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**Date: 9th November 2016**

Dear Sir/Madam,

A meeting of the **Cabinet** will be held in the **Sirhowy Room, Penallta House, Tredomen, Ystrad Mynach** on **Wednesday, 16th November, 2016** at **2.00 pm** to consider the matters contained in the following agenda.

Yours faithfully,

A handwritten signature in blue ink that reads 'Chris Burns'.

**Chris Burns**  
INTERIM CHIEF EXECUTIVE

## A G E N D A

Pages

1 To receive apologies for absence.

2 Declarations of Interest.

Councillors and Officers are reminded of their personal responsibility to declare any personal and/or prejudicial interest(s) in respect of any item of business on the agenda in accordance with the Local Government Act 2000, the Council's Constitution and the Code of Conduct for both Councillors and Officers.

To approve and sign the following minutes: -

3 Cabinet held on 2nd November 2016.

1 - 4

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To receive and note the minutes of the following meeting(s):-

4 Future Generations Advisory Panel held on 27th July 2016. 5 - 8

To receive and consider the following reports on which executive decisions are required: -

5 Whole Authority Mid-Year Revenue Budget Monitoring Report 2016/17. 9 - 26

6 Land at Mill Street Car Park, Risca. 27 - 34

7 Highway Inspection Manual Endorsement. 35 - 90

To receive and consider the following report, which requires a recommendation to Council:-

8 Highway Asset Management Plan Endorsement. 91 - 112

**Circulation:**

Councillors D. Havard, Mrs C. Forehead, N. George, D.T. Hardacre, K. James, Mrs B. A. Jones, D.V. Poole, K.V. Reynolds, T.J. Williams and R. Woodyatt,

And Appropriate Officers.

# Agenda Item 3



## CABINET

### MINUTES OF THE MEETING HELD AT PENALLTA HOUSE, TREDOMEN ON WEDNESDAY, 2ND NOVEMBER 2016 AT 2.00 P.M.

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#### PRESENT:

Councillor K.V. Reynolds - Chair

#### Councillors:

N. George (Community and Leisure Services), D. Hardacre (Performance and Asset Management), K. James (Regeneration, Planning and Sustainable Development), Mrs B. Jones (Corporate Services), D.V. Poole (Deputy Leader and Cabinet Member for Housing), T.J. Williams (Highways, Transportation and Engineering), R. Woodyatt (Social Services).

#### Together with:

C. Burns (Interim Chief Executive) and C. HARRY (Corporate Director - Communities).

#### Also in Attendance:

Community Councillor Mrs Ann Gray, S. Harris (Interim Head of Corporate Finance), C. Jones (Head of Performance and Property) and C. Evans (Committee Services Officer)

#### 1. APOLOGIES FOR ABSENCE

Apologies for absence had been received from Councillors Mrs C. Forehead, D. Havard and N. Scammell (Acting Director of Corporate Services and Section 151 Officer), and D. Street (Corporate Director – Social Services).

#### 2. DECLARATIONS OF INTEREST

Councillor D. Poole declared an interest in the item relating to Former Nelson Boys and Girls Club. Details are minuted with the respective item.

#### 3. CABINET – 19TH OCTOBER 2016

RESOLVED that the minutes of the meeting held on 19th October 2016 (minute nos. 1 - 7) be approved and signed as a correct record.

## **MATTERS ON WHICH EXECUTIVE DECISIONS WERE REQUIRED**

### **4. ADDITIONAL CAR PARKING – PENALLTA HOUSE**

The report sought the approval of Cabinet to extend the current car parking facilities at Penallta House using Corporate Service reserves to fund the cost of the works.

Cabinet noted that the closure of Pontllanfraith House has seen an increase in parking requirements and has reached the point where on occasions demand exceeds availability. In addition, with the forthcoming sale of Dyffryn House, it is anticipated that the situation would worsen. The report recommended an extension to the existing car parking facilities within the curtilage of Penallta House by providing circa 85 additional car parking spaces.

Officers outlined that, whilst the additional parking provision would not resolve these pressures alone, coupled with the Council's move towards a more flexible approach to working practices as part of its office rationalisation programme, Members were assured that the current parking issues being faced will be overcome.

Following consideration and discussion, it was moved and seconded that the recommendation in the report be approved. By a show of hands this was unanimously agreed.

RESOLVED that for the reasons contained in the Officer's report, the proposal to increase car parking facilities at Penallta House and allocate funding from Corporate Service reserves be approved.

### **5. FORMER NELSON BOYS AND GIRLS CLUB**

Councillor D. V. Poole declared an interest (as his partner is a Member of the Nelson Development Trust) and left the meeting during consideration of this item.

The report afforded Cabinet with details of the actions taken in accordance with the terms of the lease, of the former Nelson Boys and Girls Club, to Nelson Development Trust (NDT).

At its meeting of the 2nd July 2014 Cabinet agreed to lease the former Nelson Boys & Girls Club to Nelson Development Trust for a minimum period of 25 years, subject to conditions. One of those conditions was that "the lease should include a time limit (18 months) after which, if adequate funding has not been secured, the lease will revert back to the council."

A further decision from the same meeting was that "All former recommendations (Cabinet Meeting 4th September 2012) be retained but the time limits previously being 24 months from the date of the issue of the Letter of Intent being extended to within 18 months of the signing of the lease.

Cabinet noted that the NDT had failed to provide evidence of securing funding and despite two requests for a progress update from the Head of Property Services there has been no communication from the NDT and the 18 month time limit elapsed on the 25th July 2016. Consequently the lease has been terminated.

Members thanked the Officer for the report and invited Community Councillor, Mrs Ann Gray to make representation on behalf of the Nelson Development Trust.

Cabinet were asked to note that following discussions in 2014, an extended lease was agreed for a period of 18 months, however, keys were not exchanged on the property until February 2015. Since this time, extensive work has been conducted by the NDT, questionnaires were sent to residents, business plans developed and a sub-committee was established in order to complete applications for Lottery Funding.

Mrs Gray outlined that correspondence had not been received requesting a progress report on the premises and as such, one had not been provided. Having outlined the response to the report, Mrs Gray urged Cabinet Members not to support the Officers recommendation.

Following consideration and discussion, it was moved and seconded that the recommendation in the report be approved. By a show of hands this was unanimously agreed.

RESOLVED that for the reasons contained in the Officer's report and in light of the termination of the lease to the Nelson Development Trust, the contents of the report be noted and the decision of the 4th September 2012, that the former Boys and Girls Club building be demolished and the site offered for development in accordance with the Council's LDP be approved.

## **6. FORMER RISCA COLLIERIES WORKMEN'S INSTITUTE**

The report sought the approval of Cabinet to dispose of the former Risca Collieries Workmen's' by way of a Community Asset Transfer (CAT).

Cabinet noted that the Council acquired the asset in June 1996, for community education purposes, with the ground floor being occupied by Oxford House Industrial History Society (OHIHS). In 2014, Community Education determined that the asset was surplus to its operational purposes; officers engaged with OHIHS, which remained in occupation, to explore the possibility of a Community Asset Transfer (CAT).

It became apparent that OHIHS was not in a position to sustain a CAT and officers engaged with Gwent Association of Voluntary Organisations (GAVO) to explore whether a viable CAT could be promoted. After consultations with the community, and Town Council, Newport & South Wales Railway Museum (NSWRM) emerged as a suitable prospect.

Following consideration and discussion, it was moved and seconded that the recommendations in the report be approved. By a show of hands this was unanimously agreed.

RESOLVED that for the reasons contained in the Officer's report: -

- (i) the former Risca Collieries Workmen's Institute be leased to Newport and South Wales Railway Museum, at a peppercorn, by way of a Community Asset Transfer;
- (ii) that Newport and South Wales Railway Museum is granted early entry, with immediate effect;
- (iii) the detailed terms of the lease be delegated to the Head of Property Services in conjunction with the Cabinet Member for Performance and Asset Management, for the purposes identified in the report.

## **7. WRITE-OFF OF DEBT OVER £20,000 – BRINDAVON CARE HOME LTD**

On the 15th September 2009, Cabinet approved a write-off procedure for debts that are material, where the individual debt is greater than £20,000. The report sought approval to write-off an outstanding debt exceeding £20,000 for Brindavon Care Home Ltd.

Members noted that the Council collects very large sums of money from residents and local businesses each year and inevitably there are instances of non-payment. A 'firm but fair' approach has always been adopted and all legal means are pursued to recover monies owed.

However, where the chances of recovery are slim and/or all legal means available have been exhausted the write-off of debts needs to be considered.

The regular writing-off of uncollectable debts is an important financial discipline. The Council would be criticised by External Audit if debts remained in the accounts when there is little likelihood of recovery.

Brindavon Care Home Ltd was a private care home of 32 residential rooms in Commercial Street, Aberbargoed. The home had been utilised by Caerphilly Social Services for the placement of residential care clients since its' opening in July 2009. However, on the 24th June 2014, the company was placed into liquidation and the outstanding debts owed to the Authority amount to £40,510.97 in respect of 7 service users that were awarded Continuing Healthcare status and these debts were not recoverable during the liquidation process.

Following consideration and discussion, it was moved and seconded that the recommendations in the report be approved. By a show of hands this was unanimously agreed.

RESOLVED that for the reasons contained in the Officer's report the write-off of the outstanding debt of £40,510.97 in respect of Brindavon Care Home Ltd be approved.

#### **EXEMPT ITEMS**

Members considered the public interest tests and concluded that on balance the public interest in maintaining the exemption outweighed the public interest in disclosing the information and it was: -

RESOLVED that in accordance with the Local Government Act 1972 the public be excluded from the remainder of the meeting because of the likely disclosure to them of exempt information as defined in paragraph 14 of Schedule 12A of the Local Government Act 1972.

#### **8. WRITE-OFF OF DEBTS OVER £20,000**

On 15th September 2009, Cabinet approved a write-off procedure for debts that are material, where the individual debt is greater than £20,000. The report sought the approval to write off two separate outstanding debts which each exceed £20,000.

Following consideration and discussion, it was moved and seconded that the recommendations contained in the report be approved. By a show of hands this was unanimously agreed.

RESOLVED that for the reasons contained in the Officers report, the recommendation contained in paragraphs 10.1 of the report be approved.

The meeting closed at 2.50pm

Approved and signed as a correct record subject to any corrections made at the meeting held on 16th November 2016.

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CHAIR



## FUTURE GENERATIONS ADVISORY PANEL

### MINUTES OF THE MEETING HELD AT PENALLTA HOUSE, TREDOMEN, ON THURSDAY, 27TH JULY 2016 AT 5.00 PM

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PRESENT:

Councillors:

M. Adams, A. Blackman, K. Dawson, C. Elsbury, C.P. Mann, L. Jones, J.A. Pritchard and S. Kent

Together with:

Kath Peters (Corporate Policy Manager), Paul Cooke (Senior Policy Officer) and Vicki Doyle (Policy Officer)

#### 1. APOLOGIES FOR ABSENCE

Apologies for absence were received for Councillors K. James and D. Havard.

#### 2. DECLARATIONS OF INTEREST

There were no declarations of interest made at the beginning or during the course of the meeting.

#### 3. MINUTES

The Chair and Vice Chair had both given apologies for the meeting. It was agreed that Paul Cooke would chair.

The minutes of the meeting of the 9<sup>th</sup> June 2016 were agreed as an accurate record.

#### 4. TERMS OF REFERENCE

Paul Cooke presented the revised ToR which included the amendments agreed at the previous meeting. These amendments included the reference to Future Generations and the Sustainable Development principle, and the request to include an item to support officers and Members to make sustainable decisions had also been accommodated. With these changes and the correction of a small number of typographical changes, the Panel approved the ToR.

Kath Peters noted that now the ToR has been approved by the Panel, minutes would in future be reported to Cabinet.

## 5. LOCAL WELLBEING ASSESSMENT ENGAGEMENT PROGRAMME

Kath Peters outlined the work that the Corporate Policy Unit is undertaking on the Well-being Assessment on behalf of the Public Services Board. A number of community engagement events are being held between now and September/October 2016, and this was the first workshop of this format, so feedback would be welcomed.

She noted that the first draft of the Well-being Assessment would need to be signed off by early December, in order for it to be published in March 2017.

The Well-being Assessment must include a wide range of data and statistical information, but in contrast with previous needs assessments we must also undertake extensive community engagement, which is seen as equally important. We are required to consider the well-being of the county borough as a whole, as well as smaller community areas. These areas will be the five areas that were previously used for community planning purposes – Upper Rhymney Valley, Mid Valleys East, Mid Valleys West, Lower Sirhowy Valley and Caerphilly Basin. It will also be important to look at local strengths and community assets, rather than just focusing on needs.

KP noted that we will also need to consider possible future trends – this will be a ‘crystal ball’ exercise, which will not be easy but something we have to do. We will also need to incorporate the 46 National Indicators developed by Data Unit Wales.

The Well-being Assessment document will be structured around the seven well-being goals and will consider issues facing the county borough as a whole, as well as the five community areas. There will also be chapters on authority wide issues, issues that go beyond the county borough boundary and predictions of likely future trends.

The legislation requires us to engage with a wide range of groups within our population including the vulnerable and disadvantaged, people with protected characteristics (e.g. age, disability, religion, sexual orientation etc.), children, looked after children and people needing care and support.

She noted that we have arranged five community engagement events, with one taking place in each of the community areas. Invitations have been sent out to a wide range of groups, organisations, clubs etc. The events will also be advertised by way of a poster in doctors surgeries, dentists, pharmacies, libraries, leisure centres, community centre etc.

It was agreed that a list of the organisations that had been invited would be circulated

Concern was expressed that the meetings would be held over the summer period when a lot of organisations do not meet and people are away on holiday. KP acknowledged this but explained that we have a very tight timescale to meet to get a first draft finalised by October. She detailed some of the other engagement events that have been or will be used including the Viewpoint Panel, Youth Forum, Armed Forces Day, Big Cheese, GAVO Play Day, Older People’s Forum etc. Workshop packs are also being produced to enable groups to undertake their own consultation sessions and feed the results in, and there will also be an on-line survey for residents to complete.

## 6. LOCAL WELLBEING ASSESSMENT WORKSHOP

A short workshop session took place which considered four key questions:

- What are the best things about the county borough and why?
- What are the worst things about the county borough and why?
- What do you want YOUR Caerphilly to look like in 2040?
- Which issues should the Public Services Board solve first and why?



The Panel identified the issues of employment, health and education as being of the highest priority, with infrastructure, transport, housing and renewable energy as additional considerations.

## **7. FORWARD WORK PROGRAMME**

Paul Cooke confirmed that a forward work programme was being developed for the Panel to consider. This would include regular updates at key points in the development of the Well-being Assessment and subsequent Well-being Plan. Other items would relate to the corporate requirements on the organisation as a result of the Well-Being of Future Generations Act.

Members asked how all the additional work associated with developing the Well-being Assessment and Plan is being funded. Kath Peters responded that officers from partner organisations are involved in some of the working groups e.g. the Data Officers Group, but the majority of the work is being undertaken by the Corporate Policy Unit.

The meeting closed at 6.30 pm.

Approved and signed as a correct record subject to any amendments being recorded in the minutes of the meeting held on 29<sup>th</sup> September 2016.

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CHAIRMAN

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## CABINET – 16TH NOVEMBER 2016

**SUBJECT: WHOLE AUTHORITY MID-YEAR REVENUE BUDGET MONITORING REPORT 2016/17**

**REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER**

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### 1. PURPOSE OF REPORT

- 1.1 To provide Cabinet with details of projected whole-authority revenue budget expenditure for the 2016/17 financial year.
- 1.2 To provide an update on progress in delivering approved savings for 2016/17.

### 2. SUMMARY

- 2.1 This report provides information on the position of the whole-authority in respect of revenue budget monitoring for 2016/17. Detailed budget monitoring reports are prepared for Scrutiny Committees throughout the financial year. Consideration has been given to the expenditure and income trends in the first half of the financial year and projections have been made of the likely year-end outturn position. Where variations from budget have been identified these are commented upon throughout the report.
- 2.2 The report also provides details on progress in delivering approved revenue budget savings for the 2016/17 financial year and highlights those areas where savings are not currently progressing as originally planned.

### 3. LINKS TO STRATEGY

- 3.1 The Council has a number of corporate strategies and this report deals with the use of resources in the achievement of those strategies.
- 3.2 Effective financial planning and financial control contribute to the following Well-being Goals within the Well-being of Future Generations Act (Wales) 2016: -
  - A prosperous Wales.
  - A resilient Wales.
  - A healthier Wales.
  - A more equal Wales.
  - A Wales of cohesive communities.
  - A Wales of vibrant culture and thriving Welsh Language.
  - A globally responsible Wales.

#### 4. THE REPORT

4.1 Cabinet will be aware of the ongoing challenging financial outlook for Local Government and the need to identify significant savings to support the Council's Medium-Term Financial Plan (MTFP). Officers have been mindful of this and consequently expenditure has been curtailed in a number of areas in recent years with the aim of identifying savings in advance to support the MTFP. This prudent approach has resulted in a trend of reported year-end underspends for all Directorates.

4.2 However, the position is now becoming more challenging with a number of cost pressures emerging across some service areas, in particular, Social Services and Waste Management. The table below makes a comparison between the original 2016/17 estimate, a revised estimate (where approved changes have been made in year) and the projected outturn. A more detailed summary by service area is provided in Appendix 1. The total projected revenue budget underspend for the Authority for 2016/17 is £2.802m. This does not include the Housing Revenue Account (HRA), details of which are provided separately in paragraphs 4.8.1 to 4.8.5.

	<b>Original Estimate 2016/17</b>	<b>Revised Estimate 2016/17</b>	<b>Projected Outturn 2016/17</b>	<b>Projected (Overspend) /Underspend</b>
	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>
Education & Lifelong Learning	124,790	124,790	124,831	(41)
Social Services	73,404	75,900	75,903	(3)
Environment	48,915	49,944	49,812	132
Corporate Services	22,087	21,862	21,054	808
Miscellaneous Finance	55,195	51,895	49,989	1,906
<b>Totals: -</b>	<b>324,391</b>	<b>324,391</b>	<b>321,589</b>	<b>2,802</b>

#### 4.3 Education & Lifelong Learning (Projected Overspend of £41k)

4.3.1 A net overspend of £41k is currently forecast for the Directorate as summarised in the table below: -

	<b>Projected (Overspend)/ Underspend £000's</b>
Home to School/College Transport	(34)
Management and Support Service Costs	87
Behaviour Support Training	(84)
Additional Support and Out-of-County Recoupment	(56)
Visually Impaired Service	61
Education Other Than At Schools (EOTAS)	(280)
Music Service	(79)
Education Achievement Contract	91
Regional Grant Match Funding	61
Libraries	32
Other	160
<b>Total: -</b>	<b>(41)</b>

4.3.2 The Home to School/College Transport budget is managed by the Engineering Division in the Environment Directorate (with any variances ring-fenced to Education). There is a projected overspend of £87k which relates in the main to the fact that in the 2016/17 financial year there

are 3 additional school days due to the timing of the Easter Holidays. The projected overspend reduces to £34k after releasing one-off funding of £53k from the Transport Equalisation Reserve.

- 4.3.3 The underspend in relation to Management and Support costs relates in part to a £30k vacant post (MTFP saving moving forward), plus 2 lengthy in-year vacancies, one of which has recently been recruited to and one which has recently been short-listed for interviews.
- 4.3.4 Investment in Behaviour Support Training across all primary and secondary schools is essential to address behavioural issues that are giving rise to increasing cost pressures across Additional Support, EOTAS (Education Other Than At Schools) and an increase in potential Tribunal cases. This investment strategy commenced in 2014/15 and is essential to assist in addressing existing financial pressures and MTFP savings targets moving forward.
- 4.3.5 In the 2016/17 Financial Plan the 2 budget headings of Additional Support (Primary and Secondary) and Out-of-County Recoupment (Special Educational Needs and Looked After Children) have been amalgamated. Additional Support costs have risen significantly over the last 2 years and this is closely linked to an increase in Statements around ASD (Autistic Spectrum Disorder), which is a national trend. Whilst the level of spend on the Additional Support budget has increased, this cost is significantly less than the cost of a child placed in an out-of-county school on either a daily or residential placement. The current projected overspend of £56k is based on current additional support in our schools, current placements and an estimate for potential additional needs. Due to the uncertain nature of this spend this budget will continue to be closely monitored to the end of the financial year.
- 4.3.6 In recent years the Visually Impaired Service has reported an underspend. This is expected to continue throughout 2016/17.
- 4.3.7 Education Other Than At Schools (EOTAS) provision is currently under review, both internally and with regards to procured activity. This provision, which accommodates learners who are unable to attend and learn through mainstream school, has seen a recent increase in referrals for children with challenging behaviour. In the short-term this provision is continuing to project an overspend, currently up to the value of £280k. In part this includes some additional one-off costs from September 2016 as we look to develop and invest in our own in-house provisions to better meet the needs of our pupils and in part address increasing cost pressures.
- 4.3.8 In 2016/17 there has been a further MTFP budget reduction of £100k against the Authority's Music Service. A Working Group has been set up to consider delivery options to achieve this saving. In the short-term there is a projected overspend of £79k, in part due to a reduced uptake from schools (circa £20k), however Managers remain confident that this savings target is achievable.
- 4.3.9 The charge on the main contract with the Education Achievement Service is £91k less than current budget provision. In addition, the reduced level of the Regional Education Improvement Grant (EIG) has led to a reduction of £61k in the match-funding requirement from the Authority.
- 4.3.10 There is a net projected underspend of £160k on other budgets within Education and Lifelong Learning.

#### **4.4 Social Services (Projected Overspend of £3k)**

- 4.4.1 The 2016/17 projected outturn for the Social Services Directorate is an overspend of £3k. However, Cabinet will recall that the 2016/17 budget approved by Council on the 24th February 2016 included a contingency of £2.5m for Social Services cost pressures. This contingency was initially held corporately but in June 2016 £1.4m was permanently transferred from the contingency into the Social Services base budget. This transfer was necessary in order to fund the impact of fee increases awarded to providers of adult social care due in the main to the introduction of the National Living Wage from April 2016. At the

same time, a further £250k was released from this contingency to address demographic pressures experienced within Children's Services since the start of the financial year.

