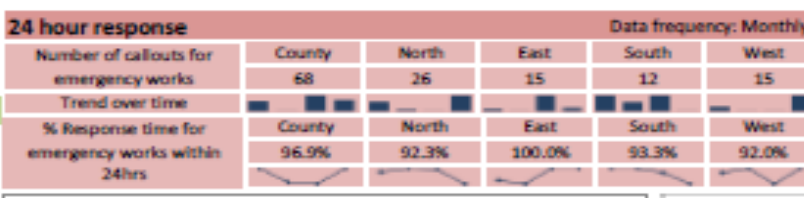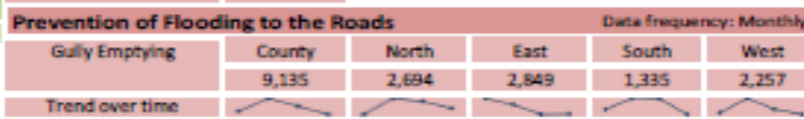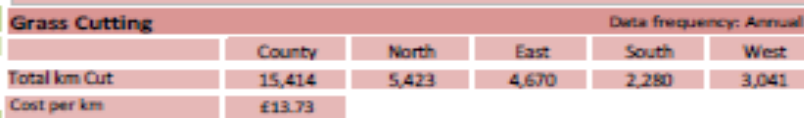#### Claims for compensation to people and vehicles as a result of poor road conditions

Calendar Year	Claims Received	Number Successful Claims	% Successful Claims	Cost of successful claims	Average cost per successful claim
2011	779	358	46.0%	£115,581	£322.85
2012	800	495	61.9%	£123,610	£249.72
2013	1,295	725	56.0%	£123,965	£170.99

SAFETY

Street Lighting Cost	2011/12	2012/13	2013/14	2014/15
Budget (£'000)	3,996	4,318	4,765	4,650
Actual (£'000)	4,368	4,689	5,112	
Variance (£'000)	-372	-371	-347	

Street Lights — Data frequency: Monthly

Percentage of functioning street lights	County		Average repair time in days	County
	99.96%			2.9
Trend over time			Trend over time	

Road Safety — Frequency: Calendar Annual

People KSI - annual trend	2009	2010	2011	2012	2013
	457	461	483	426	414

Trend over time	County	North	East	South	West

People KSI - Q1 2014 (Jan-Mar)	County	North	East	South	West
	84	29	21	17	17
Q1 People KSI - 5 yrs (Jan-					

Children KSI - Q1 2014 (Jan-Mar)	County	North	East	South	West
	6	1	1	2	2
Q1 Children KSI - 5 yrs					

Comments: Due to reporting timescales, KSI (Killed or Seriously Injured) data may not be available for up to three months following the date of a collision. Therefore data is given for the previous quarter and all data given (especially for the latest month) is subject to change slightly following subsequent updates.

Grass Cutting — Data frequency: Annual
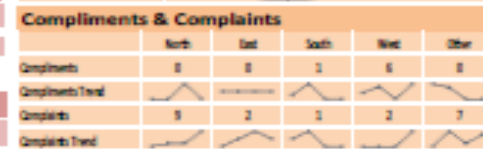
	County	North	East	South	West
Total km Cut	15,414	5,423	4,670	2,280	3,041
Cost per km	£13.73				

Prevention of Flooding to the Roads — Data frequency: Monthly

Gully Emptying	County	North	East	South	West
	9,135	2,694	2,849	1,335	2,257
Trend over time					

24 hour response — Data frequency: Monthly

Number of callouts for emergency works	County	North	East	South	West
	68	26	15	12	15
Trend over time					

% Response time for emergency works within 24hrs	County	North	East	South	West
	96.9%	92.3%	100.0%	93.3%	92.0%

CONTRACTOR PERFORMANCE

Contracts	Q1 2013	Q2 2013	Q3 2013	Q4 2013
Highways works	72.0%	74.0%	77.0%	82.0%
Professional Services	78.9%	78.9%	80.0%	80.3%
Traffic Signals	90.0%	80.0%	83.0%	95.0%
Client	85.0%	90.0%	90.0%	84.0%
Alliance	58.0%	84.0%	52.0%	72.0%
AVERAGE	77.0%	81.4%	79.6%	83.5%
Trend over time				