- 4.4.2 The remaining contingency sum of £850k has since been permanently transferred into the Social Services base budget to address demographic pressures experienced within Adult Services since the start of the financial year. It is important to stress that there is no further contingency funding available to meet any additional demographic pressures that may arise during the remainder of the financial year. The additional demand will also be an important consideration in determining the budget for 2017/18 as the full-year financial impact of actual increases in demand and the potential for further increases will need to be funded.
- 4.4.3 The projected position (after the release of the £2.5m into the Social Services base budget) is summarised below: -

Division	2016/17 Revised Budget £000's	2016/17 Projection/ Commitment £000's	Projected (Overspend)/ Underspend £000's
Children's Services	19,769	20,187	(418)
Adult Services	53,606	53,298	308
Service Strategy & Business Support	2,525	2,418	107
<b>Totals: -</b>	<b>75,900</b>	<b>75,903</b>	<b>(3)</b>

Children's Services (Projected Overspend of £418k)

- 4.4.4 In response to the anticipated reductions in Welsh Government funding over the forthcoming financial years, a prudent approach to vacancy management has been adopted. This has led to a projected underspend of £406k against Management, Fieldwork and Administration posts within the Division.
- 4.4.5 An overall overspend of £818k is projected in respect of residential placements, fostering and adoption support. This reflects the demographic changes and additional cost pressures experienced within the financial year with more children presenting with more complex and challenging behaviour than in previous years. This pressure has grown steadily throughout the financial year to date and could continue to grow through the remainder of the year. The full year effect of these pressures will have implications for 2017/18 and this will be considered as part of ongoing work on the Authority's Medium Term Financial Plan.
- 4.4.6 There is a £57k projected underspend in respect of Families First due to temporary staffing vacancies that are expected to be filled in the near future.
- 4.4.7 An overspend of £90k is projected in respect of Aftercare Services. This relates to increased numbers of 16 to 18 year olds in receipt of leaving care services and a growth in "When I'm Ready" placements for young adults who were previously fostered.
- 4.4.8 There is a projected £27k underspend for 'Other Costs' that can largely be attributed to the renegotiation of contracts with voluntary sector organisations.

Adult Services (Projected Underspend of £308k)

- 4.4.9 There is a projected underspend of £372k in Management, Fieldwork and Administration. This projection anticipates that Social Services service reserves totalling £248k will be used to fund a number of temporary posts involved in transformational projects. Cabinet is asked to consider and approve this proposed use of reserves.
- 4.4.10 There is a projected underspend of £194k in relation to in-house provision of Residential Care and Supported Living. This is due to a combination of increasing client contributions and short-term staffing vacancies arising from delays in recruitment.

- 4.4.11 An underspend of £348k is anticipated in relation to the in-house provision of day care services. This is due to a combination of short-term vacancies and efficiency savings delivered in advance of MTFP requirements.
- 4.4.12 There is a projected underspend of £109k on Aids and Adaptations budgets due to a refund from the Gwent-Wide Integrated Community Equipment Service (GWICES) in respect of unspent funding from 2015/16.
- 4.4.13 Underspending across the Gwent Frailty Programme largely resulting from short-term vacancies is likely to result in a £59k reduction in the contribution required from Caerphilly Social Services.
- 4.4.14 An overspend of £176k is currently projected against the Supporting People budget. This over commitment has been reduced by £21k over the last 2 months and the Supporting People Manager will continue to review existing contracts in order to further reduce expenditure.
- 4.4.15 Financial information in respect of External Residential Care, External Day Care, Home Assistance & Reablement and Other Domiciliary Care is captured separately for each service area. However, demand for these services is inter-dependent as it is difficult to predict the exact needs of future service users. If these services are considered as a whole then a projected overspend of £635k is anticipated as summarised below: -

<b>Service</b>	<b>2016/17 Revised Budget £000's</b>	<b>2016/17 Projection/ Commitment £000's</b>	<b>Projected (Overspend)/ Underspend £000's</b>
External Residential Care	12,008	12,039	(31)
External Day Care	885	987	(102)
Home Assistance and Reablement	10,551	10,264	287
Other Domiciliary Care	9,398	10,187	(789)
<b>Totals: -</b>	<b>32,842</b>	<b>33,477</b>	<b>(635)</b>

- 4.4.16 The pressures highlighted in the table above have occurred due to demographic changes experienced within Adult Services since the beginning of the current financial year. The full year effect of these changes will have financial implications for 2017/18 and will need to be considered further as part of ongoing work on the Authority's MTFP.
- 4.4.17 A £37k underspend is projected against other Adult Services budgets largely as a result of the maximisation of the Wales Independent Living Grant.

Service Strategy & Business Support (Projected Underspend of £107k)

- 4.4.18 This service area is currently projected to underspend by £107k due in the main to structural savings delivered in advance of MTFP requirements and an anticipated underspend on transport costs.

**4.5 Environment (Projected Underspend of £132k)**

- 4.5.1 The projected outturn for Environment is an underspend of £132k. However, this projection includes a transfer of £800k into Community & Leisure Services from the one-off £1.6m waste management contingency approved by Council in February 2016.

#### Regeneration and Planning Division (Projected Underspend of £120K)

- 4.5.2 Overall an underspend of £120k is projected for the Regeneration and Planning Division consisting of an overspend of £124k for Planning Services and an underspend of £244k for Economic Development and Tourism.
- 4.5.3 Countryside Services are reporting a small underspend of £5k. This consists of a £27k shortfall in income from car park charges which is offset by underspends in operational costs.
- 4.5.4 Planning application fee income is projected to be £50k short of the £566k budget target but this is offset by an underspend in staffing due to the delayed filling of vacant posts and MTFP savings in advance for 2017/2018. There is a projected overspend of £64k in Building Control, where income is projected to be £76k below the £302k budget. Search fee income is also projected to be £11k below the £112k budget. Planning application fee, building control fee and search fee income is dependent on the number of applications received and this can be variable.
- 4.5.5 Strategic Planning budgets are presently projected to be £60k overspent due to a shortfall in rechargeable fee income, partly offset by staffing underspends due to staff on reduced working hour contracts.
- 4.5.6 Business Development has a projected underspend of £218k which is due to vacant posts, including the vacant Head of Service post. This underspend is partly offset by a temporary contract extension to a previously grant funded post. There is also a projected underspend in other operational non-staff budgets and an underspend of £128k in the Community Regeneration Fund due to an anticipated reduction in the number of applicants for grant match-funding support.
- 4.5.7 Business Urban Renewal is currently projected to overspend by £141k. This is primarily due to a projected overspend of £129k in relation to the Bargoed retail shop units arising from under-occupancy of the units.
- 4.5.8 There is a projected £75k underspend in relation to Industrial Properties due to vacant posts from voluntary early retirements, partly offset by a £20k shortfall in income. Income budgets for 2016/2017 were increased by £100k as part of MTFP requirements, so this increased target is at present not being fully achieved. There will be a further review of this service and initiatives will be identified to increase Industrial Property rent income in order to ensure budget targets are achieved in the future.
- 4.5.9 A net underspend of £8k is projected for Tourism Events, with additional income generated from pitch fees and concessions from the various events, particularly the Big Cheese. At present the Tourism Venues are reporting an overall underspend of £28k primarily due to vacant posts at a number of venues. Income generation at the various venues is overall close to budget, although Cwmcarn Visitor centre is under achieving income targets by £30k as a result of reduced visitor numbers due to the closure of the Scenic Drive for ongoing tree felling works. The Caerphilly Visitor Centre is exceeding income targets due to the continuing success of the coffee shop facilities.
- 4.5.10 There is a projected underspend of £56k for Community Regeneration. This is mainly due to additional recharge income from support provided to the grant funded Community First programme.

#### Engineering Division (Projected Overspend of £150k)

- 4.5.11 There is a projected overspend of £150k for the Engineering Division after adjusting for a projected overspend of £34k on Home to School Transport and an underspend of £33k on Social Services Transport. These transport budget variations are ring-fenced to Education & Lifelong Learning and Social Services.



- 4.5.12 Expenditure in relation to highway reactive maintenance repairs is presently projected to be £249k overspent due to ongoing pressures on the highway network accentuated by a backlog of maintenance works carried forward from 2015/2016. The severity of winter weather in relation to snow, gritting and flooding will have an impact on the overall outturn position, albeit that it is currently assumed that the winter maintenance budget of £1.14million will be fully spent. There is also funding in the winter maintenance reserve of £492k which can be accessed if necessary. The Engineering Division is reviewing the highway maintenance programme to identify measures to balance the budget by the end of the financial year
- 4.5.13 There is a projected overspend of £100k in relation to car parks, primarily relating to the ongoing review and asset management plan development for car parks. No specific budget exists for this work but it is anticipated that the overspend will be funded from the use of identified unapplied grant from the Welsh European Funding Office (WEFO) park & ride project (subject to confirmation).
- 4.5.14 An MTFP saving of £126k was applied to Public Transport in 2016/2017, but there is presently an overspend of £40k due to the timing of the implementation of the new bus contracts. This saving is anticipated to be fully achieved in 2017/2018.
- 4.5.15 There is a projected overall underspend of £190k in staffing across the Engineering Division due to vacant posts. Some of these vacant posts are MTFP savings in advance for 2017/2018.
- 4.5.16 A breakeven position is currently projected for Network Contracting Services (NCS).

Public Protection Division (Projected Underspend of £91k)

- 4.5.17 An underspend of £45k is currently projected for Environmental Health. However, this underspend may be partly offset by increased costs associated with monitoring closed landfill sites and costs associated with contamination issues. Costs in relation to closed landfills, pollution and contamination can be volatile and subject to change during the year so they will be monitored closely.
- 4.5.18 There is a projected overall net underspend of £34k for Catering Services. This includes £138k in Primary School catering due to additional school meals income and underspends in staffing and other operational costs. There is also a projected underspend of £29k for Comprehensive School catering. These underspends are partly offset by a projected overspend in relation to Breakfast Clubs of £84k, mainly due to a delay in implementing the agreed MTFP savings in this service area. There is also a £50k projected overspend for meals direct and civic catering due to a shortfall in income targets partly offset by reduced operating costs.

Community & Leisure Services Division (Projected Underspend of £67k)

- 4.5.19 The Community & Leisure Services Division is currently projected to underspend by £67k.
- 4.5.20 Waste Management & Cleansing is presently projecting an overall net overspend of £1.012m. This is mainly due to the higher cost per tonne currently paid for dry recycling treatment, increased waste tonnages and the additional cost of treating materials that cannot be recycled. There are also projected overspends in relation to a general increase in tonnages of waste sent to the Project Gwyrdd plant in Cardiff and an increase in the waste being processed at Civic Amenity Sites.
- 4.5.21 Due to the complexity and current financial position for Waste Management and Cleansing, the Corporate Director will chair a Board consisting of the Cabinet Member, the Acting Director of Corporate Services, the Interim Head of Corporate Finance, the Head of Community & Leisure Services and the Waste Strategy & Operations Manager. The remit of this Board will be to analyse this service area in detail, identify appropriate mitigating measures to balance the budget and to develop a business plan for the service for the medium-term.

- 4.5.22 Cabinet will recall that at its meeting on the 24<sup>th</sup> February 2016 Council approved a one-off contingency budget of £1.6m in respect of waste management. This temporary funding is available to fund cost pressures in dry recyclable waste in 2016/17 and 2017/18 only whilst alternative waste treatment arrangements are procured. The projected net underspend of £67k for the Community & Leisure Services Division assumes that £800k of this contingency funding has been released in 2016/17 to partially offset the current projected overspend of £1.012m for waste management. Cabinet is asked to endorse the release of this funding and the remaining £800k in the contingency budget will then be carried forward into the 2017/18 financial year.
- 4.5.23 An underspend of £206k is projected for Parks, Outdoor Facilities and Cemeteries. £203k of this underspend relates to Cemeteries where in previous years underspends have been ring-fenced for future planned investments. However, the approved budget for 2016/17 increased the income target for Cemeteries to support MTFP savings requirements. As a consequence of this, additional income above the increased budgeted level was not anticipated. It is recommended to Cabinet that the current projected underspend of £203k for Cemeteries is not ring-fenced and is instead retained within the base budget to partially offset other budget pressures within the Community & Leisure Services Division.
- 4.5.24 Leisure Services is projecting an overall underspend of £95k. Leisure Centres are projected to overspend by £32k mainly due to a projected £40k shortfall in budgeted income. However, the overspend in Leisure Centres is more than offset by an underspend in central leisure of £90k due to vacant posts and an underspend in sports & health development.
- 4.5.25 Vehicle Maintenance & Fleet Management is currently projected to overspend by £8k and Building Cleaning is projected to overspend by £13k.

Directorate General (Projected Underspend of £3k)

- 4.5.26 There is currently a projected underspend of £3k on the Directorate General budget.

**4.6 Corporate Services (Projected Underspend of £808k)**

- 4.6.1 The Directorate of Corporate Services is currently forecasting an underspend of £808k for the 2016/17 financial year.
- 4.6.2 There is a projected underspend of £191k in Corporate Finance which relates in the main to delays in appointing to vacant posts, vacancies which are being held to support MTFP savings requirements for 2017/18 and some one-off additional income.
- 4.6.3 There is an anticipated underspend of £145k in Procurement and Customer Services consisting of the following:-
- Projected underspend of £54k on Procurement which relates in the main to delays in appointing to vacant posts.
  - Customer First - £91k underspend which is also due in the main to vacancies being held to support MTFP savings requirements for 2017/18 together with some one-off savings due to a member of staff being on a career break.
- 4.6.4 Legal & Governance is projecting a net underspend of £80k after allowing for the following to be ring-fenced and transferred to earmarked reserves: -
- Projected underspend on Members related expenditure of £113k. This is due in the main to underspends on Members Allowances which is partly off-set by costs on printing/webcasting.
  - Projected underspend of £45k on Electoral Services.

The net underspend of £80k for Legal and Governance is due to vacancies.

4.6.5 Corporate Policy is projecting an overall breakeven position after taking account of: -

- Projected overspend of £59k in the Equalities and Welsh Language Team due to increased external translation costs and the need to appoint a temporary translator post to cope with workload caused by the new Welsh Language Standards. It is unlikely that the projected overspend will stay at this level in future years as the full financial impact of complying with the Standards becomes clearer. This will be a consideration in determining the budget for 2017/18.
- Projected breakeven budget in the Policy Team. This is after the one-off transfer of earmarked reserve.
- Projected underspend in the Performance Management Unit of £22k due to a vacancy being held to support MTFP savings requirements for 2017/18.
- Projected net underspend of £37k on other Corporate Policy budgets.

4.6.6 There is a projected underspend of £7k on Housing services which consists of the following:-

- General Fund Housing is expected to show a nominal underspend at this stage, although there are some offsetting over and underspends contributing to the expected position which includes an increase in spend for the Allocations Team as a result of gearing up for the Common Housing Register. This service area includes a statutory duty for Temporary Accommodation which is demand led and difficult to predict. This year the budget has had to rely on the income received for leasing out Ty Croeso which has normally been set aside as a renewal fund for future building maintenance works.
- Private Housing is anticipating an underspend of £6k, mainly due to numerous small under and over spends which make up this anticipated position. The main concern for this budget is Agency Fee Income which was under-recovered last year by some £196k. However, there is an expectation that the allocation of WHQS works to leasehold properties will ensure the shortfall experienced last year is not repeated, although this is dependent on the work itself. Therefore no variance is reported at this stage.

4.6.7 There is an anticipated underspend of £129k for Information Technology consisting of the following:-

- IT Services - £107k underspend which is due in the main to vacancies being held to support MTFP savings requirements for 2017/18.
- Central Services – £22k underspend also mainly due to a vacancy being held to support MTFP savings requirements for 2017/18.

4.6.8 For Corporate Property there is a net projected underspend of £22k, consisting of the following: -

- Corporate Property - £46k overspend due to an agreed delay in a planned retirement offset by vacancy management savings.
- Corporate Buildings - £22k underspend due to NNDR and standby/relief cover and underspends on energy costs. Energy contract prices are due to be reviewed during the autumn so this will need to be kept under review.
- Asset Management and Facilities – Projected £46k underspend mainly due to some reduced hours on salaries and increased income recharges to schools/other services for maintenance management.
- Building Consultancy – Projected break-even to date.

4.6.9 There is a projected underspend of £133k for Human Resources and Communications consisting of:-

- Human Resources projected underspend of £127k due in the main to salary savings from staff on career breaks, some staff not at the top of scale points, staff on long-term sickness and maternity leave.

- Communications - £6k underspend due in the main to salary costs arising from maternity leave.

4.6.10 There is a projected underspend of £64k for Health & Safety which is due to salary savings arising from delays in recruitment and additional Service Level Agreement (SLA) income received from Cardiff City Council.

#### **4.7 Miscellaneous Finance (Projected Underspend of £1.906m)**

4.7.1 There is an overall projected underspend of £1.906m in Miscellaneous Finance which consists in the main of a projected underspend of £1.746m on Capital Financing budgets due to the following: -

- 2015/16 and 2016/17 supported borrowing has been deferred to future years as there are cash balances that can be utilised in the short-term.
- A 2.5% reduction in the assumed borrowing rate for 2016/17 (previously 5% in line with current Public Works Loans Board (PWLB) rates). This is a consequence of base rate reductions following the outcome of the EU Referendum.
- Improved returns on investments in accordance with the revised Treasury Management Strategy.

4.7.2 There is a projected net underspend of £160k on other budgets within Miscellaneous Finance.

#### **4.8 Housing Revenue Account (Projected Underspend of £870k)**

4.8.1 There is currently a projected year-end underspend of £870k for the Housing Revenue Account (HRA) which represents just under 2% of the total HRA budget.

4.8.2 Salaries and associated costs are expected to overspend by £86k. This is a net position where underspends in Sheltered Housing and Area Housing are offset by overspends expected in the Housing Response Team (as a consequence of increased work to support the WHQS programme) and in Allocations (due to a recent review to address the new Common Housing Register). Non-pay budgets are projected to underspend by £92k. These budgets include office running costs and tenant related expenditure such as Decoration Allowances, Energy Performance Certificates and Security of Void Properties.

4.8.3 Building Maintenance is projecting a £283k overspend due to £1.07m additional expenditure in Housing Response as a result of increased work in supporting the WHQS programme and end of tenancy voids, offset by underspends in Revenue Projects of £393k and Planned Cyclical works of £391k.

4.8.4 Additional Income is expected to be £1.3m higher, mainly as a result of the increased work in supporting the WHQS programme via the Housing Response Team.

4.8.5 The HRA allows for some £13.5m of revenue contributions towards the WHQS programme this year and £2.1m for the delivery team fees. This is expected to be fully utilised this year with the delivery team costs likely to be some £148k higher due to an increase in agency posts.

#### **4.9 Progress Made Against Approved 2016/17 Revenue Budget Savings**

4.9.1 The approved budget for 2016/17 included total savings of £11.117m. Appendix 2 provides details of approved 2016/17 savings that are currently not being achieved and details of 2016/17 savings that still may not be achieved in 2017/18.

4.9.2 For 2016/17 there is currently a projected shortfall of £489k against the approved total savings of £11.117m. In the main this shortfall is being covered through one-off in-year underspends largely due to MTFP savings in advance. However, Cabinet will note that £224k of the approved 2016/17 savings still may not be achieved by 2017/18. Heads of Service will be required to identify alternative savings to address any shortfall.

## **5. WELL-BEING OF FUTURE GENERATIONS**

- 5.1 Effective financial management is a key element in ensuring that the Well-being Goals within the Well-being of Future Generations Act (Wales) 2016 are met.

## **6. EQUALITIES IMPLICATIONS**

- 6.1 An EIA screening has been completed in accordance with the Council's Strategic Equality Plan and supplementary guidance. No potential for unlawful discrimination and/or low level or minor negative impact has been identified regarding this report; therefore a full EIA has not been carried out.

## **7. FINANCIAL IMPLICATIONS**

- 7.1 As detailed throughout the report.

## **8. PERSONNEL IMPLICATIONS**

- 8.1 There are no direct personnel implications arising from this report.

## **9. CONSULTATIONS**

- 9.1 There are no consultation responses that have not been reflected in this report.

## **10. RECOMMENDATIONS**

- 10.1 Cabinet is asked to: -

10.1.1 Note the information contained in this report.

10.1.2 Approve the proposed use of Social Services service reserves totalling £248k as detailed in paragraph 4.4.9 to fund a number of temporary posts involved in transformational projects.

10.1.3 Endorse the release of £800k from the £1.6m waste management contingency to partially offset cost pressures in 2016/17.

10.1.4 Endorse the recommendation that the current projected underspend of £203k for Cemeteries is not ring-fenced and is instead retained within the base budget to partially offset other budget pressures within the Community & Leisure Services Division.

## **11. REASONS FOR THE RECOMMENDATIONS**

- 11.1 The Council budget is based upon the achievement of both expenditure targets and income targets. In order to ensure these are met and that the Council's financial integrity is maintained, Members are required to review expenditure and income trends included in budget monitoring reports.

## **12. STATUTORY POWER**

- 12.1 Local Government Act 1972 and 2000.