MEDIA COVERAGE

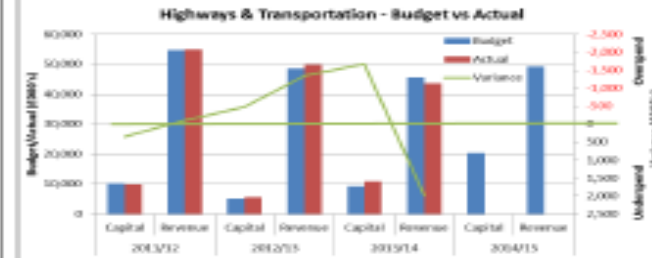|	Mar-14	Apr-14	May-14	Jun-14
Favourable	29	37	28	35
Neutral	36	46	62	58
Unfavourable	7	4	5	11

Comments: This month the eastern bypass decision resulted in some unfavourable coverage, as well as the Wragby road works. Positive coverage related to the East-West Link Road approval, and the extra government money announced for filling potholes.

CUSTOMERS

Highways Related Calls

Countywide Highway Related Calls	Mar	Apr	May	Jun
	3192	2405	3206	3915
Trend over time				

Compliments & Complaints

	North	East	South	West	Other
Compliments	8	6	1	8	8
Compliments Trend					
Complaints	8	2	9	2	7
Complaints Trend					

FINANCES

Highways & Transportation - Annual Outturn Position

		Budget £'000	Actual £'000	Variance £'000	% Variance
2014/15	Capital	20,271			
2014/15	Revenue	49,205			
2013/14	Capital	9,263	10,943	1,680	18.10%
2013/14	Revenue	45,630	43,650	-1,980	-4.30%
2012/13	Capital	5,089	5,565	476	9%
2012/13	Revenue	48,615	49,966	1,351	2.8%
2011/12	Capital	10,239	9,895	-344	-3%
2011/12	Revenue	54,771	54,880	109	0.2%

2012/13 Net Total Cost (£)/Km (All Roads) (Data Source - CIPFA)

Highways & Transportation - Budget vs Actual

Lincolnshire's approach to Strategic Performance Reporting

- **Joint Member/Officer Workshops to develop and agree strategy**

- **Asset Management Strategy Updates reported to Executive Member and Scrutiny committee**

- **Quarterly Performance Report to Highways Scrutiny Committee including network condition, Alliance Performance, customer including NHT.**

- **Monthly Members Dashboard & Briefings**

4. Does your local authority have an effective regime to manage its highway infrastructure asset data?

Level	Specific description	Evidence
1	There is no asset register. or Inventory data is held for major assets in an asset register, but is incomplete and not updated regularly.	None
2	Major assets have been identified and data is collected at specified frequencies. (This data is the minimum required to support asset valuation). Gaps in data are documented and action plans are in place to collect this data. An asset register is in place and accessible to all relevant asset management staff. There is evidence of regular documented audits of data coverage and quality.	Asset register for all prescribed major assets is available and demonstration that data is accessible to relevant staff. Demonstration that the data collection regime is being achieved together with an action plan to fill documented gaps in data, if appropriate, or evidence there are no gaps and the asset register is complete. Demonstration that the systems are available to support the management of this information.
3	In addition: An information strategy has been developed and implemented that supports the asset management strategy and the performance management framework. The strategy should be appropriate for the authority and proportionate to the funding allocated for asset management. The information required to support performance management is documented, auditable and used to inform decisions.	A funded information strategy for collection of information. Demonstration that it supports the performance management framework. Demonstration that the value and risks associated with each item of information have been assessed. Explanation of how this information is used to support investment decisions and manage risk can be clearly demonstrated.

Does your local authority have an effective regime to manage its highway infrastructure asset data?

Reliable and robust data is required to support the right investment decisions and to ensure that stakeholder requirements, value for money and efficiency can be delivered. The following should be considered as important in developing and implementing a data collection regime:

- Describe the asset and its performance.
- Provide the data required to support the approach to asset management.
- Provide the basis for informed decision-making.
- Facilitate communications with stakeholders.
- Inform the assessment and management of risk.
- Support the management of statutory requirements.
- Support continuous improvement.

Where authorities do not have an asset register or have one but with gaps in its data, and where there is not an action plan in place and evidence of this plan being implemented, it is likely to be Level 1.

A Level 2 authority will have an asset register in place, and where there are gaps in data this is documented and action plans are in place to collect this data. The asset register is accessible to all relevant staff and regular audits of data coverage and quality are undertaken.

To be considered a Level 3 authority, an information strategy has been developed that supports the asset management strategy and the performance management framework.

Resource: [HMEP / UKRLG Highways Infrastructure Asset Management Guidance](#)

An Asset Management Data Strategy

Should identify:-

- **Data requirements**

- **Collection of required data**

- **Processing of collected data**

- **Reporting of processed data**

Types of asset Data

Inventory

- Describes the full extent of an asset and can include location, type, size and construction .

Performance

- Condition information related to aspects of performance ,life cycle planning, identifying programme of work

- Public satisfaction, public enquires, third party claims, traffic flows, accident records ,maintenance, energy environmental impact

Financial

- Supports budgets, financial planning , determining value for money in delivering overall performance and prioritising activities. It includes unit rates foe AM activities and data to support WGA.

Identifying data requirements

An assessment of data required should consider

- **How the data supports the approach to AM**

- **Data quality ,age ,coverage and currency requirements**

- **Potential opportunities to share or re-use existing data to reduce duplication in data collection**

- **Historic data and its appropriateness for future use**

- **Removal of redundant or out of date data**
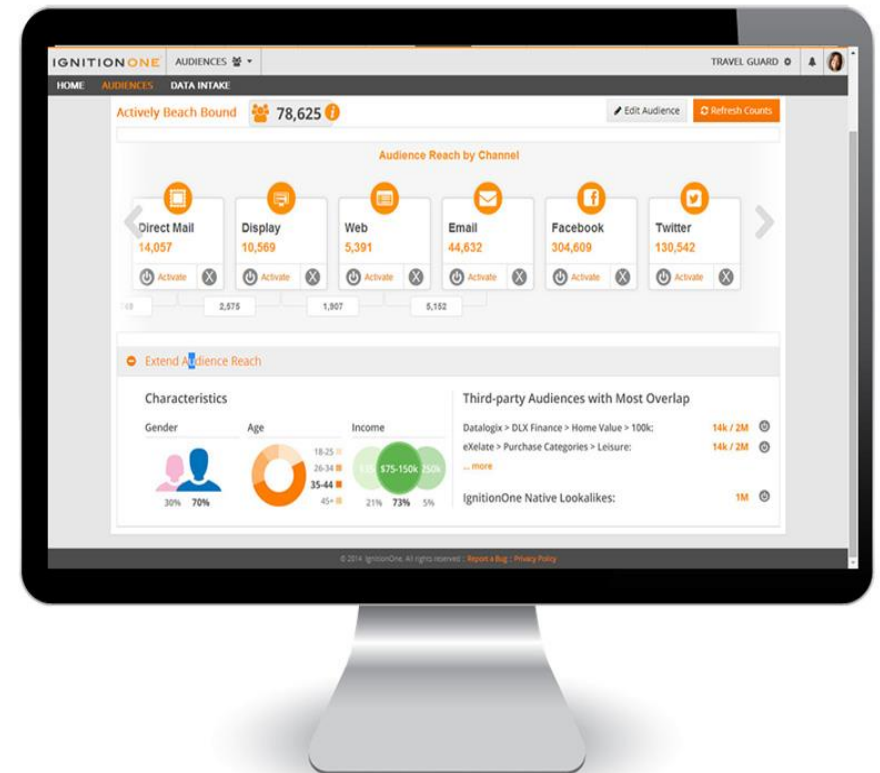
A data management strategy

A data management Strategy may comprise of:-

- Identify business need

- Identify data owner

- Accessibility and date stamping

- Data collection

- Frequency of collection and updating

- Data management

- Disposing of data

Data Management Plan

For each key asset it sets out:

- **Scope of the asset**
- **Function of the asset**
- **Governance**
- **Source**
- **Storage**
- **Currency**
- **Coverage**
- **Inventory rules**
- **Attributes**
- **Exclusions**
- **Improvement actions**