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Consultees: Chris Burns, Interim Chief Executive  
Nicole Scammell, Acting Director of Corporate Services & Section 151 Officer  
Christina Harray, Corporate Director Communities  
Dave Street, Corporate Director Social Services  
Gail Williams, Interim Head of Legal Services & Monitoring Officer  
Andrew Southcombe, Finance Manager, Corporate Finance  
Dave Roberts, Principal Group Accountant, Corporate Services  
Mike Eedy, Finance Manager, Environment  
Jane Southcombe, Finance Manager, Education & Lifelong Learning  
Mike Jones, Interim Financial Services Manager, Social Services  
Lesley Allen, Principal Accountant, Housing  
Lianne Dallimore, MTFP Programme Co-ordinator  
Cllr Keith Reynolds, Leader  
Cllr B Jones, Deputy Leader & Cabinet Member for Corporate Services  
Cllr D Poole, Deputy Leader & Cabinet Member for Housing

Background Papers:

Council (24/02/16) - Budget Proposals 2016/17 and Medium-Term Financial Strategy 2016/2021

Appendices:

Appendix 1 Whole Authority Mid-Year Budget Monitoring Report 2016/17 - Summary by  
Directorate/Service Division

Appendix 2 2016/17 Savings Not Being Achieved

## Whole Authority Mid-Year Budget Monitoring Report 2016/17

## Summary by Directorate/Service Division

Directorate/Service Division	Original Estimate 2016/17	Revised Estimate 2016/17	Projected Outturn 2016/17	Projected (Overspend)/ Underspend
	£	£	£	£
<b>Education &amp; Lifelong Learning</b>				
- Planning and Strategy	104,523,362	104,523,362	104,424,871	98,491
- Learning, Education and Inclusion	15,193,327	15,193,327	15,365,997	(172,670)
- Lifelong Learning	5,073,314	5,073,314	5,040,559	32,755
<b>Sub-Total: -</b>	<b>124,790,003</b>	<b>124,790,003</b>	<b>124,831,427</b>	<b>(41,424)</b>
<b>Social Services</b>				
- Children's Services	19,556,040	19,769,523	20,187,651	(418,128)
- Adult Services	51,319,073	53,605,590	53,297,377	308,213
- Service Strategy and Business Support	2,528,896	2,524,559	2,417,402	107,157
<b>Sub-Total: -</b>	<b>73,404,009</b>	<b>75,899,672</b>	<b>75,902,430</b>	<b>(2,758)</b>
<b>Environment</b>				
- Regeneration and Planning	3,856,782	4,085,531	3,965,154	120,377
- Engineering	19,617,987	19,617,987	19,767,919	(149,932)
- Public Protection	7,142,706	7,142,706	7,052,177	90,529
- Community and Leisure Services	18,135,971	18,935,971	18,868,625	67,346
- Directorate General	161,796	161,796	158,071	3,725
<b>Sub-Total: -</b>	<b>48,915,242</b>	<b>49,943,991</b>	<b>49,811,946</b>	<b>132,045</b>
<b>Corporate Services</b>				
- Interim Chief Executive/Acting Director	443,867	443,867	409,054	34,813
- Corporate Finance	2,030,073	2,030,073	1,838,944	191,129
- Procurement and Customer Services	1,599,257	1,599,257	1,453,948	145,309
- Legal and Governance	2,950,774	2,950,774	2,870,363	80,411
- Corporate Policy	1,415,952	1,191,540	1,191,412	128
- Housing Services	1,101,271	1,101,271	1,093,805	7,466
- Information Technology	4,891,962	4,891,962	4,762,374	129,588
- Corporate Property	4,738,513	4,738,513	4,716,244	22,269
- Human Resources and Communications	2,002,058	2,002,058	1,868,599	133,459
- Health and Safety	913,335	913,335	849,705	63,630
<b>Sub-Total: -</b>	<b>22,087,062</b>	<b>21,862,650</b>	<b>21,054,448</b>	<b>808,202</b>
<b>Miscellaneous Finance</b>	<b>55,195,166</b>	<b>51,895,166</b>	<b>49,988,757</b>	<b>1,906,409</b>
<b>Grand Total: -</b>	<b>324,391,482</b>	<b>324,391,482</b>	<b>321,589,008</b>	<b>2,802,474</b>

**2016/17 SAVINGS NOT BEING ACHIEVED**

SERVICE AREA	MTFP REF. NO.	DESCRIPTION OF AGREED SAVING	AGREED SAVING 2016/17 £000's	AMOUNT ACHIEVED 2016/17 £000's	ANTICIPATED SHORTFALL 2016/17 £000's	WHERE SAVINGS HAVE NOT BEEN ACHIEVED, WHAT PLANS ARE IN PLACE TO ADDRESS THIS?	HAVE THERE BEEN ANY UNEXPECTED CONSEQUENCES AS A RESULT OF THE SAVING?	POTENTIAL SHORTFALL IN 2017/18 £000's
Community & Leisure Services	CL03	Removal of Parks & Outdoor Facilities Manager post.	60.00	14.00	46.00	One off retirement costs £33k funded in 2016/17 and £13k pay due to delay in retirement date. Will be fully achieved in 2017/18.	No	0.00
Corporate Finance	CF10	Sundry Debtors - Reduce debt collection agency fees.	10.00	1.50	8.50	This was to be achieved through the Sundry Debtors Team being more proactive in chasing outstanding debts. Due to a vacant post, maternity leave and sickness absence this is not currently progressing as planned. However, the situation is expected to improve.	No	0.00
Corporate Finance	CF12	Sundry Debtors - Saving on printing costs.	5.00	0.00	5.00	This is being kept under review but savings are proving difficult to achieve.	No	5.00
Corporate Finance	CF01	Council Tax - Increase in court fees.	75.00	55.00	20.00	Additional estimate too high as case load has not increased.	No. Anticipated debtor complaints have not materialised.	20.00



SERVICE AREA	MTFP REF. NO.	DESCRIPTION OF AGREED SAVING	AGREED SAVING 2016/17 £000's	AMOUNT ACHIEVED 2016/17 £000's	ANTICIPATED SHORTFALL 2016/17 £000's	WHERE SAVINGS HAVE NOT BEEN ACHIEVED, WHAT PLANS ARE IN PLACE TO ADDRESS THIS?	HAVE THERE BEEN ANY UNEXPECTED CONSEQUENCES AS A RESULT OF THE SAVING?	POTENTIAL SHORTFALL IN 2017/18 £000's
Econ Dev, Regen and Planning	ERP02	Llancaiach Fawr - Income.	20.00	0.00	20.00	A meeting has been arranged to examine the income streams in this area in order to establish whether the savings target can be fully achieved by the end of the financial year.	No	20.00
Econ Dev, Regen and Planning	ERP03	Industrial Property Income.	100.00	80.00	20.00	Endeavouring to increase occupancy at Industrial Units and possible rent review.	No	20.00
Econ Dev, Regen and Planning	ERP04	Cwmcarn – Income.	20.00	0.00	20.00	Tree felling works at the Cwmcarn Scenic Drive has adversely affected visitor numbers so the income budgets are under achieving. Operations being reviewed to try and increase income to compensate. In the long-term the saving should be achievable.	No	20.00
Econ Dev, Regen and Planning	ERP11	Pre-planning Advice – Income.	5.00	0.00	5.00	The level of income is influenced by economic activity. The position will be kept under review.	No	5.00

SERVICE AREA	MTFP REF. NO.	DESCRIPTION OF AGREED SAVING	AGREED SAVING 2016/17 £000's	AMOUNT ACHIEVED 2016/17 £000's	ANTICIPATED SHORTFALL 2016/17 £000's	WHERE SAVINGS HAVE NOT BEEN ACHIEVED, WHAT PLANS ARE IN PLACE TO ADDRESS THIS?	HAVE THERE BEEN ANY UNEXPECTED CONSEQUENCES AS A RESULT OF THE SAVING?	POTENTIAL SHORTFALL IN 2017/18 £000's
Education & Lifelong Learning	EDLL17	Music Service.	100.00	21.00	79.00	A Working Group has been established to look at options both internally and with the Gwent Music Service.	No	0.00
Engineering	FY 15/16	Review of Passenger Transport Services.	126.00	86.00	40.00	New bus contracts have been implemented later than anticipated. Full saving will be achieved in 2017/18.	No	0.00
Housing	H02	Retirement of Principal Housing Officer (Grade 12). To be replaced by Grade 8 Technical Officer and existing Team Leaders (2 posts) to be regraded from Grade 10 to Grade 11.	10.00	0.00	10.00	Grade 12 retirement actioned and Grade 8 is being filled via Agency. The business case for the regrading is with CMT where a decision is imminent. Once agreed the net saving of £10k will be achieved.	No	0.00
ITCE	ICE13	ICT - Reduction in support vans.	7.00	0.00	7.00	Still under review but saving is expected to be delivered by 2017/18.	No	0.00
ITCE	ICE28	I.T. Software contracts - Budget realignment.	45.00	38.00	7.00	Still under review but saving is expected to be delivered by 2017/18.	No	0.00

SERVICE AREA	MTFP REF. NO.	DESCRIPTION OF AGREED SAVING	AGREED SAVING 2016/17 £000's	AMOUNT ACHIEVED 2016/17 £000's	ANTICIPATED SHORTFALL 2016/17 £000's	WHERE SAVINGS HAVE NOT BEEN ACHIEVED, WHAT PLANS ARE IN PLACE TO ADDRESS THIS?	HAVE THERE BEEN ANY UNEXPECTED CONSEQUENCES AS A RESULT OF THE SAVING?	POTENTIAL SHORTFALL IN 2017/18 £000's
Policy & Performance	LG10	Equalities - Vacancy management.	28.40	0.00	28.40	Additional staffing resources have been put in place to address the increased demand for Welsh Language translation. It will not be possible to achieve this saving.	Further costs are anticipated to deal with the volume of work arising from the Welsh Language Standards. This will be considered as part of the budget-setting process for 2017/18.	28.40
Policy & Performance	LG11	Equalities - Reduce Welsh language initiatives budget.	5.00	0.00	5.00	Additional costs have been incurred in external translation services to address the increased demand for Welsh Language translation. It will not be possible to achieve this saving.	Further costs are anticipated to deal with the volume of work arising from the Welsh Language Standards. This will be considered as part of the budget-setting process for 2017/18.	5.00
Property	PRP01	Head of Service retirement.	67.00	0.00	67.00	Delayed retirement of Head of Service. Corporate Services reserves can be used if required.		0.00

SERVICE AREA	MTFP REF. NO.	DESCRIPTION OF AGREED SAVING	AGREED SAVING 2016/17 £000's	AMOUNT ACHIEVED 2016/17 £000's	ANTICIPATED SHORTFALL 2016/17 £000's	WHERE SAVINGS HAVE NOT BEEN ACHIEVED, WHAT PLANS ARE IN PLACE TO ADDRESS THIS?	HAVE THERE BEEN ANY UNEXPECTED CONSEQUENCES AS A RESULT OF THE SAVING?	POTENTIAL SHORTFALL IN 2017/18 £000's
Public Protection	PP05	Increase prices in civic catering by 5%.	4.90	0.00	4.90	The MTFP price increase savings are being offset by lower demand. Initiatives are under consideration to increase the customer base to increase income.		4.90
Public Protection	PP08	Introduce charge to schools for the setting up of sandwich places.	102.00	76.00	26.00	Income of £76k is being achieved from schools that have signed up for this service. The remaining saving will need to be achieved via reduced Catering Service staffing costs.		26.00
Public Protection	PP12	Reduce operational Breakfast Clubs costs by 1 hour of staffing per day	70.00	0.00	70.00	Staffing levels are being reviewed on a site by site basis. Redeployment opportunities are continuing to be explored and any vacant posts are reviewed before being filled. The Corporate Management Team has requested a progress report by the end of December.		70.00
		<b>Total</b>	<b>860.3</b>	<b>371.50</b>	<b>488.80</b>			<b>224.30</b>



## CABINET - 16TH NOVEMBER 2016

**SUBJECT: LAND AT MILL STREET CAR PARK, RISCA**

**REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND S151 OFFICER**

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### 1. PURPOSE OF REPORT

- 1.1 To seek approval to the disposal of land at Mill Street, Risca (shown hatched black on the attached plan) to the POBL Group.

### 2. SUMMARY

- 2.1 The land at Mill Street Car Park, Risca forms part of a potential redevelopment site identified in the Risca and Pontymister Town Centre Action Plan (Approved 2014). The site is in a prominent location at the junction with Mill Street and Commercial Street, at the southerly entrance to the town. POBL (a Registered Social Landlord, or RSL) has approached the two landowners (the Council and a third party), with a view to redeveloping the whole site with both affordable and supported housing.
- 2.2 The disposal of the site will produce a capital receipt, as well as revenue savings for the Council and its statutory partners. Over a 20 year period, projected costs savings from the delivery of the supported housing scheme are anticipated to be significant, details of which are set out in paragraph 7.1 of the report.

### 3. LINKS TO STRATEGY

The contents of this report link to the following key strategic objectives:

#### 3.1 Housing Focus

“Encourage the development and maintenance of high quality, well designed and efficient, sustainable homes and environments which can meet all needs.” (*Community Strategy: Living Environment – Objective 1*)

“Ensure an adequate and appropriate range of housing sites are available across the County Borough in the most suitable locations to meet the housing requirements of all sections of the population” (*Local Development Plan –Objective 9*)

“Meet housing requirements through the provision of a range of good quality, affordable housing options.” (*Aim 5: Affordable Housing – Local Housing Strategy*)

“Provide good quality, well-managed homes in communities where people want to live, and offer people housing choices which meet their needs and aspirations.” (*Aim 6: Housing Management - Local Housing Strategy*)

“Promote sustainable and mixed communities that are located in safe and attractive environments.” (*Aim 11: Community Regeneration - Local Housing Strategy*)

There is a need to increase the number of affordable homes for purchase or rent (*Improving Lives and Communities – Homes in Wales – April 2010*).

### 3.2 Well Being of Future Generations

The proposal contributes to the following Well-being Goals within the Well-being of Future Generations Act (Wales) 2015:

- ✓ A sustainable Wales
- ✓ A prosperous Wales
- ✓ A healthier Wales
- ✓ A more equal Wales
- ✓ A Wales of cohesive communities

## 4. THE REPORT

### 4.1 Background

4.1.1 The land at Mill Street Car Park, Risca forms part of a potential redevelopment site identified in the Risca and Pontymister Town Centre Action Plan (approved in 2014). The site is in a prominent location at the junction of Mill Street and Commercial Street at the southerly entrance to the town. It comprises a public car park and vacant land (in separate land ownerships) and has the potential to be redeveloped for housing purposes. The site is shown edged black on the attached plan. The land that is the subject of this report is that part of the site that is in Council ownership (i.e. the public car park, shown hatched black on the plan). Pobl has approached the two landowners (the Council and a third party), with a view to redeveloping the whole site providing both affordable housing and a supported housing scheme.

### 4.2 Policy Context

4.2.1 There is a significant need for affordable housing across the County Borough. Policy CW11 of the Local Development Plan (LDP) sets Affordable Housing Targets throughout Caerphilly County Borough, ranging from 40% in the higher viability area around Caerphilly Basin, to 0% in the Heads of the Valleys Regeneration Area (HOVRA). Economic indicators and housing need have influenced these targets.

4.2.2 An operational housing requirement for the provision of affordable housing has been identified; the housing waiting list data for the Risca area demonstrates that there is housing demand in this area. The 2015 Local Housing Market Assessment identifies a shortfall throughout the County Borough of 526 affordable homes per annum. It also identifies a high number of households who are living in unsuitable housing because their accommodation no longer meets their requirements arising from disabilities, medical conditions or old age.

4.2.3 On 10th June 2014, the Council adopted a key document, entitled the Risca and Pontymister Town Centre Action Plan which acts as a framework for the future regeneration of Risca/Pontymister as a Principal Town within the Council's Local Development Plan.

4.3 The Mill Street, Risca site [“the site”] (shown edged black on the plan) has lain dormant for a number of years whilst its landowner has attempted to secure a purchaser. The site is identified in the Risca and Pontymister Town Centre Action Plan as a gateway into the town centre; currently, it offers an unattractive entrance feature into the town from the south.

- 4.4 Pobl has been in negotiation for the purchase of the site, for the development of an affordable housing scheme along with a supported housing project. In order to realise the development, it is necessary for the Council's land ["the car park"] to be incorporated into the overall scheme.
- 4.5 Pobl has prepared a scheme for the site, in consultation with relevant officers, identifying a mix of properties that seeks to address the housing needs within the area as identified in the Council's Housing waiting list. In addition, subject to planning approval, the scheme will deliver a regional supported living accommodation project. The supported living project would be funded regionally, within Gwent, by the 5 Gwent Supporting People Teams (including CCBC) and would see the provision of an eight-bed property for women who have suffered domestic violence, providing 24-hour support for clients and their families.
- 4.6 Highways officers have confirmed that there is no operational requirement for the car park, Risca Town Council has however objected to the proposed transfer of the car park to Pobl for new housing on the grounds that the local area cannot cope with any additional on-street car parking to add to the current demands of local businesses and surgeries.
- 4.7 A survey of the use of the car park been carried out, on different days and at different times, with the following results:

Day	Date	Time	Nº of cars	Notes
Sunday	24/07/2016	11 <sup>20</sup>	10	
Wednesday	03/08/2016	14 <sup>00</sup>	7	
Tuesday	09/08/2016	10 <sup>00</sup>	8	
Wednesday	10/08/2016	10 <sup>00</sup>	6	
Wednesday	17/08/2016	08 <sup>00</sup>	2	
Wednesday	24/08/2016	08 <sup>30</sup>	4	
Wednesday	31/08/2016	09 <sup>40</sup>	10	
Tuesday	13/09/2016	13 <sup>30</sup>	9	
Wednesday	14/09/2016	09 <sup>50</sup>	9	
Monday	19/09/2016	09 <sup>10</sup>	9	"School run" time
Wednesday	21/09/2016	08 <sup>05</sup>	1	
Wednesday	28/09/2016	09 <sup>25</sup>	11	
Friday	30/09/2016	15 <sup>00</sup>	17	"School run" time
Tuesday	04/10/2016	15 <sup>00</sup>	17	"School run" time

- 4.8 Pobl has advised that in order to deliver the development they would need to include both sites. There is scope neither to provide time-limited public parking space nor residents parking within the proposed development to reconcile the needs of all parties.
- 4.9 However, its loss has been taken into account when considering the potential of the site for development; as noted in the Risca and Pontymister Town Centre Action Plan (2014): "Opportunities will need to be explored for the continued provision of car parking either on or off site as an integral part of any redevelopment scheme. One option would be to relocate the car park to the A2 site (Eastern part of land adjacent to River Ebbw, Pontymister) where it would be better located for shoppers." Thus, the principle of development on this site, and the loss of the existing car parking facility has been determined as being acceptable.

Members are asked to note that, whilst there are no immediate development proposals to bring forward the A2 site (primarily because of ongoing issues with flooding), the opportunity will be taken to explore the continued provision of car parking as part of any scheme.

- 4.10 In summary, the sale of the car park will have a lasting, positive, impact on the town of Risca, facilitating the development of an unsightly, prominent site.

Perhaps more importantly it will help reduce existing pressure on Social Services budgets by providing a facility within the county borough, which the Council currently has to outsource.

## **5. WELL-BEING OF FUTURE GENERATIONS**

- 5.1 This proposal contributes to the Well-being Goals as set out in Links to Strategy above. The scheme is also consistent with the five ways of working set out in the sustainable development principle, as defined in the Act. The scheme is integrated in that it contributes to a number of the Well-being goals and supports the objectives of other stakeholders within the community. Implementation of the scheme exemplifies collaboration across organisational boundaries; working together for the good of our communities in pursuit of shared objectives.
- 5.2 RSLs, as developers, generally take a longer view, protecting (as far as possible) and improving the local environment and infrastructure for the future. Other benefits that RSLs can bring are an emphasis on sustainable construction including Code for Sustainable Homes Level 3+, and Targeted Recruitment and Training that will enhance employment prospects and skills of local people, particularly the young and those at a disadvantage, and promote equality of opportunity.

## **6. EQUALITIES IMPLICATIONS**

- 6.1 An Equalities Impact Assessment (EqIA) screening has been completed in accordance with the Council's Equalities Consultation and Monitoring Guidance and no potential for unlawful discrimination and / or low level or minor negative impact have been identified, therefore a full EqIA has not been carried out.
- 6.2 Schemes such as this are widely accepted as producing substantial benefits such as preventing children going into care, reducing homelessness, improving health and savings for the criminal justice system.

## **7. FINANCIAL IMPLICATIONS**

- 7.1 Based on research by national charity Coordinated Action Against Domestic Abuse [CAADA], existing services for victims save at least £2.90 for every £1 spent. A supported living scheme such as that proposed has the potential to produce a saving of over £500,000 over three years for statutory services such as Health and Criminal Justice services and will contribute to the safeguarding and protection of families and vulnerable children. Of that £500,000 it is estimated that the Council would realise over £100,000 in potential cost avoidance for Children's Services (in respect of the safeguarding of families and vulnerable children).
- 7.2 In addition to this cost avoidance, the disposal of the car park will produce a capital receipt of £50,000.

## **8. PERSONNEL IMPLICATIONS**

- 8.1 There are no personnel implications arising out of the report.



## 9. CONSULTATIONS

- 9.1 Risca Town Council has objected to the proposal on the grounds that the local area cannot cope with any additional on-street car parking to add to the current demands of local businesses and surgeries.
- 9.2 One resident has objected that existing community needs are not being considered because the car park is used by parents when dropping off and collecting children from Ty Isaf Infant School at the upper end of Mill Street, and that alternative car parking, provided in a different location, may not be a safe route to school.

There is an alternative car park at the end of Isaf Road, Risca, which is closer to the infant school and has capacity, although it is recognised that for access and egress to the school children would need to be supervised when crossing Mill Street.

Officers acknowledge that the proposal will result in the loss of the car park as a safe dropping off and collection point for the school, however this loss of benefit has to be balanced against the benefits that officers consider the development will bring to better address the economic, social, environmental and cultural well-being in the county borough as required under the Well-being of Future Generations (Wales) Act 2015.

- 9.3 Cllr Rees requested consultation be undertaken with the community prior to a decision being made in respect of the disposal of the car park. Consequently, a consultation event was held involving Local Ward Members on Monday 18th July 2016.
- 9.4 There was general support for the proposed development, although a number of queries were raised which included:

### **Car Parking:**

Residents asked if an area for off road car parking could be allocated within the proposed development site. The adjacent Church is attended by elderly residents and a replacement car parking proposal on Commercial Street (possibly at the site of the former gas works) is thought to be too far away, as is the railway station car park. Officers have determined that there is scope neither to provide time-limited public parking space nor residents parking within the proposed development to reconcile the needs of all parties; it is considered also that there is sufficient on-street parking to cater for the needs of the elderly residents attending the adjacent church.

### **Schools:**

Residents queried whether there is capacity in the Primary/Secondary school for this development. The Assistant Director for Education has, however, confirmed that there would be sufficient school places in the vicinity to accommodate a development of this size.

### **Health:**

There were concerns that GPs surgeries are already full and this development will compound the problem. The Practice Manager for Wellspring has confirmed that the practice has recently taken on new Partners and increased GP sessions.

- 9.5 There are no other views expressed as a result of consultation that differ from the recommendation.

## 10. RECOMMENDATIONS

- 10.1 That land shown edged black on the plan is transferred for £50,000 (and otherwise on terms to be agreed) to the Pobl Group.

10.2 That approval of the detailed terms of the disposal is delegated to the Head of Property Services in conjunction with the Cabinet Member for Performance and Asset Management.

## **11. REASONS FOR THE RECOMMENDATIONS**

11.1 The asset is surplus to the Council's operational requirements.

11.2 An affordable housing scheme that meets with the needs identified within the Council's Local Housing Market Assessment and Housing register will be delivered. In addition, the development will furnish a regional supported living accommodation project.

11.3 The development will support the regeneration of Risca Town Centre.

11.4 Paragraph 8.1(iv) of the Disposal Procedure in Part 4 of the Council's Constitution states that Cabinet approval will be obtained before direct negotiations are opened with a single party where it is possible to market a property but where the Head of Performance and Property Services is of the opinion that this course of action may not be in the best financial or service interests of the Authority.

## **12. STATUTORY POWER**

12.1 Local Government Acts 1972 and 2000, and The Local Government Act 1972: General Disposal Consent (Wales) 2003. This is a Cabinet Function.