5. Is your local authority undertaking lifecycle planning as part of its highway infrastructure asset management?

Level	Specific description	Evidence
1	There is an awareness of the need for an investment plan for major assets that can be achieved through lifecycle planning. or An approach to lifecycle planning is commencing but has not yet been implemented and adopted to support investment planning.	None
2	An approach to lifecycle planning for carriageways has been adopted and investment is managed on this basis. Processes to apply appropriate analyses to determine the investment needed are in place, such as the HMEP Lifecycle Toolkit. Investment for future funding has been developed using scenarios in order to identify best return from investment. Lifecycle plans are used to support investment decisions, audited and checked.	Investment plans for carriageways based on lifecycle planning principles, with demonstration that a number of different options have been considered in their development in order to provide a value for money solution. There are evidence based documented assumptions on the performance of major assets.
3	In addition: The requirements of Level 2 for all major assets (not just carriageways). For carriageways: Performance targets link to the performance management framework. Lifecycle planning decisions are based on documented evidence of the performance of the asset. Deterioration profiles have been developed and are continuously improved. There is a fully optimised approach to lifecycle planning that can be demonstrated, together with the benefits of that optimal approach.	The requirements of Level 2 for all major assets (not just carriageways). For carriageways: Achieving the outcomes in the asset management strategy can be demonstrated through meeting the performance targets in the framework. Recording of historical performance of the asset and developing of decisions based on this data.

Is your local authority undertaking lifecycle planning as part of its highway infrastructure asset management?

The objectives of lifecycle plans for major assets are set out below:
- Identify long-term investment for highway infrastructure assets and develop an appropriate maintenance strategy.
- Predict future performance of highway infrastructure assets for different levels of investment and different maintenance strategies.
- Determine the level of investment required to achieve the required performance.
- Determine the performance that will be achieved for available funding and/or future investment.
- Support decision-making, the case for investing in maintenance activities, and demonstrate the impact of different funding scenarios.
- Minimise costs over the lifecycle, whilst maintaining the required performance.

The authority should have lifecycle plans to demonstrate what investment is required to achieve its performance targets and where this investment is not available, the likely shortfall. It is aimed specifically at major assets, which would generally include carriageways, footways and cycleways, structures, lighting and traffic signals. The authority will however have to define this in its asset management strategy. The HMEP Lifecycle Planning Toolkit is available to support highway authorities to undertake lifecycle planning for each of these assets. It is accepted that an authority may be more advanced in undertaking lifecycle planning in one asset type such as carriageways compared to other assets types such as signals or lighting. For example where an authority has undertaken lifecycle planning for carriageways but has only done so for its key routes, the reasons for such an approach would need to be defined in the asset management strategy.

Authorities that have not undertaken any lifecycle planning, particularly for carriageways, or who have started to implement lifecycle planning but not yet used it to set budgets would be considered to be Level 1.

An authority that has lifecycle plans for all its carriageways would be considered Level 2 as a minimum. The authority should also have documented its performance targets. The method of developing the lifecycle plans is the responsibility of the authority and therefore the approach is not important, albeit it must be recognised and auditable, but alternatives to the HMEP Lifecycle Toolkit are acceptable as are more simple approaches where assets require less capital funding for maintenance. The important aspect is to demonstrate that these have been used for budget setting.

Level 3 authorities will have adopted lifecycle planning principles for all major assets, and be able to demonstrate the above Level 2 requirements for each of these. For structures, the UKRLG Structures Toolkit is an acceptable approach to determining maintenance need.

In addition, to achieve Level 3, the following is required for carriageways. An authority should be able to demonstrate that, through adopting these principles, it has set performance targets and achieved them with the investment provided. Where it has not achieved these targets, it can demonstrate that it has reviewed its targets and these have been reset. In addition, it should be monitoring the performance of all its major assets and, through a heuristic approach, understanding the performance of its major assets and using this as the basis for lifecycle modelling.

Where an authority has a street lighting PFI project, street lighting is excluded from these requirements, as it is expected that appropriate arrangements are in place for this through the contract.