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Kevin Fortey, Housing Development Officer  
Cllr D. Hardacre, Cabinet Member for Performance and Asset Management  
Cllr D. Poole, Deputy Leader and Cabinet Member for Housing  
Cllr K. James, Cabinet Member for Regeneration, Planning & Sustainable Development  
Cllr R. Woodyatt, Cabinet Member for Social Services  
Cllr P. Griffiths, Ward Member  
Cllr D. Rees, Ward Member

Appendices:  
Appendix 1 Plan showing the land



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## CABINET – 16TH NOVEMBER 2016

**SUBJECT: HIGHWAY INSPECTION MANUAL ENDORSEMENT**

**REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER**

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- 1.1 The attached report, which was presented to the Regeneration and Environment Scrutiny Committee on 1st November 2016, outlined the background and content of the Highway Maintenance Plan and Highway Inspection Manual (HIM) and explained the processes by which these are internally reviewed on an annual basis. Members were asked to consider and comment on the content of the documents and review process, prior to presentation of the Highway Inspection Manual to Cabinet for endorsement.
- 1.2 Officers explained that the Council has a statutory duty to maintain a safe highway network as set out under the Highways Act 1980. The Highway Maintenance Plan (HMP) is one of three plans that make up the Highway Operations Group Framework (detailed at Appendix 1 of the Scrutiny Committee report), the others being the Highway Asset Management Plan (HAMP) and Highway Operations Plan (HOP). The HMP defines a structure under which all asset-related Highway Operation activities are sub-divided into asset groups. The Highway Inspection Manual forms part of the Highway Maintenance Plan and sets out the processes and procedures to inspect, report, undertake necessary actions and record the works carried out on the carriageway and footway asset. It forms the basis of the Council's legal defence against insurance claims, both with personal injury and property/ vehicular damage, made on the highway.
- 1.3 Members were advised that the HIM is divided into 4 parts, with Parts 1 and 2 of the existing HIM, which outline background and policy information and inspection procedures, attached at Appendix 2 of the Scrutiny Committee report for Members' consideration. The HIM is annually reviewed by senior Highways Officers and adjusted accordingly, then annotated in the revision box on the title page. Members were asked to consider a number of sections requiring review, namely response times for highway defects, inspection frequency and intervention criteria.
- 1.4 During the course of the ensuing debate, a Member raised a query regarding the inspection and maintenance of double yellow line road markings. Officers summarised the inspection and repainting process and the parking regulations applicable to road markings and encouraged Members to report any issues in respect of road markings or inappropriate parking to the Highways department.
- 1.5 Members were reminded of proposals for the enforcement of civil parking restrictions to be passed from Gwent Police to local authorities. It was explained that a review will be carried out in the near future which will examine all aspects of parking across the county borough and the impact of these proposals on the Council. Discussion also took place regarding the enforcement approaches undertaken by other local authorities who are in receipt of such powers.
- 1.6 A Member queried the map within the HIM which detailed Inspection Areas and Highway Inspectors. It was explained that these Officers are regularly rotated in order for them to gain experience across all areas of the county borough, and that an updated version of the map

detailing the current Officer for each area would be circulated to Members and placed within the HIM. Officers also provided clarification on risk assessment Priorities 4 and 5 as outlined in the highway inspections process detailed within the HIM.

1.7 Following consideration of the report (and subject to the aforementioned amendment) and in taking into account the content and annual review process of the Highway Inspections Manual, the Regeneration and Environment Scrutiny Committee unanimously recommended to Cabinet that for the reasons contained therein:-

- (i) the 2 hour, 24 hour and 28-day response targets for highway defects be maintained with the management for this current service level being closely monitored, especially for the Priority 3 (non-urgent defect identified) 28 day target;
- (ii) the current inspection intervals be maintained;
- (iii) the current intervention criteria on road and footway defects be maintained;
- (iv) subject to the foregoing, the Highway Inspections Manual as appended to the report presented to the Scrutiny Committee be endorsed.

1.8 Members are asked to consider the recommendations.

Author: R. Barrett, Committee Services Officer, Ext. 4245

Appendices:

Appendix 1 Report to Regeneration and Environment Scrutiny Committee on 1st November 2016  
– Agenda Item 9



## REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE – 1ST NOVEMBER 2016

**SUBJECT: HIGHWAY INSPECTION MANUAL ENDORSEMENT**

**REPORT BY: CORPORATE DIRECTOR COMMUNITIES**

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### 1. PURPOSE OF REPORT

- 1.1 This report outlines the background and content of the Highway Maintenance Plan (HMP) and Highway Inspection Manual (HIM), explaining the process by which it is internally reviewed on an annual basis.
- 1.2 For Scrutiny members to consider the content of the documents and process of review and provide comment for consideration, prior to seeking Cabinet endorsement.

### 2. SUMMARY

- 2.1 The Council has a statutory duty to maintain a safe highway network, as set out under the Highways Act, 1980.

The following suite of documents (refer to the Highways Operations Group Framework structure is shown in Appendix A), sets out how this statutory duty is fulfilled:

- Highway Asset Management Plan (HAMP) – this sets out how the Council's assets are identified, assessed, inspected, maintained and recorded.
  - Highway Maintenance Plan (HMP) – this sets out the maintenance regimes of the highway assets and the Highway Operations criteria for this to take place (highways, footways, bridges, drainage, winter maintenance, etc.) – this has a direct link to the HAMP
  - Highway Operations Plan (HOP) – this document sets out how the Highway Operations team carry out tasks that do not have a direct connection with the Council's highway assets (out-of-hours duties, utility works inspections etc.)
- 2.2 This report focusses upon the HMP. The HMP defines a structure under which all asset-related Highway Operation activities are subdivided into asset groups:
    - Carriageways & Footways – under Highway Inspection Manual, Winter Maintenance Plan and Planned Works
    - Drainage – under Drainage Maintenance
    - Street Lighting
    - Structures – bridges, retaining walls and large culverts
    - Tips and recycling sites – under Tips Maintenance & Recycling
  - 2.3 The Highway Inspection Manual (HIM) (in Appendix B – Parts 1 & 2 only) forms part of the Highway Maintenance Plan (HMP) (coloured yellow in Appendix A). It sets out the processes and procedures to inspect, report, undertake necessary actions and record the works carried out on the carriageway and footway asset. It is isolated in this report, as it forms the basis of the Council's legal defence against insurance claims, both with personal injury and property/vehicular damage, made on the highway.

- 2.4 Members are asked to scrutinise the process, overall content and provide comment prior to seeking endorsement by Cabinet.

### **3. LINKS TO STRATEGY**

- 3.1 This report links directly to the regeneration of the county borough making Caerphilly County Borough a better place to live and work.
- 3.2 The report links directly to the Council's priority to improve accessibility throughout the county borough by improving the transport network, enabling individuals to move freely around Caerphilly.
- 3.3 There is also a link to ensuring communities are safer by maintaining safety standards for the development of integrated, efficient local and regional transport system, on which public transport, private users, cycling and walking networks can operate.
- 3.4 The Well-being of Future Generations (Wales) Act 2015 came into force this April; it sets out seven Well-Being Goals. The focus of this report supports a Resilient Wales, A Prosperous Wales, A Wales of Cohesive Communities and a Globally Responsible Wales

### **4. THE REPORT**

- 4.1 The Highway Maintenance Plan (HMP) has a number of subdivisions to cover both reactive and planned activities for the highway asset:
- i. Highway Inspection Manual (HIM) (coloured yellow in Appendix A)– organisational set-up and processes for highway inspection
  - ii. Tips Maintenance & Recycling – procedures for both tip sites and the recycling facility
  - iii. Drainage Maintenance – based on the approved Flood Risk Management Plan
  - iv. Structures - standards and procedures for highway related structures (bridges, retaining walls etc.)
  - v. Planned Works – carriageway, footway and crash barrier (VRS) maintenance
  - vi. Street Lighting – standards and procedures for street lighting
  - vii. Winter Maintenance Plan (coloured blue in Appendix A) – procedures for the winter period (reviewed under separate Cabinet Report – reviewed in Scrutiny Committee meeting 28<sup>th</sup> June 2016)
- 4.2 The purpose of the manual is to explain the Council's responsibilities (as Highway Authority) of inspecting and maintaining the highway infrastructure network throughout the annual cycle in order to demonstrate how we fulfil our statutory duty, as set out in the Highways Act (1980).
- 4.3 The 'Well-maintained Highways' Approved Code of Practice (ACoP) 2005, gives practical guidance on how to comply with Highways Health & Safety Regulations, which have the force of law. Although the HIM has been developed throughout the existence of CCBC, its compliance with this ACoP gives this document a legal grounding.
- 4.4 Caerphilly County Borough Council (CCBC) undertake safety inspections in accordance with the principles of 'Well-maintained Highways' Approved Code of Practice (ACoP) – 2005 in order that, where necessary, the Council is able to support a legal defence under Section 58 of the Highways Act 1980. This requires that a court shall have regard to 'whether the highway authority knew or could reasonably be expected to know, that the condition of the part of the highway to which the action relates was likely to cause danger to users of the highway'.



- 4.5 The Highways Act 1980 sets out the main duties of highway authorities in England and Wales. In particular, Section 41 imposes a duty to maintain highways, as far as is reasonably practicable, at public expense; almost all claims against authorities relating to highway functions arise from the alleged breach of this section.
- 4.6 As it is used as the basis for the legal defence against insurance claims made against the Authority (ref 4.4 & 4.5), this version of the HIM under-went a legal review in 2015 by an external legal firm, to confirm its validity and standing,.
- 4.7 The plan also provides guidance to Highway Inspectors in carrying out their duties with the appropriate references to the required tables and matrices. This is both useful in defining the Inspector's and Highway Maintenance team roles when carrying out their legal duties, as part of the Highway Authority in the County Borough.
- 4.8 This manual is annually reviewed by the Principal Engineer for Highway Maintenance and the Highway Operations Group Manager and adjusted accordingly, then annotated in the revision box on the title page.
- 4.9 The Manual sets out the Highway Inspection Policy for CCBC, and is divided into four Parts (currently consisting of a 250 page document - Appendix B only showing Parts 1 and 2):
- Part 1: Background & Policy Information, which explains the background and policy for the highway inspection process.
  - Part 2: Inspection Procedures, which provides guidance on how inspections should be carried out, including risk assessments, frequency, intervention criteria, training, emergencies and data management.
  - Part 3: Inspection Guidance which provides photographic and written guidance for Council highway inspectors to help assess highway defects (not included in Appendix B).
  - Part 4: Appendix which contains the appendices for the 'Highways Code of Practice', standard letter templates and 'Out of Hours' Duty Officer Hand-Book (not included in Appendix B).
- 4.10 Of these sections there are a number that require review by Scrutiny members as they cover key issues within the Highway Inspection Manual, these being:
- 4.10.1 Response Times – this is based on the inspector's risk assessment of a defect. The risk assessment is carried out by the inspector, scoring both severity (impact) and probability of the risk on a scale 0 to 4. These scores are then multiplied to give a result in the following Risk Assessment Matrix Table as below:

<b>Probability</b>	<b>Very low</b>	<b>Low</b>	<b>Medium</b>	<b>High</b>
<b>Impact</b>				
<b>Negligible</b>	<b>1</b>	<b>3</b>	<b>3</b>	<b>4</b>
<b>Low</b>	<b>2</b>	<b>4</b>	<b>6</b>	<b>8</b>
<b>Noticeable</b>	<b>3</b>	<b>6</b>	<b>9</b>	<b>12</b>
<b>High</b>	<b>4</b>	<b>8</b>	<b>12</b>	<b>16</b>

A target time is then set for each resulting defect, based on past best practice and alignment with the most recent ACoP (ref 4.3), as follows:

- 2 Hours for Priority 1 (immediate response required) – scoring high (red – 16) on the Risk Assessment matrix
- 24 Hours for Priority 2 (emergency defect identified) – scoring medium to high (orange – 12) on the Risk Assessment matrix
- 28 Days for Priority 3 (non-urgent defect identified) – scoring low to medium (yellow – 6 to 9) Risk Assessment matrix

Due to the increasing savings that are being expected from the future MTFP (Medium Term Financial Plan), this will see an increasing pressure on current service levels including the reactive maintenance. Last year (2015-16) the total number of identified potholes was approximately 8,500, the average results from performance indicators give the following:

- 2 Hours for Priority 1 (immediate response required) – 100% (top quartile)
- 24 Hours for Priority 2 (emergency defect identified) – 99% (top quartile)
- 28 Days for Priority 3 (non-urgent defect identified) - 40% (third quartile)

*The percentage figure gives the proportion that were completed within parameters; the quartile gives the relative position when compared to peer authorities in the latest APSE (Association for Public Service Excellence) survey*

As can be seen the resources are adequate for emergencies and immediate responses, but have not performed (due to challenging weather and unreliable contractors) with the non-urgent defects when the target is set at 28 days. Anecdotally other peer local authorities either have comparable or later target dates for their non-urgent defect repairs. Therefore can consideration be given to extending the 28 day limit for Priority 3 (non-urgent defects) instances to 35 days?

Retaining the 28 day target will maintain CCBC's current high standards and good defence record against insurance claims, though could (in times of high demand) divert resources from more pressing activities. A relaxation of the target to 35 days could see an increase the insurance risk, but would enhance resource programme flexibility, so becoming more responsive to immediate and emerging reactive works.

It is recommended that the 28-day response target is maintained and the risks in managing this level of service are closely monitored.

4.10.2 Inspection Frequency - this is currently based on the categorisation of the highway (the network hierarchy) and has been set out in the following table:

<b>CATEGORY</b>	<b>INSPECTION INTERVAL</b>
<b>CARRIAGEWAYS</b>	
Strategic Routes ('A' Roads) Main Distributor ('B' Roads)	4 times a year
Secondary Distributor Link Roads Local Access Roads/Rear Lanes	2 times a year
<b>FOOTWAYS/CYCLEWAYS</b>	
Prestige & Primary Walking Zones Secondary Walking Route	12 times a year
Link Footway and Cycleway remote from carriageway Local Access Footway	2 times a year
Cycle Trails	2 times a year

These intervals are based on past best practice and alignment with the most recent ACoP (ref 4.3). Anecdotally other peer local authorities either have comparable or less frequent target levels. This current inspection regime is resourced by seven inspectors who patrol the entire Caerphilly highway network.

The review is to assess whether the inspection frequency has been set at the correct level, if not what should the proposed rate be?

This will then determine the resource requirement going forward. An increased frequency rate will require more resources and should lead to better defect detection levels, less frequency would signal a reduction in resources and reduced defect detection levels.

Overall, the Council's performance for inspections is at a 100% completion and, based on our very good record at defending insurance claims, these inspection intervals are deemed appropriate.

4.10.3 Intervention criteria - this is currently based on the categorisation of the highway (the network hierarchy) and has been set out in the following table:

<b>CATEGORY</b>	<b>INTERVENTION CRITERIA (minimum defect depth)</b>
<b>CARRIAGEWAYS</b>	
Strategic Routes ('A' Roads) Main Distributor ('B' Roads)	40mm
Secondary Distributor Link Roads Local Access Roads/Rear Lanes	50mm
<b>FOOTWAYS/CYCLEWAYS</b>	
Prestige & Primary Walking Zones Secondary Walking Route	20mm
Link Footway and Cycleway remote from carriageway Local Access Footway	40mm
Cycle Trails	40mm

It takes seven inspectors to enforce the current intervention criteria (as indicated on the table above) based on past best practice and alignment with the most recent ACoP (ref 4.3), who patrol the entire highway network throughout Caerphilly. Anecdotally, as with both 4.10.1 and 4.10.2, other peer local authorities either have comparable or deeper defect intervention depths.

The review is to assess whether the intervention criteria is sufficient for reactive works to take place, if not what is the preferred minimum defect depth?

This will then determine the resource requirement going forward; shallower minimum depths that trigger intervention works will require more resources and should see a decrease in insurance claims; increased intervention depths would probably reduce resource levels, but an increase in insurance claims (both in number and severity).

From the Council's performance in terms of repudiating claims and the effects such defection sizes have on claimants, it is recommended that the intervention criteria, which are similar to most of our neighbouring authorities, remain the same.

## **5. EQUALITIES IMPLICATIONS**

5.1 A functional and correct Highway Inspection Manual will benefit the vulnerable, young and elderly, by ensuring the infrastructure on which other services depend (including emergencies), remains robust throughout the year.

## **6. FINANCIAL IMPLICATIONS**

6.1 The Reactive Maintenance budget has been retained at £1,315k from last year. This budget covers the following activities:

- Emergency call-outs for out-of-hours works
- Safety defect repairs on carriageways and footways (2 hour to 24 hour responses)
- Safety defects on carriageways and footways (28 days responses) reactive works

The expenditure of this budget is regularly over its annual target, as it represents (along with Winter Maintenance) the most responsive part of the service and is subject to the day-to-day incidents and unexpected circumstances. So far, with careful financial accounting and managing these variable factors, the Highway Operations budget has been balanced at financial year end.

## **7. PERSONNEL IMPLICATIONS**

7.1 There are no direct personnel implications from this endorsement.

## **8. CONSULTATIONS**

8.1 All comments received have been taken into consideration and are included in the report.

## **9. RECOMMENDATIONS**

9.1 For Scrutiny Members to comment on the content and annual review process for the HIM, considering the key issues as outlined in 4.10. With the recommendations being:

- That the 2 hour, 24 hour and 28-day response targets are maintained with the management for this current service level being closely monitored, especially for the Priority 3 (non-urgent defect identified) 28 day target.
- To maintain the inspection intervals, as they currently stand.
- To maintain the current intervention criteria on road and footway defects.

9.2 To consider and offer comments in relation to the existing HIM, prior to consideration by Cabinet.

## **10. REASONS FOR RECOMMENDATIONS**

10.1 The recommendations are put forward on the basis that, with current levels of resources, the level of service can still be maintained and any lowering in the response time targets, inspection intervals and intervention criteria would heighten the risk of successful highway insurance claims against the Council. These would need to be reviewed with any negative impact on resource levels from future MTFPs.

10.2 To provide comments and views with regards to the existing HIM, prior to approval by Cabinet.

## **11. STATUTORY POWER**

11.1 Highway Act 1980.  
Flooding & Water Management Act 2010  
Well-being of Future Generations (Wales) Act 2015

Author: Graham Parry, Highway Operations Group Manager  
Consultees: Cllr T Williams – Cabinet Member for Highways, Transportation & Engineering  
Cllr D T Davies – Chair of Regeneration and Environmental Scrutiny Committee  
Cllr E Aldworth – Vice Chair of Regeneration and Environmental Scrutiny Committee  
Chris Burns – Interim Chief Executive  
Christina HARRY - Corporate Director – Communities  
Nicole Scammell, Acting Director of Corporate Services and S.151  
Terry Shaw – Head of Engineering Services  
Colin Jones - Head of Performance & Property Services  
Gail Williams – Interim Head of Legal Services/Monitoring Officer  
Stephen Harris – Interim Head of Corporate Finance  
Rob Hartshorn – Head of Public Protection  
Mike Eedy – Finance Manager  
Trish Reardon – HR Manager  
Anwen Rees – Senior Policy Officer – Equalities and Welsh Language  
Gareth Richards – Highway Management Manager  
Steve Hodges – Network Management Manager  
Andrew Southcombe, Finance Manager (Corporate Services)

Background Papers:

Well-maintained Highways - Code of Practice for Highway Maintenance Management. (Roads Liaison Group) - July 2005.

Appendices:

Appendix A – Highways Operations Group Framework  
Appendix B – Highway Inspection Manual (HIM) – Parts 1 & 2

# HIGHWAY OPERATIONS GROUP FRAMEWORK

## Introduction

Highway Operations Group have the responsibility of maintaining the highway and associated infrastructure for Caerphilly County Borough Council, covering an asset that collectively amounts to £2 billion. Its principal purpose is to:

- ❖ Protect and maintain the highway network.
- ❖ Ensure safe, effective use and development of the highway network.
- ❖ Develop and deliver a range of engineering projects to improve the highway
- ❖ Deliver integrated and sustainable transportation and engineering projects.

The many facets of Highway Operations means that the processes and procedures can be both distinct and overarching, leaving the need to both identify the functions within the Group and consolidate them into distinct areas of work. To this end a framework has been produced to form the structure on which these areas of work can be placed, giving a comprehensive overview of the extent and nature of the work that is carried out by the Highway Operations Group. The division of the Framework is as follows:

- Asset Management Plan – how the Council’s assets are identified, assessed, inspected, maintained and recorded
- Highway Maintenance Plan – how Highway Operations maintain the highway assets (highways, footways, bridges, drainage etc.)
- Highway Operations Plan – how Highway Operations carry out tasks that do not have a direct connection with the Council’s highway assets (out-of-hours duties, utility works inspections etc.)

These headings are then subdivided where the function covers an extensive area, such as Highways Inspection and Winter Maintenance. Further these areas will overlap with other areas such as Standby duties and NCS. In these cases the principal operational document will detail the duplicated practices/ process/ procedure and the more bespoke work area will be referenced in the appropriate section(s).

Whilst each document will be written on a stand-alone basis; reference to other will be frequently made. Each document will be formed on the basis of:

- What we do
- Why we are doing it
- How we are doing it
- The authorisation required to do the work
- The mechanism for review and alteration of the document
- Lead officer responsible for the document
- Specific training needs

**KEY:**

- Document to be reviewed
- Document under separate review
- Documents pending review

# HIGHWAY OPERATIONS GROUP FRAMEWORK

## HIGHWAY ASSET MANAGEMENT PLAN

## HIGHWAY MAINTENANCE PLAN

## HIGHWAY OPERATIONS PLAN

### HIGHWAY INSPECTION MANUAL

Staff set up  
Inspections/  
Frequencies  
Actions  
undertaken  
Recording  
and  
registration

### TIPS MAINTENANCE & RECYCLING

Staff set-up  
Programme  
annual and 15  
year cycle  
Sequence of  
works  
Existing types  
and methods  
of recycling  
segregating  
waste &  
materials  
Assessment  
of processes  
New  
proposals

### DRAINAGE MAINTENANCE

Drains &  
Gullies:  
Staff set up  
Inspections  
Works  
undertaken

### STRUCTURES

Bridges  
Retaining  
Structures  
Culverts

### PLANNED WORKS

Assessing  
carriageway  
/ footway  
Resurfacing  
/ surface  
dressing  
Slurry  
sealing  
Assessment  
and  
processing  
of existing /  
new VRS  
Procedure  
for works  
undertaken

### STREET LIGHTING

Staff  
organisat'n  
Asset  
mainten'ce  
function  
Inspections/  
frequencies  
Activities  
and works  
carried out  
Registration  
and  
recording  
Initiatives

### WINTER MAINTENANCE PLAN

Staff  
Organisation/  
set-up  
Functions of  
Winter  
Maint'ce  
Inspection/  
detection  
Route/  
Actions  
prioriti'n  
Works  
processes  
and  
frequency

### NCS DUTIES

Maint'ce  
duties  
Footways  
Structures  
SEW  
Contract

### STANDBY DUTIES

Shift  
arrange'ts  
Require'ts  
for duties

### LICENSES

Staff set up  
Inspections  
Notification  
Penalties

### UTILITIES & NRSWRA DUTIES

Staff set up  
Inspections  
Actions  
undertaken

### BUILDING & DEPOT MANAGEMENT

System set  
up  
Inspections/  
Frequencies  
Actions  
undertaken  
Recording  
and  
registration



# Caerphilly County Borough Council Highway Inspections Manual

First edition July 2016

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## Preface

Caerphilly County Borough Council's (CCBC) **Highway Inspections Manual** sets out the Council's procedure for carrying out highway safety and service inspections.