Resource: HMEP Lifecycle Planning Toolkit (Incorporating Default Carriageway Deterioration Models)

Resource: UKRLG Structures Toolkit

*Lifecycle Planning comprises the approach to the maintenance of an asset from creation and construction to disposal. It is the prediction of future performance of an asset, or a group of assets, based on investment scenarios and maintenance strategies. The lifecycle plan is the documented outputs from this process.*

Lifecycle Planning Toolkit and Deterioration Modelling

- **Lifecycle Planning Toolkit**
  - A robust tool, free for all to use
  - Network-level analysis
  - A good starting point – but also a benchmarking tool for those with existing sophisticated tools

- **Deterioration Model**
  - Carriageways are very challenging to model and account for the majority of maintenance budgets
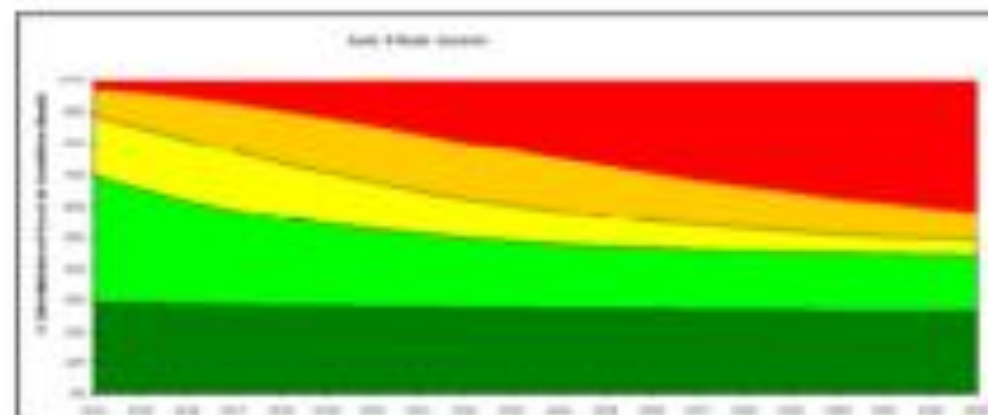 - No model or approach currently available
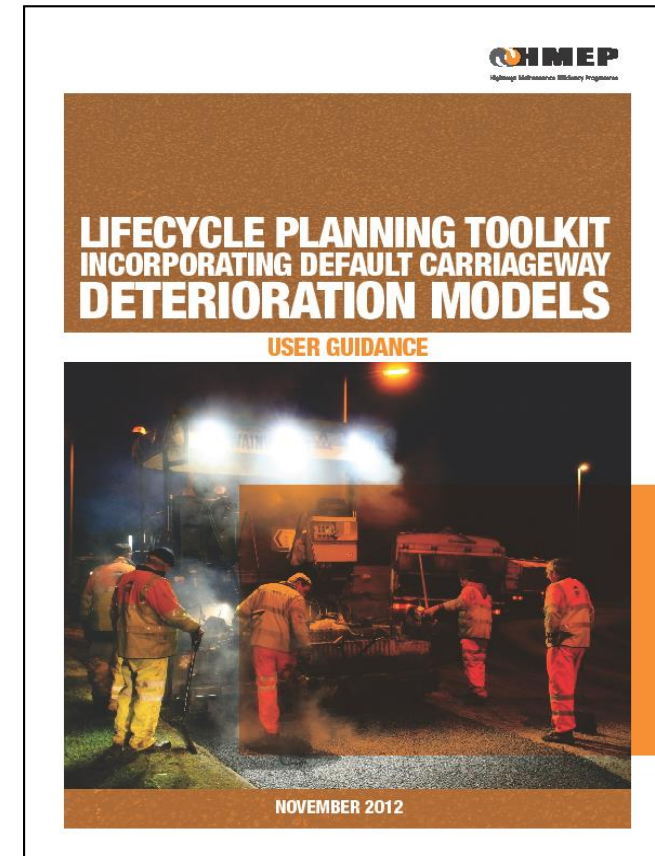
Lifecycle Planning
- some sample outputs
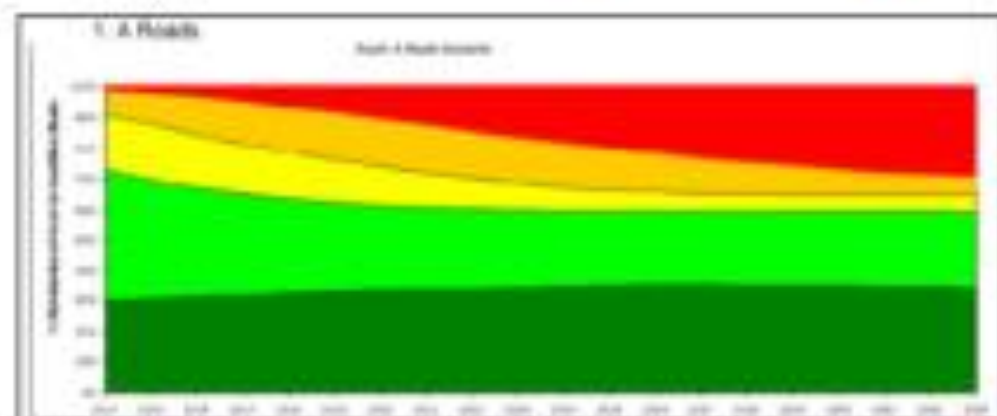
Key point: Asset group starts with 5.7% in "Poor" or "Very Poor" condition, and after 20 years **35.2%** "Poor" or "Very Poor".