The objective of this manual is to make the highway safer for all users and to provide a reference text to all staff within the Highway Operations Group. It should also provide a useful medium to other departments and stakeholders highlighting the extent of the Highways Inspection regime. Moreover it will be a standard issue document to all new employees.

To meet the overriding objective of making the highway safer for all users, a risk management approach is used to assess defects and prioritise treatments, in line with the approved code of practice (ACoP) for Highway maintenance 'Well-Maintained Highways 2005 (Appendix I). The manual explains the reasons for implementing the risk management approach in terms of best practice.

The manual is split into four parts. Part 1 explains the background and policy for the highway inspection process. Part 2 provides guidance on how inspections should be carried out. Part 3 of the manual provides photographic and written guidance for Council highway inspectors to help assess highway defects. The final section, Part 4 of the manual is the appendices for the 'Highways Code of Practice' and standard letter templates.

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## **PART 1 Background and policy information**

### **1.1 Purpose and Scope**

The establishment of an effective regime of inspection, assessment and recording is central to effective and efficient highway maintenance and key to addressing the fundamental objectives of highway maintenance strategy, these being:

- Network safety
- Network serviceability
- Network sustainability

This Highway Inspections Manual defines the characteristics of the inspection regimes, including frequency of inspection, items to be recorded and nature of response. They are all set within the context of the County Borough Council's overall policy and maintenance strategy.

The manual has also been developed with the following specific objectives in mind;

- To ensure network safety and best value through the application of a defined auditable inspection strategy
- To assist in providing a high-quality, responsive highway maintenance service to our customers
- To follow current best practice by implementing a risk-based defect assessment process
- To provide clearly documented inspection guidance for highway inspection personnel at all levels

By providing guidance to personnel involved in undertaking highway safety inspections, it is the intention that they can carry out their duties with consistency and to clear, recognised and understood criteria. This guidance covers the risk assessment procedure to identify how defects are prioritised and how an appropriate response is determined. It forms part of the training programme for new inspectors and is also an aide-memoir to established inspectors.

The manual can also be used as a guide to non-professionals to explain the highway inspections process in a clear, unambiguous way, such as in claims and legal proceedings against the Council, as well as in dealing with enquires from the public.

The Highway Inspections Manual covers:

### *Safety Inspections*

Safety inspections are carried out at regular frequencies that are set to reflect the level of use and importance of the road or footway. These inspections are designed to identify all defects likely to create danger or serious inconvenience to users of the network or the wider community.

### *Service Inspections*

Service inspections are more detailed inspections of particular highway features and are designed to ensure that they meet serviceability requirements. The scale and scope of these inspections will reflect the Authorities policy objectives, support their asset management objectives and maintenance planning.

### *Ad-hoc Inspections*

These are also undertaken via complaints from members of the public or other internal departments. In addition to any defects that are noticed whilst carrying out routine duties.

## **1.2 Legal Requirements**

The Highways Act 1980 sets out the main duties of highway authorities in England and Wales. In particular, Section 41 imposes a duty to maintain highways maintainable at public expense, and almost all claims against authorities relating to highway functions arise from the alleged breach of this section.

Caerphilly County Borough Council undertake safety inspections in accordance with the principles of the most current Code of Practice 'Well-Maintained Highways - Code of Practice for Highway Maintenance' in order that, where necessary, they are able to support a defence under Section 58 of the Highways Act 1980. This requires that a court shall have regard to 'whether the highway authority knew or could reasonably be expected to know, that the condition of the part of the highway to which the action relates was likely to cause danger to users of the highway'.

This defence is dependent upon there being in place adequate policies and procedures to maintain the highway, that the policies and procedures were being enacted, and that there was no prior knowledge of "the defect" before the incident date. Caerphilly County Borough Council carry out inspections on a systematic basis-and will defend claims in court on the basis that it has made a reasonable effort to locate and rectify defects. In order to meet this requirement Caerphilly County Borough Council will consider the following:

- An assessment of network, network users interface and risk.
- The regime of safety inspections and record keeping

- The manner in which complaints and accidents statistics are recorded and dealt with
- The response times for carrying out repairs, along with a system for recording and analysing the efficiency and effectiveness of the repair.

In establishing reliability of records, the level of training provided to inspectors is relevant, and qualifications are recorded, including corroboration on when and where they were trained and retrained.

In defending an action, the highway authority will need to establish that it has acted reasonably, by the production of adequate documentation and evidence. This will include:

- Inspection records - maintenance management systems
- Reliability of records – inspectors need to be trained as to what constitutes a defect. Inspector's qualifications also need to be recorded as well as updates.

This is particularly important in the case of network safety, where information may be crucial in respect of legal proceedings. It is important to recognise, however, that all information recorded, even if not primarily intended for network safety purposes, may have consequential implications for safety and may therefore be relevant to legal proceedings. It is also important to recognise that, following the introduction of the Freedom of Information Act 2000, all records are potentially available for public inspection and reference.

### **1.3 Roles and responsibilities in delivering highway inspections**

Within Caerphilly County Borough Council's Highway Operations Group, the main responsibility for maintenance of the Highway asset resides with the Highways Maintenance Manager. For this function his staff consist of the Highways Maintenance Engineer, Highway Maintenance Technician and 7 Highway Inspectors who patrol and govern the authority's asset.

The inspectors are supervised by the Highways Maintenance Engineer, who in turn reports to the Highways Maintenance Manager. The following roles are outlined below:

*Gareth Richards – Highways Maintenance Manager*

This role ensures compliance with both The Highways Act 1980, in particular, Section 41 and the 'Well-Maintained Highways - Code of Practice for Highway Maintenance'.

*Gavin Barry – Highways Maintenance Engineer*

This role covers the daily supervision of the Highway Inspectors and provides an interface between the client and the contractor, ensuring that the inspections schedules are maintained and that all works are compliant.

### *Highways Technician*

To support the Highway Maintenance Engineer and act as the link between NCS (in-house contractor)/ external contractors and the Highway Maintenance function within the Group. Inspecting and assessing work lots, then rectifying any identified works defects.

### *Highways Inspectors (seven)*

This primary function of this role is to police the highway network and to carry out periodic inspections of the authorities highway asset. All relevant data that is collected on site, either from scheduled inspections or ad-hoc visits is saved electronically via 'Exor/Mayrise.

In addition, they are responsible for dealing with matters relating to the control of use of the highway, in terms of:

- Approving the issue of licences for skips,
- Vehicles for sale (causing an obstruction)
- Contractors working on the highway (including section 171)
- All emergencies that may arise that affect the highway on a 'round the clock' basis

The Highway Inspector accepts responsibility for the accuracy of the information recorded whilst undertaking safety inspections. In certain circumstances, this person may be called into a Court of Law to substantiate their recordings or actions.

The highway network is divided into seven separate areas (ref to Figure 1 of Inspection Areas). These areas have been assessed on their geography, the length of network and the number of service requests generated for that particular area. . Based on this information an informed decision has been made to determine the geographical limits of an Inspectors area ensuring that adequate resources are available. This assessment allows each inspector has sufficient time to perform the appropriate inspections per annum, as set out in the Network Hierarchy.

Within the highway maintenance department monthly or quarterly meetings are held between the operational staff. This ensures that any dynamic changes to the highway or amendments to the existing asset (new adoptions etc) are discussed and recorded.



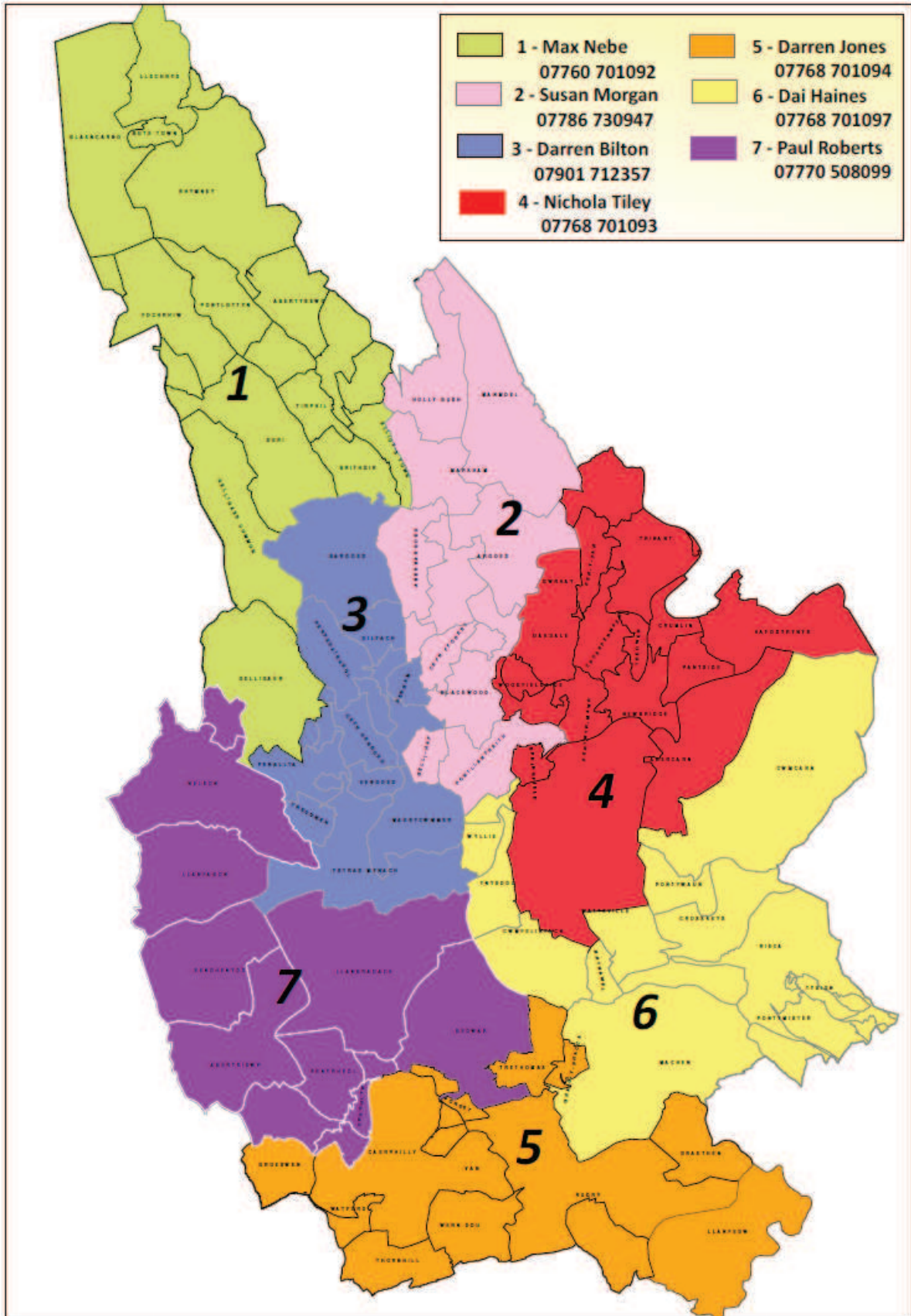
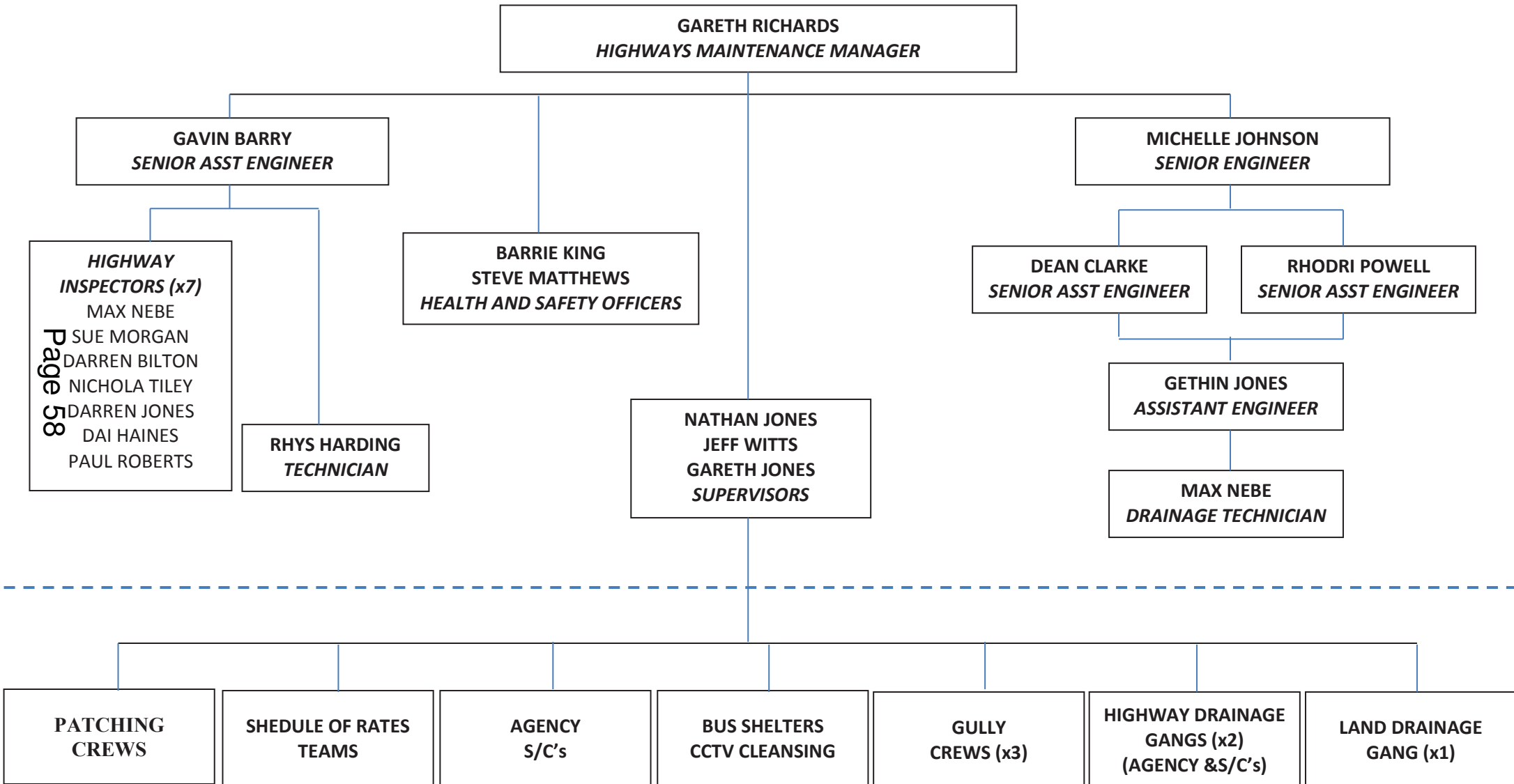


Figure 1 Inspection Areas

The following organisational structure shows how highway inspections are resourced:





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#### 1.4 References to existing Policy and Guidance Documents

The guidance given in this Highway Inspections Manual is to be read in conjunction with the following Caerphilly Council policy and guidance documents and linked to the authority's corporate objectives.

**Table 1 Summary of existing policy and guidance documents**

Plan Name	Description
Divisional Service Improvement Plans	Outlines key areas and objectives within the service area, providing strategic aims of the department.
Grounds Maintenance Plan	Provides information on areas that are maintained periodically, highlighting treatment frequency as well as plans pinpointing extent of ownership
Highway Asset Management Plan	A plan for management, preservation and enhancement of the highway asset base to deliver prescribed levels of service and meet the needs of current and future customers
Technical Data Surveys	Provides technical analysis of the highway asset (such as SCRIM, Skid resistance etc.). Information provided is then used in detailed assessments of the network.
CRM Manual	Plan outlining how CCBC (Caerphilly County Borough Council) deals with customer interaction and the recording of 'service requests'
Highway Tree Policy	This document explains CCBC responsibilities, strategy and policy in respect to the Highway Tree Policy.
At Risk Culvert List	Highlights 'at risk culverts' throughout the authority that require routine maintenance and their hierarchy of threat level.
Winter Maintenance Policy	This document explains CCBC responsibilities, strategy and policy in respect to the management of the highway infrastructure network through a defined winter maintenance period.
Management of Highway Structures	This document explains CCBC responsibilities, strategy and policy in respect to the Management of Highway Structures
Out of Hours Duty Officer Manual	CCBC operates 24hr emergency callout operation throughout the whole year. This document outlines the procedures, hierarchy and control measures that have to be followed when dealing with an emergency, outside normal working hours

## 1.5 Network Hierarchy

A network hierarchy is used to classify the maintenance network on the basis of the volume and composition of traffic using it. The hierarchy also takes into account the risk assessment and the role of the particular section of the carriageway, footway or cycleway in the network.

The hierarchy is the foundation of a coherent, consistent and auditable maintenance management plan and is fundamental in determining policy priorities. It is the link between maintenance policy and implementation and is used to assist in determining standards for maintenance and new construction.

Network hierarchies are annually reviewed via regular meetings to reflect changes in network characteristics and use, so that maintenance policies, practices and standards reflect the actual current use of the network.

The aim of the road hierarchy is to:

- Allow structured programmes of inspections to be developed and statutory duties to be fulfilled
- Allocate resources according to the importance of the road within the network
- Set policies and standards according to the importance of the road within the network.

It is the intention to use the road hierarchy as a key indicator of the standard of repair required to keep the road in reasonable condition having regard to its function and the volume of traffic using it.

Caerphilly Council's highway network classifications can be seen in the tables 2 to 4 below and are set-out in accordance with the latest code of practice for 'well maintained highways.

**Table 2 Carriageway hierarchy**

Category	Hierarchy Description	Type of Road	Description
2	Strategic Route	Principal roads between Primary Destinations	Routes of fast moving long distance traffic with little frontage access or pedestrian traffic. Speed limits are usually in excess of 40mph and there are few junctions. Pedestrian crossings are either segregated or controlled and parked vehicles are generally prohibited
3a	Main Distributer	Major Urban Network and Inter-Primary Links. Short-medium distance traffic	Routes between Strategic Routes and linking urban centres to the strategic network with limited frontage access. In urban areas speeds limits are usually 40mph or less, parking is restricted at peak times and there are positive measures for pedestrian safety
3b	Secondary Distributer	Classified Road (B and C class) and unclassified urban bus routes carrying local traffic with frontage access and frequent junctions	In rural areas these roads link the larger villages and HGV generators to the Strategic and Main Distributer Network. In built up areas these roads have 30mph speed limits and very high levels of pedestrian activity with some crossing facilities including zebra crossings. On-street parking is generally unrestricted except for safety reasons
4a	Link Road	Roads linking between the Main and Secondary Distributer Network with frontage access and frequent junctions	In rural areas these roads link the smaller villages to the distributor roads. They are capable of carrying two-way traffic. In urban areas they are residential or industrial inter-connecting roads with 30mph speed limits random pedestrian movements and uncontrolled parking
4b	Local Access Road	Roads serving limited numbers of properties carrying only access traffic	In rural areas these roads serve small settlements and provide access to individual properties and land. They are often only single lane width and unsuitable for HGV's. In urban areas they are often residential loop roads or cul-de-sacs.

**Table 3 Footway hierarchy**

Category	Hierarchy Description	Description
1(a)	<i>Prestige Area</i>	<i>Very busy areas of towns and cities with high public space and street scene contribution</i>
1	<i>Primary Walking Route</i>	<i>Busy urban shopping and business areas and main pedestrian routes</i>
2	<i>Secondary Walking Route</i>	<i>Medium usage routes through local areas feeding into primary routes, local shopping centres etc.</i>
3	<i>Link Footway</i>	<i>Linking local access footways through urban areas and busy rural footways.</i>
4	<i>Local Access Footway</i>	<i>Footways associated with low usage, short estate roads to the main routes and cul-de-sacs.</i>

**Table 4 Cycleway hierarchy**

Category	Description
A	<i>Cycle lane-forming part of the carriageway, commonly 1.5 metre strip adjacent to the nearside kerb. Cycle gaps at road closure point (no entries allowing cycle access)</i>
B	<i>Cycletrack, a highway route for cyclists not contiguous with the public footway or carriageway. Shared cycle/pedestrian paths, either segregated by a white line or other physical segregation, or un-segregated.</i>
C	<i>Cycle trails, leisure routes through open spaces. These are not necessarily the responsibility of the highway authority, but may be maintained by an authority under powers or duties</i>



## 1.6 Condition Standards

This section outlines how different highway features contribute to the core objectives of safety, serviceability and sustainability. The table below shows how each element of the highway contributes to these core objectives list is not exhaustive).