Key point: Asset group starts with 8.7% in "Poor" or "Very Poor" condition, and after 20 years **50.8%** "Poor" or "Very Poor".

Lifecycle Planning - some sample outputs

Run 1

A "performance target" run maintaining current condition.

The performance target set was the "Poor + Very Poor" option:

Blocks	VP & P	=	12%
Black top	VP & P	=	34%
Concrete	VP & P	=	69%
Flags	VP & P	=	21%

Analysis period: 20 years

Analysis period, start year: 2014

1. Total Expenditure, that is all treatments for all asset groups:

Legend (top to bottom): Red=Renew flags, Purple=Replace 20% flags, Light blue=Reconstruct concrete, Pale yellow=Slurry seal, Yellow=Resurface black-top, Brown=Relay blocks
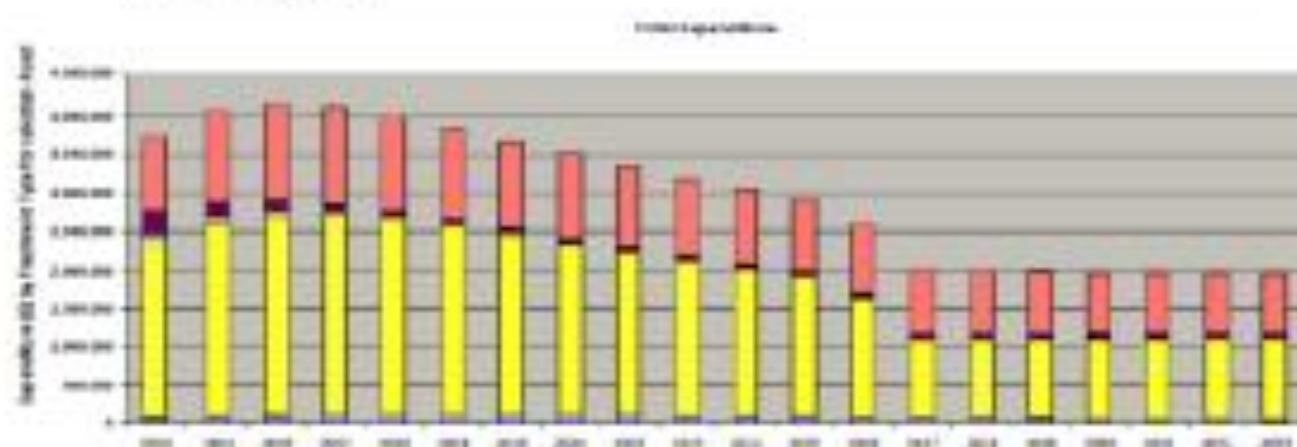

Key point: The total expenditure over the 20-year analysis period is £60.1million, i.e. an average of £3.0m per year.

Developing an Investment Strategy

The following issues should be considered:-

- Level of performance required for Steady State and what is the budget required

- Level of performance achieved with a fixed budget

- The budget requirements to deliver a set level of performance

- Cross asset considerations – prioritisation or 'trade-off' between asset types

- Timescale to be considered – minimum 10 years
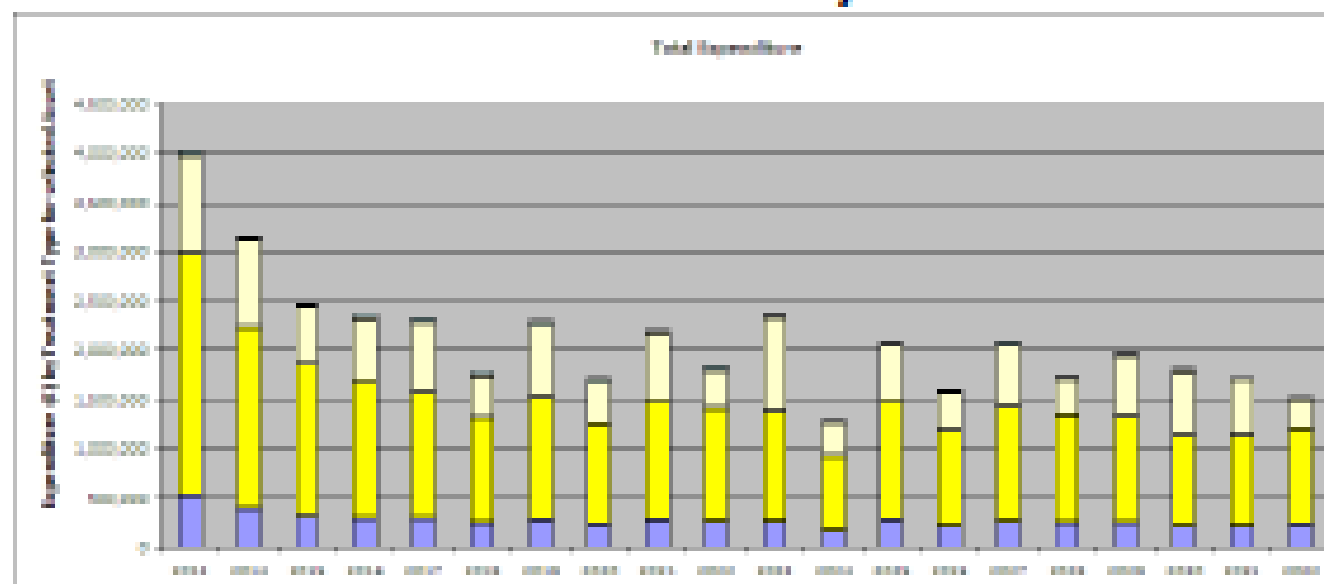
6. Is your authority able to demonstrate leadership and commitment from senior decision-makers in taking forward its highway infrastructure asset management approach?

Level	Specific description	Evidence
1	Senior decision-makers are not involved in the decisions to develop or implement asset management. or Senior decision-makers have stated they are aware of the need to provide leadership in order to implement asset management but no credible plan is in place.	None
2	The Executive has communicated its commitment to the implementation of asset management and endorsed the policy and strategy. They have provided resources, including finances, to deliver the programme of works. Senior decision-makers have identified and appointed the person responsible for leading asset management and developed a plan of action for the implementation of asset management.	Agreed policy, strategy and programme of works. Confirmation of the person leading asset management, including job description.
3	In addition: Senior decision-makers are involved in providing direction to asset management and are consulted on an appropriate basis through reviews. These reviews include all parties involved in the delivery of asset management, such as contractors, service providers and in-house teams.	Terms of Reference for regular meetings, minutes, action plans.

Is your authority able to demonstrate leadership and commitment from senior decision-makers in taking forward its highway infrastructure asset management approach?