**Table 5 Inventory items and their contribution to strategic objectives**

Inventory Item	Safety	Serviceability	Sustainability
Carriageway	Nature, extent and location of surface defects; Nature and extent of edge defects; Nature and extent of surface skidding resistance.	Nature and extent of surface defects;	Nature and extent of surface defects; Nature and extent of carriageway deflection.
Footways	Nature, extent and location of surface defects; Nature and extent of kerb and edging defects.	Nature and extent of surface defects; Extent of encroachment and weed growth; The slipperiness of the surface; The quality of the surface; Integrity of the network.	Convenience and ease of use; Nature extent and location of surface defects; Extent of damage by over-running and parking.
Cycle Routes and Safe routes to schools	Nature, extent and location of surface defects; Nature and extent of kerb and edging defects.	Nature and extent of surface defects; Extent of encroachment and weed growth; The slipperiness of the surface; The quality of the surface; Integrity of the network.	Convenience and integrity of the network; Nature extent and location of surface defects; Extent of damage by over-running and parking.
Drainage	Accumulation of water on carriageways, footways and cycle routes.	Accumulation of water on carriageways, footways and cycle routes.	Polluted effluent from highway drainage should not be directed into watercourses Authorities have a duty to prevent flooding, work with others to minimise the future risk of flooding Inadequate drainage will

Inventory Item	Safety	Serviceability	Sustainability
			reduce effective life of carriageway or footway asset and increase maintenance liability.
Embankments and Cuttings	Risk of loose material falling to injure users or damage facility.	Risk of damage or service interruption.	Damage or loss of habitat; Interruption or pollution of watercourse; Extent of damage and reduced life.
Landscaped areas and Trees	Obstruction to user visibility and legibility of traffic signs; Falling branches from trees; Root growth affecting surface regularity.	Potential for service interruption; Quality of user experience.	Landscape conservation; Mitigation of climate change effects; Support for habitat and biodiversity; Problems of root growth for surface, structure and highway drainage
Fences, Barriers and Highway safety restraints	Integrity and location of safety fencing for vehicles and pedestrians.	Risk of livestock disrupting traffic. Service interruption and essential for highway safety	Appearance and condition of fencing.
Signs and Bollards	Identification of risk to users; Separation of potential traffic conflicts.	Contributes to ease of use; Contributes to network integrity	Support of sustainable transport mode; Contribution to local economy; Heavy traffic routing can optimise maintenance.
Road Markings and Studs	Route delineation in darkness and poor weather; Potential for damage and injury if loose.	Ease of use in darkness and bad weather;	Support of sustainable transport modes; Edge delineation to reduce edge damage; Movement of wheel tracking to reduce localised damage.
Traffic signals and crossings	Separation of potential traffic conflicts; Key safety contributor for vulnerable road users.	Contributes to ease of use and efficiency; Contributes to network integrity.	Support of sustainable transport modes; Support for local economy.

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## 1.7 Performance Monitoring and Improvement

Performance indicators should be monitored and reviewed to assess current performance and identify a programme of improvement. The review programme is set out in Table 10 (Defect Intervention levels). The review should be undertaken using a risk management approach and introduce changes to ensure that the Health and Safety, Environmental, Political and Financial risks both to users and the Authority are managed effectively. The changes made are then measured, and improvements assessed and future targets set to ensure continual improvement.

Caerphilly County Borough Council continuously monitors all aspects of data in relation to the Highway Inspection process. Monthly reviews are undertaken to ensure that inspection frequency targets are maintained and Service Requests are completed within timescales.

---

## **PART 2 Inspection Procedures**

### **2.1 Introduction**

Caerphilly County Borough Council undertakes regular inspections of all its adopted highway network. This section provides further details on these procedures.

### **2.2 Overview of the process of highway inspections**

Figure 2 describes the process for inspection, assessment and evaluation of defects, both during routine “safety” or ad-hoc inspections and those reported by third parties, or otherwise generated during the operations of the council.

It should be noted that all inspections are undertaken as visual inspections only with no physical actions undertaken during the preliminary visit.

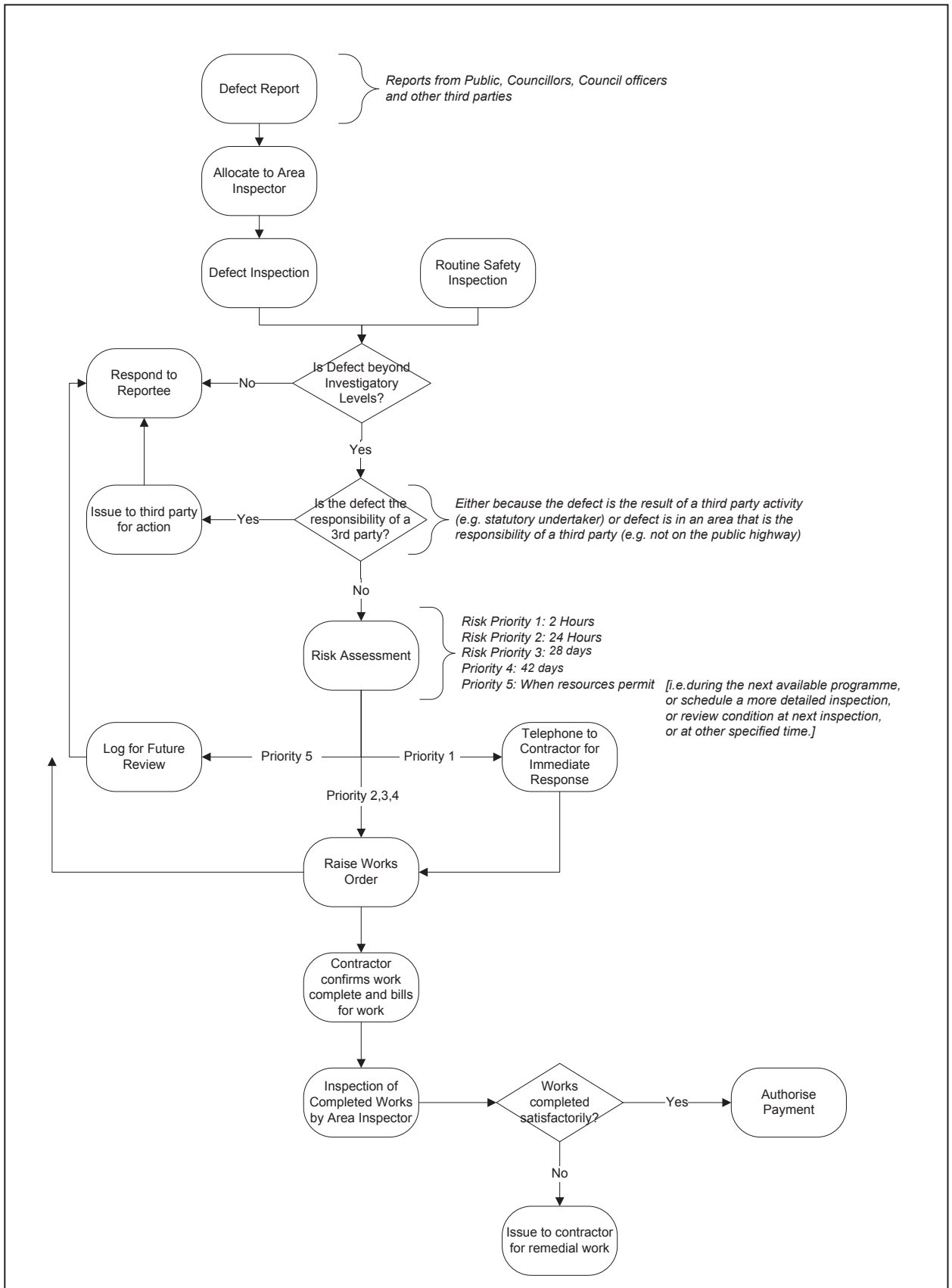
The Council’s inspection process is informed by risk assessment principles, both in determining the frequency of inspections and in determining the type and speed of response to a defect.

### **2.3 Record keeping and data managing**

All information obtained from the highway safety inspections, together with the nature of the response, including all nil returns shall be recorded consistently. The information obtained will be able to be reviewed independently and in conjunction with other survey information. Highway Inspection returns are recorded on ‘Mapcapture’ which is a generic OS (Ordnance Survey) for data capturing Highway Inspection. All data fed from this process will be stored electronically within Exor/Mayrise and Mayrise.

Each inspection must be recorded against the relevant unique street section number. Additional information relating to the overall condition of both the footway and carriageway should be observed during each inspection. This information is utilised for both identifying potential treatments and as an update to the asset management register.

The Exor/Mayrise system makes provision for recording service requests, complaints, reports or information from users and other third parties. These may require immediate action, special inspection, or influence future inspection or monitoring arrangements (refer to Appendix A for further details and screenshots from Exor/Mayrise).



**Figure 3 Overview of the process of highway inspections**

## 2.4 Summary of Highway inspections

**Table 9 Summary of inspection types and procedures**

Inspection type	Asset Description (Coverage)	Survey methodology	Data recording methodology	Defects and Investigatory Levels (degree of deficiency)	Inspection frequency and guidance to be used **	Nature of response (times and procedure etc)
<b>Safety Inspections</b>						
Carriageway	Carriageways, Pedestrian crossings, Surfacing, Kerbing Ironwork, Drainage Road markings, Signs, bollards, lights, signals, Safety fencing and barriers, trees and vegetation	Driven/Walked	Manually logged until return to office base, where information is saved electronically into Exor/Mayrise	Refer to Table 10	Variable according to category. Refer to Table 10 in part 2	Risk Matrix - Tables 11 and 12
Footway	Pedestrian crossings Surfacing, Kerbing Ironwork, drainage, markings, signs, bollards, lights, barriers, trees and vegetation	Walked	Manually logged until return to office base, where information is saved electronically into Exor/Mayrise	Refer to Table 10	Variable according to category. Refer to Table 10 in Part 2	Risk Matrix - Table 12
Cycleway	Pedestrian crossings Surfacing, Kerbing Ironwork, drainage, markings, signs, bollards, lights, barriers, trees and vegetation	Walked/ Cycled	Manually logged until return to office base, where information is saved electronically into Exor/Mayrise	Refer to Table 10	Variable according to category. Refer to Table 10 in Part 2	Risk Matrix - Table 12
<b>Service Inspections (including Detailed Inspection)</b>						
Structural Maintenance	Bridges, Structures	Driven/Walked	Manually logged until return to office base, where information	Visual inspection only and refer to Structures department	Variable according to category. Refer to Table 10 in Part 2	Refer to structures department

Inspection type	Asset Description (Coverage)	Survey methodology	Data recording methodology	Defects and Investigatory Levels (degree of deficiency)	Inspection frequency and guidance to be used **	Nature of response (times and procedure etc)
			<i>is saved electronically into Exor/Mayrise</i>			
<i>Structures</i>	<i>Bridges, Structures, Retaining Wall Inspections, Safety Barrier - Routine Structural Inspection</i>	<i>Driven/Walked</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	<i>Visual inspection only and refer to Structures department</i>	<i>Variable according to category. Refer to Table 10 in Part 2</i>	<i>Refer to structures department</i>
<i>Bridge Assessment (and Strengthening)</i>	<i>As above</i>	<i>Driven/Walked</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	<i>Visual inspection only and refer to Structures department</i>	<i>Variable according to category. Refer to Table 10 in Part 2</i>	<i>Refer to structures department</i>
<i>Tips (disused mines and quarries)</i>	<i>Stability of disused tips</i>	<i>Walked</i>	<i>Manually recorded</i>	<i>Refer to Tips Inspection Manual</i>	<i>Refer to Tips Inspection Manual</i>	<i>Refer to Tips Inspection Manual</i>
<i>Street lighting and Illuminated Traffic Signs equipment</i>	<i>Streetlights, feeder pillars</i>	<i>Walked/ Driven</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	<i>Refer to Street Lighting Department</i>	<i>Refer to Street Lighting Department</i>	<i>Refer to Street Lighting Department</i>
<i>Highway Drainage</i>	<i>Condition assessment for gullies</i>	<i>Walked</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	<i>Refer to drainage section</i>	<i>Refer to drainage section</i>	<i>Refer to drainage section</i>
<i>Land Drainage</i>	<i>Culverts</i>	<i>Walked/ Driven</i>	<i>Manually logged until return to</i>	<i>Refer to Land drainage</i>	<i>In line with inspection schedule, Ad hoc basis</i>	

Inspection type	Asset Description (Coverage)	Survey methodology	Data recording methodology	Defects and Investigatory Levels (degree of deficiency)	Inspection frequency and guidance to be used **	Nature of response (times and procedure etc)
			<i>office base, where information is saved electronically into Exor/Mayrise</i>	Department	<i>and via service requests</i>	
<i>Street works inspections</i>	<i>Statutory undertakers (utility) defect</i>	<i>Walked/ Driven</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	Refer to NRSWA department	In line with inspection schedule, Ad hoc basis and via service requests	
<i>Condition assessment surveys</i>	<i>Skid resistance, CVI, DVI</i>	<i>Walked/ Driven, Visual only</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	Record as per inspections and refer to Highways Engineer	In line with inspection schedule	
<i>Inspections for Network Integrity (relating to operational efficiency)</i>	<i>Traffic signs or markings</i>	<i>Walked/ Driven</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	If signs are obscured or damaged, action as necessary	In line with inspection schedule	
<i>Inspections for Regulatory Purposes (regulation and enforcement activities)</i>	All assets within the Highway	<i>Walked/ Driven</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	Varies depending on action/ notice served	Undertaken as part of routine inspections, on a ad-hoc basis and via service requests	Refer to table



Inspection type	Asset Description (Coverage)	Survey methodology	Data recording methodology	Defects and Investigatory Levels (degree of deficiency)	Inspection frequency and guidance to be used **	Nature of response (times and procedure etc)
<i>'Ad-hoc' inspections</i>	<i>Carriageways, Pedestrian crossings, Surfacing, Kerbing Ironwork, Drainage Road markings, Signs, bollards, lights, signals, Safety fencing and barriers, Trees and vegetation</i>	<i>Walked/ Driven</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	Refer to table 10	Adhoc basis not routine	Refer to table
<i>Inspection of 'requests for service'</i>	<i>All assets within Highway</i>	<i>As required</i>	<i>Manually logged until return to office base, where information is saved electronically into Exor/Mayrise</i>	Refer to table 10	Adhoc basis not routine	Refer to table

## 2.5 Defect risk assessment process (Safety Inspections)

The Highway inspections procedure has been developed using a risk assessment process in order to provide a practical but robust approach to managing the risks identified. The inspection regime should take account of the potential risks to all road users, and in particular those most vulnerable. The process is summarised below:

1. Risk Identification, where a defect is identified as a potential risk
2. Risk Evaluation, where the nature and degree of risk is assessed based upon the likelihood of an incident resulting from a defect and the impact of that incident, should it arise
3. The selection of a response appropriate to the assessed level of risk

### 2.5.1 Risk identification

Any item with a defect level which corresponds to, or is in excess of the defect intervention level adopted by the Council is to be assessed for likely risk.

The basis for the identification of risk in relation to highway defects is the use of “intervention” levels. These are set out in the table below, and are intended to be a guide for inspectors, who will also exercise their discretion in identifying defects that present risks, particularly where not included below:

**Table 10 Defect Intervention levels**

<b>CATEGORY</b>	<b>INSPECTION INTERVAL</b>	<b>DEFECTS - DEFINITION</b>
<b>CARRIAGEWAYS</b>	<b>(SAFETY)</b>	<b>TRIPPING HAZARDS</b>
Strategic Routes ('A' Roads) Main Distributor ('B' Roads)	<b>3 Months</b>	<b>40mm</b>
Secondary Distributor Link Roads Local Access Roads/Rear Lanes	<b>6 Months</b>	<b>50mm</b>
<b>FOOTWAYS/CYCLEWAYS</b>		<b>TRIPPING HAZARDS (Inc. protrusions)</b>
Prestige & Primary Walking Zones Secondary Walking Route	<b>1 Month</b>	<b>20mm</b>
Link Footway and Cycleways remote from carriageway Local Access Footway	<b>6 Months</b>	<b>40mm</b>
<b>C. Cycle Trails</b>	<b>1 Year</b>	<b>40mm</b>

<b>GENERAL – other ‘emergency’ safety defects (not exhaustive)</b>
<ul style="list-style-type: none"> <li>● Missing covers – manholes, inspection chambers, gullies, stop taps etc.;</li> <li>● Lighting columns/illuminated signs – missing door/exposed electrical cables;</li> <li>● Unsafe roadwork’s sites;</li> <li>● Recently damaged safety barrier systems;</li> <li>● Traffic Signals – complete failure;</li> <li>● Missing slabs/kerbs;</li> <li>■ Obstructions including major c/way flooding</li> </ul>

### 2.5.2 Risk assessment

Having identified a defect that presents a potential risk, a structured process of assessing the defect in-line with Caerphilly Councils intervention ensues. This considers the probability of the defect resulting in an incident and, should an incident arise, the potential level of impact.

**Table 11 Risk assessment matrix**

<b>Probability Impact</b>	<b>Very low</b>	<b>Low</b>	<b>Medium</b>	<b>High</b>
<b>Negligible</b>	1	3	3	4
<b>Low</b>	2	4	6	8
<b>Noticeable</b>	3	6	9	12
<b>High</b>	4	8	12	16

Inspectors assess the risk probability on a scale of 1 to 4 as follows:

1. 0-4 Very Low – No action
2. 8-9 Low – standard 28 day works instruction
3. 12 Medium – 24hr Emergency Response
4. 16 High – 2hr Emergency Response

The probability is a reflection of the likelihood of a user (i.e. pedestrian, cyclist or vehicle) encountering the risk, and as such, the inspector will need to take into account the following:

- The amount of vehicular or pedestrian flow
- The network hierarchy
- The defect location within the street
- The likelihood of further deterioration

The impact is quantified by assessing the extent of damage likely to be caused should the risk become an incident. As the impact is likely to increase

with increasing speed, the amount of pedestrian or vehicular traffic and type of road, are clearly important considerations in the assessment, as is hierarchy, as a reflection of the type of pedestrian or vehicular traffic likely to encounter the defect. Having assessed and categorised, an appropriate response is determined.

**Table 12 Priority and Response times**

Priority	Response
Priority 1	2 Hours
Priority 2	24 Hour Response
Priority 3	28 Day Response

When assessing each defect and the subsequent response time, the inspector may consider the following (this list is indicative and does not include every factor):

- The depth, surface area or other degree of deficiency of the defect or obstruction
- The volume, characteristic and speed of traffic
- The location of the defect relative to highway features such as junctions and bends
- The location of the defect relative to the positioning of users, especially vulnerable users, such as in traffic lanes or wheel tracks
- The nature of interaction with other defects
- Forecast weather conditions, especially potential for freezing or surface water

### 2.5.3 Risk management

Risk management can be defined as:

“The process of identifying significant risks to achieve an authority’s strategic and operational objectives, evaluating the potential consequences and determining and implementing the most effective way of controlling and monitoring them”

Risk management is an essential tool for asset management and is a requirement of the CoP (Code of Practice). It informs the development of safety inspection regimes contributes to the establishment of levels of service and determines priorities, hierarchies, programmes and procurement strategies.

In relation to highway inspections, risk management principles can be applied to:

1. Determine the frequency of inspections for particular sections of road, footway and cycletrack.
2. Determine the guidance for inspectors set out in this document as to investigation levels for defects in particular circumstances.
3. Determine whether defects and incidents encountered during inspections present a risk to users of the roads or to the integrity and future performance of the road
4. Determine an appropriate response to a defect or incident.

## **2.6 Highway Safety Inspections**

### **2.6.1 Introduction**

Safety inspections are carried out at regular frequencies that vary in accordance with the level of use and importance of the road or footway. They are designed to identify all defects likely to create danger or serious inconvenience to users of the network or the wider community. The risk of danger is assessed on site and an appropriate priority response identified.

Caerphilly County Borough Council has set its own standards for the frequency of its highway safety inspections. These take into account National guidelines for the definition of highway type, hierarchy and inspection frequencies issued in the latest Code of Practice for maintenance management, 'Well Maintained Highways (2009)'.

### **2.6.2 Inspection mode**

Driven inspections should always be undertaken by two people in a slow moving vehicle in both directions, with one person driving and the other carrying out the inspection. The driver does not actively record defects as they are expected to manoeuvre the vehicle on a safe passage.

The vehicle used for the driven inspection has to be equipped with a roof mounted high intensity beacon, reflective markings and a first aid kit. Traffic sensitive routes should be inspected outside of the main peak flow periods.

Walked inspections are undertaken alone. If the section of network being assessed only has a footway on one side then the inspector is able to survey both the footway and carriageway simultaneously. If there is a footway on either side of the carriageway then an inspection has to be undertaken in both directions.

Cycled inspections of the cycle network can be inspected individually and undertaken on a bicycle that will be provided by Caerphilly Council. Cycleways that form part of the highway will be inspected as part of the scheduled highway inspection.

### 2.6.3 Inspection Coverage

The following is an example of items that should be given due consideration whilst undertaking a routine highway inspection:

- Debris, spillage or other contamination on pavement surfaces
- Overhead Wires that are damaged or low
- Displaced road studs
- Defective street furniture (lights, benches, bollards etc)
- Unstable embankments or cutting
- Overhanging vegetation both in the footway and carriageway
- Standing or discharging water
- Damaged safety fencing, parapet fencing or pedestrian guardrail
- NRSWA (New Roads and Street Works Act 1991) defects (utility apparatus etc.)
- Dirty or obscured traffic signs
- Trees with loose limbs or that appear unstable
- Unauthorised signs
- Abrupt level difference in running surface
- Potholes, cracks or gaps in the running surface
- Loss of skid resistance on network (SRV)
- Broken or displaced kerbs
- Blocked drains
- Damaged or missing ironwork (gullies, manhole covers etc)

(This list is not comprehensive, it is just an illustration)

If there is any uncertainty over any potential hazard then the Highways Inspector should seek guidance from their line manager. The overriding issue is to ensure the safe passage of highway users.

### 2.6.4 Frequencies

Frequencies for safety inspections of individual network sections are based upon a consideration of the category within the road, footway or cycle track network hierarchy. The default inspection frequencies are set out in table 10, and a full inventory of all Caerphilly County Borough Council including intended inspection frequency can be referred to in Appendix G.

A review of hierarchies and inspection frequencies will take place on an annual basis to assess whether changes are required and whether an inspection frequency in excess of that determined by the road, footway and cycle route would be more appropriate. Such enhancements (on a temporary

or permanent basis) will be based upon an assessment of risk, taking into account:

- Traffic use, characteristics and trends (for example, if future levels of traffic significantly higher than that suggested by the hierarchy are likely to occur on a section, perhaps as the result of development works);
- Incident and inspection history (for example, if a section has exceptional levels of accidents [See Appendix C] or repeated occurrences of defects);
- Characteristics of adjoining network elements (for example, where a section joins a trunk road);
- Wider policy or operational considerations.

Where there is uncertainty about the category to be applied an on-site ‘reality check’ will be undertaken, and inspectors will report any instances where, having carried out an inspection it would be appropriate to carry out inspections more frequently.

### 2.6.5 Inspection programme

The inspection programme is arranged in such a way as to distribute the anticipated defect repair workload evenly across the County. Concentration of inspections in any single area are avoided to eliminate large amounts of work falling on single areas, with the consequent risk of repair response times being exceeded

It is important that the inspection frequency regime is adhered to. The Section 58 defence is highly dependant on regular inspections and every effort must be made to keep to the programme. In the event that the inspection frequency is not maintained, then efforts must be made to ensure that the inspection regime of streets in the higher part of the hierarchy are protected as these streets by definition, present a greater risk to the public and thus expose the Council to greater risk from claims.

### 2.6.6 Response times

Each defect has a specific response time associated with it, depending on the degree of deficiency. The response times are as follows:

**Table 12      Response times**

<b>Priority</b>	<b>Response</b>
Priority 1	2 Hours
Priority 2	24 Hour Response
Priority 3	28 Day Response

Where defects with potentially serious consequences for network safety are made safe by means of temporary signing or repair, arrangements should be

made for a special inspection regime to ensure the continued integrity of the signing or repair is maintained, until a permanent repair is made.

### **2.6.7 Follow-up action**

There will be certain defects, that upon being made safe, will require the Highways Inspector to notify other engineering personnel within Street lighting, Dangerous structures, NRSWA etc. It is they who will then decide upon the appropriate course of action. The standard response time is shown as 28 days although in practice the prioritisation of remedial works will be determined by the individual Highway Engineer, Street Works Inspector or Street Lighting Engineer as necessary.

### **2.6.8 Record keeping and data management**

Where a defect has been 'made safe', by coning, temporary reinstatement etc., then it is important that the follow-up permanent repair is initiated and included in the recording system.

## **2.7 Service Inspections (planned maintenance)**

### **2.7.1 Introduction**

The service inspection regime is designed to ensure that the network meets the needs of the users by providing more detailed inspections of particular highway elements to ensure that they meet the requirements for serviceability.

Service Inspections comprise of a more detailed inspection, tailored to identify issues that may have an effect on the reliability, comfort or quality.

These inspections are undertaken in conjunction with safety inspections and follow the same frequency.

### **2.7.2 Inspection Frequencies**

Refer to 'safety Inspection' frequency table (Table 10)

### **2.7.3 Changes to inspection frequencies**

Service Inspection frequencies are to be reviewed annually.

### **2.7.4 Inspection Programme**

The Inspection programme has been developed utilising CCBC core maintenance policies that address maintenance and historical approved codes of practice. Regular meetings are convened to review the core data sets for all policies and procedures, to ensure a consistent and thorough approach to highway inspections.



In addition to the safety inspections, several modes of inspection are used to provide reports on the sustainability, serviceability and existing condition of the Highway network, such as

- SCRIMM
- YOTTA
- Condition Surveys

Condition surveys are undertaken in-line with the safety inspection and their primary function is to identify deficiencies within the highway infrastructure.

### **2.7.5 Items for inspection**

Service inspections should incorporate the elements of safety inspections as detailed above and supplemented by requirements for serviceability. The range of inspection types to be carried out can be seen in *Table 9 Summary of inspection types and procedures (page 23)*.

### **2.7.6 Response times**

All defects identified during the Service Inspections, that are not deemed Safety Defects, should be incorporated within a Planned Maintenance Programme with priorities assessed by reference to approved standards, relative priorities and available budget, and priorities should conform to the policies and objectives specified in the Caerphilly Maintenance Plan.

### **2.7.7 Follow-up action**

Certain defects will require notification to highways or street lighting personnel who will then decide upon the appropriate course of action. The standard response time is shown as 21 days, although in practice the prioritisation of remedial works will be determined by the individual Highway Inspector, Street Works Inspector or Street Lighting Engineer as necessary. It is intended that client staff, which are responsible for downloading defects from the Exor/Mayrise system, carry out this notification.

### **2.7.8 Record keeping and data management**

If an inspector has undertaken some temporary action during a Service Inspection then it is important that the follow-up permanent repair is initiated and included in the recording system.

### **2.7.9 Inspections for network integrity**

Inspections for network integrity are to be undertaken at a frequency of 12 months as these relate to operational efficiency rather than the individual

elements of the network, although they routinely coincide with the Safety Inspection frequency for CCBC highway network.

Typical items that reflect operational efficiency include:

- Traffic signs or markings may be poorly sited or the legend may be either incorrect, confusing or not reflect current priorities
- Traffic signs or markings may be obsolete or redundant and affect street clutter
- Facilities for walking, cycling or public transport might be discontinuous or poorly defined and opportunities for installation of dropped kerbs or textured paving should be taken
- Opportunities might be taken to modify layout as part of future maintenance schemes.

### **2.7.10 Inspections for regulatory purposes**

In addition to the maintenance of the highway infrastructure, the highway maintenance service also comprises regulation and enforcement activities. The most significant of these involves responsibilities and requirements under the New Road and Street Works Act (NRSWA) 1991. These provisions together with the associated Codes of Practice and Standards are not covered in this manual.

Other important regulatory duties include (list is not exhaustive):

- Dealing with encroachment on the highway
- Dealing with illegal and unauthorised signs
- Licensing skips, hoardings, temporary closures and other authorised occupation of the highway
- Enabling the enforcement of street parking regulations

## 2.8 Inspection Method

### 2.8.1 Safety Inspection

These are designed to identify all defects that could potentially create danger or serious inconvenience to users of the network. The risk of danger is assessed on site and the defect is then categorised for the appropriate response.

### 2.8.2 Service Inspection

Service inspections are a more thorough inspection, which are tailored to the requirements of a particular highway related element. This allows an informed decision to be made regarding the serviceability of that section.

Service inspections fall into two categories; Network Integrity and Regulatory. Network Integrity inspections focus on Street lighting and road markings, whereas the Regulatory Inspections are aimed at:

- New Developments - Section 38 of the Highways act 1980  
Inspections of these sites are subject to Section 38 adoption agreements (Highway Planning) and typically take place from inception to completion as well as prior to adoption. Highway inspectors routinely concentrate on the pre adoption inspection.
- New Roads and Street Works Act (NRSWA)

In addition information recorded, forms an integral part of the HAMP (Highway Asset Management Plan) for the authority when creating an inventory

### 2.8.3 Condition Assessment

Condition surveys are intended to identify deficiencies within the highway infrastructure which, if untreated, are likely to adversely affect its longevity and levels of serviceability.

The surveys provide information on the mode and severity of deterioration, which is used to determine the appropriate maintenance treatments.

Specialist equipment and other forms of survey will be utilised to measure the condition of the highway asset in order to provide assessments on overall performance, KPI's (Key Performance Indicators), maintenance requirements and to form part of the HAMP.

### 2.8.4 Training and Development of inspectors

In accordance with Caerphilly CBC policies and guidelines all Inspectors are assessed via a 'performance development review', which is undertaken

annually. The review is conducted between the Inspector and nominated line manager, with the intention of meeting the following objectives:

- Identifying training needs
- Assisting the individual to self appraise and set targets
- Provides a platform for the Inspectors to feed back to the line manager regarding any concerns or queries that they may have

Safety inspections are to be undertaken through a risk assessment procedure. Consequently the training of all highway inspection personnel in the risk management regime is an essential pre-requisite before such inspections can be undertaken.

Under the provisions of the Health and Safety at Work Act (1974) and Construction Design and Management Regulations (2015), it is important that all operatives undertake comprehensive Site Safety training specific to their duties.

A vital component of inspections is to ensure that inspectors are able to undertake their duties consistently, accurately and within the current guidelines and standards. The County Borough Council offers training for inspectors on a regular basis and will ensure appropriate refresher courses are also offered.

The training will include coverage of the following areas, but may also include other subjects when appropriate:

- Inspector training and accreditation
- Site Safety Training
- Lone working briefing
- Dynamic Risk assessment training
- Induction and briefing
- Introduction to risk management
- Workshops on risk assessments
- Insurance requirements for third party claims

It is the aim of Caerphilly CBC that all inspectors will be trained in accordance with City and Guilds scheme 6033 where reasonably practicable.

### **2.8.5 Safe working practices**

All Inspectors are trained to carry out dynamic risk assessments whilst undertaking safety inspections. This empowers the Inspector to assess their environment and act accordingly. At no point in time should the inspector act in a manner that may affect their wellbeing or the welfare of others.

Information on both the Dynamic RA and lone-working policy can be located at Highways Operations Group offices.

### **2.8.6 Data Management**

The Exor/Mayrise system makes provision for recording service requests, complaints, reports or information from users and other third parties. These may require immediate action, special inspection, or influence future inspection or monitoring arrangements (refer to Appendix A for further details).

All information obtained from inspections, together with the nature of any response made by the inspector, including nil returns, is recorded.

## 2.9 Inspection Procedures

### 2.9.1 Data Capture

All defects that meet intervention levels are to be recorded whilst on site and retained for auditing purposes. All information will be retained within Exor/Mayrise.

CCBC are currently in the process of evaluating remote hand held devices to enable the inspectors to capture and store defect information whilst on site.

### 2.9.2 Section Information

At the start of each section the following data must be recorded.

**Table 17 Section Information Data**

Section Information data	Description
<i>Agent/Link Identifier</i>	<i>10 character alphanumeric character combination of the district code the road number and the link number.</i>
<i>Section Number</i>	<i>the numeric section number (0-99)</i>
<i>Section Description</i>	<i>Up to 80 alphanumeric characters</i>
<i>Reverse Direction</i>	<i>Is the inspection to be carried out in the reverse direction? (Y/N)</i>
<i>Inspector/s</i>	<i>Inspector's initials, up to 3 alphanumeric characters. If two inspectors carry out an inspection, then both of the initials should be entered.</i>
<i>Inspection Type</i>	<i>Type of inspection. Safety will automatically be recorded</i>
<i>Initiation</i>	<i>NRW (normal walking), NRD (normal driven)</i>
<i>Weather</i>	<i>Fine, Rain, Snow or Fog</i>
<i>Road Condition</i>	<i>Dry, Wet, Snow or Ice</i>
<i>Activity List</i>	<i>SI will be entered automatically</i>

### 2.9.2 Defect Details

**Table 18 Defect Details**

<i>Activity code</i>	<i>2 alphanumeric characters as listed as listed elsewhere in this code, to describe what is being inspected</i>
<i>Cross Sectional Position (refer to table X below)</i>	<i>location of the defect across the highway is defined using a single character code as shown below</i>
<i>Chain age</i>	<i>chain age measurement from start of section</i>
<i>Location</i>	<i>Required – a text description of the location of the defect up to 40 alphanumeric characters</i>
<i>Identity code</i>	<i>ID code on lighting columns signs bollards etc.</i>
<i>Diagram number</i>	<i>road traffic sign diagram number if required</i>
<i>Inventory item code</i>	<i>2 character inventory item code</i>
<i>Modifiable code</i>	<i>Modifiable code list, including the client's highway maintenance, street works and street lighting sections</i>
<i>Special instructions</i>	<i>Special instructions free text, up to 255 characters</i>

Defects	4 alphanumeric character defect code as listed elsewhere
Attribute	The defect attributes to be recorded if any e.g. depth/height length, area or number (0-999).
Response	Defect priority 1 2 3 as listed elsewhere
Action	Action recommended or taken by the inspector
Treatment code	To indicate relevant treatments for the repair of defects
Record action	A 40 character action text to fully describe the repairs recommended for the defects found
Date and Time	Are automatically recorded from the DCD calendar/clock
Comments	240 character free text – notebook type entry

### 2.9.3 Sections with no identified defects

Sections that have been inspected but have no defects must be recorded as such electronically.

### 2.9.4 Locations of defects

In addition to recording the location of the defect in terms of section chainage and cross sectional position the inspector must also record a text based description such as outside No 32 or adjacent to lamp column No 7. Alternatively a distance measurement can be given from a junction of significant landmark. All defects are marked in highly visible yellow paint.

### 2.9.5 Activity codes

A code is used to record the defective asset. These are as follows:

Defect Code	Defect Type Description
BE	
BO	
CCSC	C/W Spalling/Cracking (Concrete)
CCVS	C/W Vertical Step at Joint (Concrete)
CEDT	C/W Edge Deterioration
CMCR	C/W Major Cracking/Loss of Material
COTH	C/W Other
CPOT	C/W Pothole/Loss of Material
CSTW	C/W Standing Water / Seepage
CTRF	C/W Trench Failure
CUNE	C/W Uneven Surface
CWTR	C/W Wheel Track Rutting
DBLK	Gully / MH / Catchpit silted
DCBK	Culvert inlet / outlet blockage
DCMS	Missing cover / manhole / gully etc
DDIF	High / Low Cover / MH / Gully etc.
DDSD	Drainage ditch silted

<b>DDUS</b>	<b>Damaged / US Cover / Grating</b>
<b>DOTH</b>	<b>Drainage: Other</b>
<b>FBCR</b>	<b>Corroded/Rotten Post</b>
<b>FBDM</b>	<b>Damaged Fencing/Guardrail/Barrier</b>
<b>FBMS</b>	<b>Missing Fencing/Guardrail/Barrier</b>
<b>FBOL</b>	
<b>FBOT</b>	<b>Fencing: Other</b>
<b>FCRK</b>	<b>F/W Cracked Flag / Slab or Block</b>
<b>FMIS</b>	<b>F/W Missing Flagstone/Slab/Blockwork</b>
<b>FOTH</b>	<b>F/W Other</b>
<b>FPOT</b>	<b>F/W Pothole / Loss of Material</b>
<b>FROC</b>	<b>F/W Uneven or Rocking Flag/Slab/Block</b>
<b>FSTP</b>	
<b>FSTW</b>	<b>F/W Standing water / Seepage</b>
<b>FTFL</b>	<b>F/W Trench Failure</b>
<b>FUNE</b>	<b>F/W Uneven Surface &gt; 20mm</b>
<b>IGUL</b>	
<b>IS</b>	
<b>KDAM</b>	<b>KBS/EGS/CH Damaged</b>
<b>KLOR</b>	<b>KBS/EGS/CH Loose / Rocking</b>
<b>KMIS</b>	<b>KBS/EGS/CH Missing</b>
<b>KOTH</b>	<b>KBS/EGS/CH Other</b>
<b>KPRO</b>	<b>KBS/EGS/CH Projection &gt; 20mm</b>
<b>NRSW</b>	<b>Statutory Undertakers Defect</b>
<b>RMMS</b>	
<b>RMOT</b>	<b>RD MARKS Other</b>
<b>RMWR</b>	<b>RD MARKS Wear</b>
<b>RSDM</b>	
<b>RSOT</b>	
<b>TALN</b>	<b>Sign/snp misalignment</b>
<b>TDAM</b>	<b>Sign / Street name plate damaged / US</b>
<b>TDRT</b>	<b>Dirty/graffitti to sign/snp</b>
<b>TMIS</b>	<b>TR SIGN/SNP Missing</b>
<b>TOTH</b>	<b>TR SIGN/SNP Other</b>
<b>TPOS</b>	<b>TR SIGN/SNP Defective post</b>
<b>TVEG</b>	<b>Sign/snp obscured by vegetation</b>
<b>WCMA</b>	
<b>WCRC</b>	<b>Reconstruct carriageway</b>
<b>WCRS</b>	<b>Resurface carriageway</b>
<b>WCRT</b>	<b>Request for carriageway re-tread</b>
<b>WCSD</b>	<b>Request for carriageway surface dressing</b>
<b>WFRC</b>	<b>Reconstruct footway</b>
<b>WFRS</b>	<b>Request for footway resurfacing</b>



### 2.9.6 Formal Notifications

Whilst undertaking the safety inspection an officer may detect a no. of highway related discrepancies that require additional action. Instances of such normally require the inspector to formally serve notice on a person/ homeowner or business for performing an illegal highway activity that contravenes the 'Highways Act 1980'.

The following are an example (not exhaustive) of formal highway notifications to be used as the highway custodian to ensure safe passage for members of the public and can be found in the appendices;

SECTION 154	TREES/HEDGES/ OVERHANGING THE PUBLIC HIGHWAY
SECTIONS 143 & 149	OBSTRUCTION OF THE HIGHWAY
SECTION 184	CONSTRUCTION OF VEHICULAR CROSSING
SECTION 184	ILLEGAL CROSSING OF THE HIGHWAY
SECTIONS 148 & 149	DEPOSIT OF MUD/REFUSE/EFFLUENT/MATERIAL ON COUNTY HIGHWAY
SECTION 180	DEFECTIVE CELLAR COVERING IN FOOTWAY
SECTION 163	WATER FLOWING ONTO THE HIGHWAY
SECTION 165	REPAIR OF WALL IN YOUR OWNERSHIP

### 2.9.7 Coding response times

The inspector is to code the response times in accordance with the risk assessed Priorities Section 2.5.2

### 2.9.8 Material

The inspector should make every effort to describe the material in which the defect occurs. If the pavement is of blacktop material and the inspector is not sure of the exact type then he should record it as blacktop. If unsure of the material specification seek guidance from your line manager.

### 2.9.9 Measuring flags, small element paving and blocks

Precast concrete paving can be found in a variety of styles and sizes, therefore an on site measurement and photograph would be beneficial. This should ensure that the correct specification of paving is being replaced

### **2.9.10 Programming and works**

All instructed works are programmed to be completed within the agreed timescales in accordance with the defect priority categorisation 1–3 (ref to table 12).

### **2.9.11 Remedial works**

Remedial works may be instructed if a defect has failed or been completed to an unsatisfactory standard. This should be recorded in the first instance on your inspection records and escalated to your line manager so a prompt or satisfactory outcome is obtained.

### **2.9.12 Procedure following inspection**

Refer to the flow chart, Figure 3.

### **2.9.13 The client and works contractor's responsibility**

Highway Operations Group undertake all repairs in a safe and timely manner within the specified target date range. During the periods where external contractors supplement our activities, they adhere to the agreed contract details and best working practices.

### **2.9.14 Statutory undertaker apparatus**

All defects should be reported to the NRSWA personnel, which in turn report the defect to the relevant statutory body under section 81 of the 'New Roads & Streetworks Act 1991'.

The Highway Authority has a duty to inspect statutory undertakers works at 3 stages

- During Excavation
- 6 months post completion
- 3 months preceding the end of the maintenance period

If remedial action is not carried out within a specified timeframe then the Highway Authority may take it upon themselves to repair the defective apparatus and recharge the owner.

### **2.9.15 Normal working hours**

During normal working hours the main point of contact for emergencies is the Customer First department Contact Number: 01495 866533

The core working hours for staff in the Operations Section who are the main point of contact are:

8 a.m. to 5 p.m. Monday to Thursday inclusive and 8 a.m. to 4.30 p.m. on Fridays.

### **2.9.16 Outside normal working hours**

The Out of Hours contact number for the Authority as a whole is 01443 875500.

Outside normal office hours from Monday to Friday and for 24 hours a day on weekends and bank holidays the County Borough Council operates a client side 'standby' system. The 'standby' system has been designed to enable direct contact to be made with a County Borough Council officer at any time outside normal working hours in order to deal with any highway emergency. The 'standby' system is operated using a rota for duty officer service. Staff availability during statutory holiday periods is planned and the information circulated to senior management.

The Out of Hours (Duty Officer) Manual contains details of the procedure for the order of call outs that duty officers should follow (Appendix J)

### **2.9.17 Emergency Situation Reporting**

During periods when road conditions (significant/ inclement weather.) are affecting the free and safe passage of vehicles and pedestrians, emergency situation reports are prepared and distributed.

Incidents that require reporting will generally relate to road closures and flooding of property but other significant incidents will also need to be reported. There is a need to be particularly sensitive/alert to media interest in such situations, particularly if serious injury or fatalities have occurred. Situation reports are intended to be brief, accurate and additional information should be provided as necessary whilst the emergency conditions prevail. Out of hours reports should be made directly to the appropriate level of management (and escalated in due course) Customer Services Manager/Operations Engineer by telephone and email. In instances where land lines and email are inoperative mobile phones are to be used for communication. The procedure for emergency situation reporting is as described below. Observance of this formalised procedure will ensure that information is precisely relayed to those people and organisations that require it in a timely fashion and minimises multiple requests for such information.

The Highway Operation Group manager or designated representative is the designated person for gathering the information in order that a single clear point of contact is available for other departments and organisations that need to use such information. Operations personnel may assist in gathering information where appropriate.

A report should be compiled by the Highway Operations Group manager or designated representative and sent via email to the following personnel:

- CEO and Communications manager
- Director of Technical Services
- Chief Engineer

- Principal Traffic Engineer
- Street Lighting Manager
- Customer Care Officer
- Public Relations Officer
- Emergency Planning Officer

And any other relevant, or affected parties.

Please refer to the 'Out of Hours Manual' for a more detailed plan of dealing with emergency situations outside of normal working hours.



## CABINET – 16TH NOVEMBER 2016

**SUBJECT: HIGHWAY ASSET MANAGEMENT PLAN ENDORSEMENT**

**REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER**

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- 1.1 The attached report, which was presented to the Regeneration and Environment Scrutiny Committee on 1st November 2016, outlined the background and content of the Caerphilly County Borough Council (CCBC) Highway Operations Group Framework and Highway Asset Management Plan (HAMP), and explained the process by which it is internally reviewed on an annual basis. Members were asked to review the HAMP process and key areas and provide comments for consideration, prior to its presentation to Cabinet and thereafter Council for endorsement.
- 1.2 Officers explained that the Council has a statutory duty to maintain a safe highway network as set out under the Highways Act 1980. The CCBC Highway Asset Management Plan (HAMP) is one of three plans that make up the Highway Operations Group Framework (detailed at Appendix 1 of the Scrutiny Committee report), the others being the Highway Maintenance Plan (HMP) and Highway Operations Plan (HOP). The HAMP is a strategic approach that identifies all the highway assets that are the responsibility of the highway authority (the Council). It assesses highway status and condition, and determines and implements the most appropriate maintenance regime within the most efficient cost parameters.
- 1.3 Members were advised that the working process of the HAMP is split into 4 parts, which offer relevant information and data for any respective asset enquiry and explain how this is reviewed and updated. The HAMP details highway assets with the relevant information and data for their identification and maintenance requirements, and is updated via a number of communication and feedback channels. A copy of the existing HAMP was attached at Appendix 2 of the Scrutiny Committee report. Members were advised of minor typographical errors at paragraphs 4.12 and 9.1 of the report (in that 4.12(b) should refer to paragraphs 4.5 and 4.6, 4.12(c) should refer to paragraph 4.10 and 9.1 should refer to paragraph 4.12). It was also noted that an Officer's name would be amended within the matrix of information contained at Section 3 of the HAMP.
- 1.4 During the course of the ensuing debate, reference was made to several asset categories within the HAMP that have been identified as being under review. It was explained that the information contained within the HAMP is a "living document" that is continuously being updated, and that the HAMP itself is reviewed on an annual basis to ensure that all references and processes and the asset inventory of the highway network are kept up to date.
- 1.5 Discussion took place regarding review arrangements for drains and gullies, with Members encouraged to report to Officers any areas where they are aware of drainage or blockage concerns. It was confirmed that inspection of these assets take place twice a year and it was agreed that the inspection schedule would be circulated to Members. Officers also responded to queries in respect of tips maintenance and recycling and the work carried out by highways inspectors in relation to the assessment of these sites.