Good leadership both political and managerial is essential for the implementation of asset management.
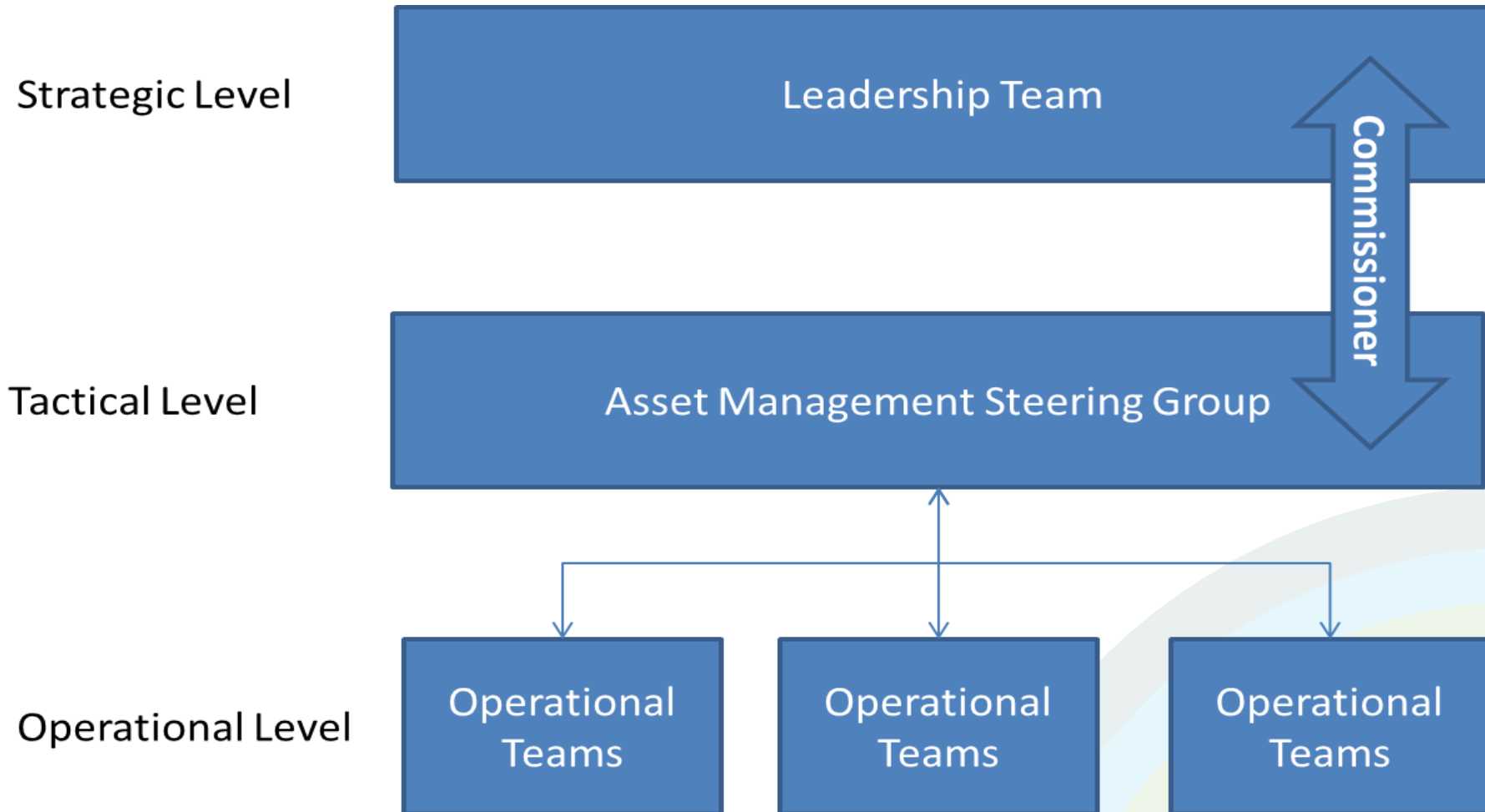
A Level 1 authority has not got the involvement at a political level in supporting the decisions to develop asset management, or there is a political awareness but there is no credible plan in place.

A Level 2 authority has the Executive endorsement of the asset management policy and strategy, and has received approval for the financial resources to deliver the programme of works. It is clear, both politically and managerially, who the identified people to provide the leadership for implementing asset management are.

A Level 3 authority has their senior decision-makers regularly involved in providing the direction to asset management, and there is consultation with them on an appropriate basis through reviews.

Resource: HMEP / UKRLG Highways Infrastructure Asset Management Guidance

Leadership Structure

Strategic Level — Leadership Team

Commissioner

Tactical Level — Asset Management Steering Group

Operational Level

Operational Teams

Operational Teams

Operational Teams

Leadership Approach

- **Regular leadership presentations – to staff with updates , issues and progress.**

- **There is a person appointed to lead asset management.**

- **AMSG developed strategy, endorsed by Leadership team, promoted by the Commissioner, agreed by the Council.**

- **Project plan, timeline, "soft Audit", accountability.**

- **Hard (i.e. JD`S of highways Managers) and soft change approach (cultural change programme in place).**

- **Portfolio Holder closely involved in the development of strategy.**

THANK YOU
ANY QUESTIONS