- 1.6 Following consideration of the report (and subject to the aforementioned amendments), and having given consideration to key aspects of the HAMP as outlined in the report, the Regeneration and Environment Scrutiny Committee unanimously recommended that for the reasons contained therein:-
- (i) Cabinet and Council consider the content and annual review process for the Highway Asset Management Plan and the key aspects contained therein (namely the placement of the HAMP within the Highway Operations Group Framework, coverage of all aspects of highway asset management by the HAMP, and the identification of appropriate communication channels in respect of highway assets);
  - (ii) subject to the foregoing, the Highway Asset Management Plan as appended to the report presented to the Scrutiny Committee be endorsed.

1.7 Members are asked to consider the recommendations.

Author: R. Barrett, Committee Services Officer, Ext. 4245

Appendices:

Appendix 1 Report to Regeneration and Environment Scrutiny Committee on 1st November 2016  
– Agenda Item 8



## REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE – 1ST NOVEMBER 2016

**SUBJECT: HIGHWAY ASSET MANAGEMENT PLAN ENDORSEMENT**

**REPORT BY: CORPORATE DIRECTOR COMMUNITIES**

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### **1. PURPOSE OF REPORT**

- 1.1 This report will outline the background and content of the Caerphilly County Borough Council (CCBC) Highway Operations Group Framework and Highway Asset Management Plan (HAMP). It also explains the process by which it is internally reviewed on an annual basis.
- 1.2 Scrutiny members are asked to review the Highway Asset Management Plan (HAMP) process and key areas and provide comments for consideration, prior to seeking Cabinet and Council endorsement.

### **2. SUMMARY**

- 2.1 The Council has a statutory duty to maintain a safe highway network, as set out under the Highways Act, 1980.

The following suite of documents (refer to the Highway Operations Group Framework structure shown in Appendix A), sets out how this statutory duty is fulfilled:

- Highway Asset Management Plan (HAMP) – this sets out how the Council's assets are identified, assessed, inspected, maintained and recorded (most recent version is in Appendix B).
  - Highway Maintenance Plan (HMP) – this sets out the maintenance regimes of the highway assets and the Highway Operations criteria for this to take place (highways, footways, bridges, drainage, winter maintenance, etc.) – this has a direct link to the HAMP
  - Highway Operations Plan (HOP) – this document sets out how the Highway Operations team carry out tasks that do not have a direct connection with the Council's highway assets (out-of-hours duties, utility works inspections etc.)
- 2.2 Members are asked to scrutinise the process and overall content, then to provide comment prior to seeking endorsement by Cabinet and Council.

### **3. LINKS TO STRATEGY**

- 3.1 This report links directly to the regeneration of the county borough making Caerphilly County Borough a better place to live and work.
- 3.2 The report links directly to the Council's priority to improve accessibility throughout the county borough by improving the transport network, enabling individuals to move freely around Caerphilly.

- 3.3 There is also a link to ensuring communities are safer by maintaining a safety standards for the development of integrated, efficient local and regional transport system, on which public transport, private users, cycling and walking networks can operate.
- 3.4 The Well-being of Future Generations (Wales) Act 2015 came into force this April, it sets out seven Well-Being Goals; the focus of this report supports a Resilient Wales, A Prosperous Wales, A Wales of Cohesive Communities and a Globally Responsible Wales

#### **4. THE REPORT**

- 4.1 The Council has a statutory duty to maintain a safe highway network as set out in the Highways Act, 1980. The methodology which sets out how the Council's duty is fulfilled is detailed within a suite of documents that sit under an overall framework.
- 4.2 The CCBC Highway Asset Management Plan (HAMP) is one of the three plans that make up the Highway Operations Group Framework, the others being the Highway Maintenance Plan (HMP), which includes the Winter Maintenance Plan (reviewed in Scrutiny 28<sup>th</sup> June 2016), and Highway Operations Plan (HOP).
- 4.3 The HAMP is a strategic approach that identifies all the highway assets that are the responsibility of the highway authority (i.e. the Council) and it assesses their status and condition, determines and implements the most appropriate maintenance regime within the most efficient cost parameters. The aim of this assessment is to ensure that each asset is maintained to an optimum level within an effective budget envelope.
- 4.4 The purpose of this plan is to ensure that the highway asset is managed with a strategic and cost effective approach, so that maximum value for money is achieved. Consequently it links in with the Corporate Asset Management Strategy 2016-26, so consistency with its Principles can be maintained throughout the HAMP.
- 4.5 The HAMP consists of:
- a) A Policy Statement – to outline the Authority's approach and duties towards highway asset management.
  - b) Asset Registry – for asset description, current status and historical information, this is so asset performance can be assessed.
  - c) Revision processes to update the Asset Register (from internal staff to external third parties) – to review asset valuation, re-assess risks to assets and allow for re-prioritisation.
  - d) Programme of investment – to be led by the updated data and information in the Asset Register thereby, improving the asset performance in an economically effective manner.

There must also be a link to the Maintenance Manual – Highway Maintenance Plan (HMP) – for service standards, planned actions and maintenance regimes (formed as a separate but related plan under the Highway Operations Group Framework).

- 4.6 The HAMP is used for Highway assets, which consist of:
- Adopted carriageways
  - Adopted footways
  - Adopted street lighting
  - Drainage for highways
  - Structures that are adjacent to, over or under the highway
  - Vehicle Restraint Systems (VRS) and Fencing
  - Traffic Signals/ Road crossings
  - Bus stops/ Bus stations
  - Road furniture – Signs, road markings, cat's eyes, bollards etc.



- 4.7 The purpose of the HAMP is to provide an overview of the asset management for highway infrastructure maintained by CCBC. It offers relevant information and data for any respective asset enquiry and how this is updated and reviewed; for this the working process is divided into four parts:
- Part 1 – gives an overview and basis for the highway asset management plan (HAMP)
  - Part 2 – summarises how the plan is put together and how revisions are made
  - Part 3 – shows how and where the information and data is stored
  - Part 4 – explains the mechanisms that are used by the plan including performance and stakeholder feedback
- 4.8 The HAMP details highway assets with the relevant information and data for their identification and maintenance requirements:
- Carriageways & Footways – location, length, width, asset condition, construction design, resurfacing dates
  - Street Lighting – identification, location, asset condition, lighting type (LED, SOX etc.), installation dates
  - Highway/ Land drainage – location, diameter, depth, construction type (clay, plastic etc.), installation and/ or repair dates (under development for highway drainage)
  - Highway structures – location, dimensions, construction materials, asset condition, repairs carried out (with dates)
  - VRS and Fencing – location, construction materials, asset condition, ownership issues, installation/ repair dates (under development)
  - Traffic signals/ Road crossings – location, design data, installation date, asset condition
  - Bus stops/ Bus stations – location, installation date, construction materials, asset condition
  - Road furniture – location, construction materials, asset condition, installation date (under development)
- 4.9 This document is reviewed on an annual basis, to ensure the references and processes are kept updated, providing an up to date asset inventory of our highway network.
- 4.10 The information and data is updated via a number of channels including:
- Regional and Local Transportation Strategies
  - Local Development Plan
  - Highway Operations Group framework
  - Gazetteers – catalogues of asset information and data
  - Annual Group Service Plan
  - Maintenance Inspections and Works
  - Council Developments
  - Local Developments
  - Updates and enquiries from the General Public
  - Public Surveys (Caerphilly Household, SNAP surveys etc.)
- 4.11 The HAMP can be used in a number of ways, dependant on the user. The main functions are:
- i. Asset information – asset condition, installation/ construction dates (with methods and materials), treatment or repair dates etc.
  - ii. Asset maintenance planning – what and when last treatment/ repairs had taken place with expected design life/ programmed maintenance works required.
  - iii. Asset valuation – the relative value of the asset function and the potential cost (direct and indirect) of replacement/repair.
  - iv. Asset Registration – to ensure a comprehensive and up-to-date record of CCBC assets.

In terms of asset value, the most recent valuation of the Council's highway network has concluded that the 1,193 km of highway, with its associated infrastructure, is valued at £3,424,683,000.

- 4.12 Of these sections there are a number of HAMP aspects that officers would welcome the views from the committee, as they cover key issues within the HAMP, these being:
- a) **The placement of the HAMP within the Highway Operations Group Framework** (in Appendix A); have the right relationships been identified within the document structure? Are there additional links that could be made to the HAMP outside the Highway Maintenance Plan?
  - b) **Have all aspects of highway asset management been covered by the HAMP?** Is there anything else missing from the HAMP sections summarised in 4.4? Are there highway asset types that are missing from 4.5?
  - c) **Are there communication channels that have yet to be identified in 4.9 that could give valuable updated information about highway assets to Highway Operations?**

## 5. EQUALITIES IMPLICATIONS

- 5.1 A functional and accurate Highway asset register and associated operations will benefit the vulnerable, young and elderly, ensuring their services (including emergencies), providing all highway assets with a robust maintenance regime throughout the year.
- 5.2 Being more effective in maintaining the CCBC highway assets should lead to improvements in maintenance regimes and incorporate improvements that leads to an effective transport network so benefiting the less mobile/ vulnerable members of the community.

## 6. FINANCIAL IMPLICATIONS

- 6.1 The Highway valuation is produced on an annual basis for a submission made to the Welsh Government every June.
- 6.2 The valuation consists of the following categories:
- Carriageways
  - Footways
  - Structures
  - Street Lighting
  - Street Furniture
  - Traffic Management Systems
  - Land

The total valuation for these elements for the most recent submission (2015 -16) was £3,424,683,000 (as of March 2016).

- 6.3 From the total figure in 6.2, the Highway Asset (the total asset value minus the land value) gives a total valuation of £1,920,005,000. This valuation represents the amount of money that would be required to replace the entire asset at today's value (excluding land purchase costs) and so represents the largest asset of CCBC.
- 6.4 This valuation forms part of a series of submissions to the Welsh Government, which include depreciation values of the assets as they degrade through continual use; a summary is contained within the appendix to the HAMP (Appendix B). These valuations then guide the Council on the levels of investment needed to maintain the highway asset within the County boundaries for the following year. It will also be used to support infrastructure bids, so forming a justification base for future national grants and government loans (reference to the recent LGBI initiative of 2012-15).

## **7. PERSONNEL IMPLICATIONS**

7.1 There are no direct personnel implications in relation to this report.

## **8. CONSULTATIONS**

8.1 All comments received have been taken into consideration and are included in the report.

## **9. RECOMMENDATIONS**

9.1 For Scrutiny Members to comment on the content and annual review process for the HAMP, considering the key issues as outlined in 4.11.

9.2 To consider and offer comments in relation to the existing HAMP, prior to consideration by Cabinet and Council.

## **10. REASONS FOR RECOMMENDATIONS**

10.1 To provide comments and views with regards to the existing HAMP, prior to approval by Cabinet and Council.

## **11. STATUTORY POWER**

11.1 Highways Act 1980.  
Well-being of Future Generations (Wales) Act 2015.

Author: Graham Parry - Highway Operations Group Manager

Consultees: Cllr T Williams – Cabinet Member for Highways, Transportation & Engineering  
Cllr D T Davies – Chair of Regeneration and Environmental Scrutiny Committee  
Cllr E Aldworth – Vice Chair of Regeneration and Environmental Scrutiny Committee  
Chris Burns – Interim Chief Executive  
Christina Harry - Corporate Director – Communities  
Nicole Scammell - Acting Director of Corporate Services and S.151  
Terry Shaw – Head of Engineering Services  
Colin Jones - Head of Performance & Property Services  
Gail Williams – Interim Head of Legal Services/Monitoring Officer  
Stephen Harris – Interim Head of Corporate Finance  
Rob Hartshorn – Head of Public Protection  
Mike Eedy – Finance Manager  
Trish Reardon – HR Manager  
Anwen Rees – Senior Policy Officer – Equalities and Welsh Language  
Steve Hodges – Network Management Manager  
Andrew Southcombe - Finance Manager (Corporate Services)

Appendices:

Appendix A – Highways Operations Group Framework

Appendix B – Highway Asset Management Plan (HAMP)

# HIGHWAY OPERATIONS GROUP FRAMEWORK

## Introduction

Highway Operations Group have the responsibility of maintaining the highway and associated infrastructure for Caerphilly County Borough Council, covering an asset that collectively amounts to £2 billion. Its principal purpose is to:

- ❖ Protect and maintain the highway network.
- ❖ Ensure safe, effective use and development of the highway network.
- ❖ Develop and deliver a range of engineering projects to improve the highway
- ❖ Deliver integrated and sustainable transportation and engineering projects.

The many facets of Highway Operations means that the processes and procedures can be both distinct and overarching, leaving the need to both identify the functions within the Group and consolidate them into distinct areas of work. To this end a framework has been produced to form the structure on which these areas of work can be placed, giving a comprehensive overview of the extent and nature of the work that is carried out by the Highway Operations Group. The division of the Framework is as follows:

- Asset Management Plan – how the Council’s assets are identified, assessed, inspected, maintained and recorded
- Highway Maintenance Plan – how Highway Operations maintain the highway assets (highways, footways, bridges, drainage etc.)
- Highway Operations Plan – how Highway Operations carry out tasks that do not have a direct connection with the Council’s highway assets (out-of-hours duties, utility works inspections etc.)

These headings are then subdivided where the function covers an extensive area, such as Highways Inspection and Winter Maintenance. Further these areas will overlap with other areas such as Standby duties and NCS. In these cases the principal operational document will detail the duplicated practices/ process/ procedure and the more bespoke work area will be referenced in the appropriate section(s).

Whilst each document will be written on a stand-alone basis; reference to other will be frequently made. Each document will be formed on the basis of:

- What we do
- Why we are doing it
- How we are doing it
- The authorisation required to do the work
- The mechanism for review and alteration of the document
- Lead officer responsible for the document
- Specific training needs

**KEY:**

- Document to be reviewed
- Document under separate review
- Documents pending review

# HIGHWAY OPERATIONS GROUP FRAMEWORK

## HIGHWAY ASSET MANAGEMENT PLAN

## HIGHWAY MAINTENANCE PLAN

## HIGHWAY OPERATIONS PLAN

### HIGHWAY INSPECTION MANUAL

Staff set up  
Inspections/  
Frequencies  
Actions  
undertaken  
Recording  
and  
registration

### TIPS MAINTENANCE & RECYCLING

Staff set-up  
Programme  
annual and 15  
year cycle  
Sequence of  
works  
Existing types  
and methods  
of recycling  
segregating  
waste &  
materials  
Assessment  
of processes  
New  
proposals

### DRAINAGE MAINTENANCE

Drains &  
Gullies:  
Staff set up  
Inspections  
Works  
undertaken

### STRUCTURES

Bridges  
Retaining  
Structures  
Culverts

### PLANNED WORKS

Assessing  
carriageway  
/ footway  
Resurfacing  
/ surface  
dressing  
Slurry  
sealing  
Assessment  
and  
processing  
of existing /  
new VRS  
Procedure  
for works  
undertaken

### STREET LIGHTING

Staff  
organisat'n  
Asset  
mainten'ce  
function  
Inspections/  
frequencies  
Activities  
and works  
carried out  
Registration  
and  
recording  
Initiatives

### WINTER MAINTENANCE PLAN

Staff  
Organisation/  
set-up  
Functions of  
Winter  
Maint'ce  
Inspection/  
detection  
Route/  
Actions  
prioriti'n  
Works  
processes  
and  
frequency

### NCS DUTIES

Maint'ce  
duties  
Footways  
Structures  
SEW  
Contract

### STANDBY DUTIES

Shift  
arrange'ts  
Require'ts  
for duties

### LICENSES

Staff set up  
Inspections  
Notification  
Penalties

### UTILITIES & NRSWRA DUTIES

Staff set up  
Inspections  
Actions  
undertaken

### BUILDING & DEPOT MANAGEMENT

System set  
up  
Inspections/  
Frequencies  
Actions  
undertaken  
Recording  
and  
registration

# CAERPHILLY COUNTY BOROUGH COUNCIL HIGHWAY ASSET MANAGEMENT PLAN



# Highway Asset Management Plan

## 1. Introduction

*Highway Operations Group have the responsibility of maintaining the highway and associated infrastructure for Caerphilly County Borough Council, covering an asset that collectively amounts to £2 billion. Its principle purpose is to:*

- ❖ *Protect and maintain the highway network.*
- ❖ *Ensure safe, effective use and development of the highway network.*
- ❖ *Develop and deliver a range of engineering projects to improve the highway*
- ❖ *Deliver integrated and sustainable transportation and engineering projects.*

*The basis of this remit is for the highway assets (that are the responsibility of CCBC) to be identified and assessed, so the required maintenance can be enacted in a timely manner within an effective economic framework. For this, the Authority requires a Highway Asset Management Plan (HAMP).*

### a. What is an Asset Management Plan

An Asset Management Plan (AMP) is defined as:

*"A plan developed for the management of one or more infrastructure assets that combines multi-disciplinary management techniques (including technical & financial) over the life cycle of the asset in the most cost effective manner to provide a specific level of service"*

The International Infrastructure Management Manual - 2008.

The plan's objectives are to optimise the performance of the assets, in a cost-effective and operationally efficient way; the AMP typically covers the following areas:

- Asset Description – why does it exist
- Current Asset Performance – what is its current status
- Standard of Service – what it is required to do
- Planned Actions – what are the asset requirements
- Costs – its whole life costs
- Benefits/ Risks – linked to Costs
- Potential Improvements – how can the asset be improved

## b. Highway Asset Management

Highway asset management is defined as:

*“Asset management is a strategic approach that identifies the optimal allocation of resources for the management, operation, preservation and enhancement of the highway infrastructure to meet the needs of current and future customers”*

County Surveyors Society Framework for Highway Asset Management, CSS, 2004.

Highway asset management is used to ensure that public infrastructure is managed cost effectively and that every penny spent on the asset is put to the best use. This is best done in the format of a Highway Asset Management Plan (HAMP)

The HAMP should consist of:

- a) A Policy Statement – to outline the Authority’s approach and duties towards highway asset management
- b) Asset Registry – for asset description, current status and historical information so asset performance can be assessed.
- c) Maintenance Manual – Highways Maintenance Plan (HMP) – for service standards, planned actions and maintenance regimes – this is a separate document from the HAMP and is contained within the Highway Operations Group Framework, a plan of which can be found in Appendix B
- d) Revision processes to update the Asset Register (from internal staff to external third parties) – to review asset valuation, re-assess risks to assets and allow for re-prioritisation
- e) Programme of investment – to be led by the updated data and information in the Asset Register (ref. b above), improving the asset performance in an economically effective manner

The HAMP is used for Highway assets, the main categories for these being:

- Carriageways - adopted
- Footways - adopted
- Street Lighting - adopted
- Drainage for highways
- Structures that are adjacent to, over or under the highway
- Vehicle Restraint Systems (VRS) and Fencing
- Traffic Signals/ Road crossings
- Bus stops/ Bus stations
- Road furniture – Signs, road markings, cat’s eyes, bollards etc.

This list is not exhaustive but gives the main categories from the Highway Asset Register for Caerphilly County Borough Council (CCBC).

Assets not covered by the Caerphilly HAMP:

- Trunk Roads – A465 (managed by South Wales Trunk Road Agent - SWTRA)
- Public Rights of Way and bridleways (part of Planning’s responsibility)
- Unadopted Roads and footways



- Unadopted rear lanes
- Boundaries to highway land that fall under the other ownership
- Car-parks
- Canal

### **c. Uses of the Highway Asset Management (HAMP)**

- Effective use of existing budgets <sup>(6)</sup>
- Exploring effective levels of service and budget options <sup>(6)</sup>
- Formalisation of service standards and policies
- Monitoring and reporting on performance <sup>(2) (3)</sup>
- Identifying customer expectations and aspirations <sup>(4)</sup>
- Providing a longer term maintenance regimes <sup>(1)</sup>
- Establishment of efficient works programmes <sup>(5)</sup>

The figures in raised parenthesis indicate the Principles as listed within the Corporate Asset Management Strategy 2016 – 26, these being:

- 1. We will balance short term needs with the need to safeguard the ability to meet long term generational needs, where those long term needs are identifiable.*
- 2. We will communicate what we are doing and the progress we have made*
- 3. We will involve other persons in the development of our asset management strategies/plans to reflect the diversity of the people within the county borough*
- 4. We will work with other public services bodies to deliver (where possible) both joint asset management solutions, and complementary goals.*
- 5. We will seek to improve the quality of our environment through good asset management by ensuring our resources are deployed effectively.*
- 6. Quality of life and fit for purpose assets will be our main consideration, within imposed financial constraints.*

These will be repeated throughout the rest of this document where appropriate.

### **d. How to use the Highway Asset Management Plan (HAMP)**

The purpose of this document is to provide an overview of the Asset Management for highway infrastructure maintained by CCBC. For this to be of use the reader needs to know where to find the relevant information to their enquiry, so this plan is divided into four parts:

Part 1 – gives an overview and basis for the highway asset management plan (HAMP)

Part 2 – summarises how the plan is put together and how revisions are made

Part 3 – shows how and where the information and data is stored

Part 4 – explains the mechanisms that are used by the plan including performance and stakeholder feedback

## 2. How Caerphilly's Highways Asset Management works

### a. The interactions of the Asset Management Plan

The Caerphilly's Highway Asset Management Plan has interactions and inputs from a number of other source documents; this can be most clearly seen in a graphical representation as follows



**Figure 1:** The titles encircled with the blue lines are source documents with the arrows indicating input into the HAMP and overlapping shapes showing a sharing of information and data.

### b. What's in the Highway Asset Management Plan

The HAMP consists of the highway assets with the relevant information and data for their identification and maintenance requirements:

- Carriageways & Footways – location, length, width, asset condition, construction/ resurfacing dates
- Street Lighting – identification, location, asset condition, lighting type (LED, SOX etc.), installation dates
- Highway drainage – location, diameter, depth, construction type (clay, plastic etc.)
- Highway structures – location, dimensions, construction materials, asset condition
- VRS and Fencing – location, construction materials, asset condition, ownership issues
- Traffic signals/ Road crossings – location, installation date, asset condition
- Bus stops/ Bus stations – location, installation date, construction materials, asset condition
- Road furniture – location, construction materials, installation date, asset condition

### **c. How does the Highway Asset Management Plan work**

The HAMP can be used in a number of ways, dependant on the user, the main functions are:

- i. Asset information – asset condition, treatment or repair dates etc.
- ii. Asset maintenance planning – what and when last treatment/ repairs had taken place
- iii. Asset valuation – the relative value of asset function and the potential cost (direct and indirect) of replacement/ repair
- iv. Asset Registration – to ensure a comprehensive and up-to-date record of CCBC assets <sup>(2)</sup>

This helps ensure that CCBC can benefit from:

- Effective use of existing budgets
- Effective levels of service and budget options
- A formalisation of service standards and policies
- Monitoring and reporting on performance <sup>(2)</sup>
- Providing a longer term maintenance regimes <sup>(1)</sup>
- Establishment of efficient works programmes

### **d. Updating of the Highway Asset Data**

This is mostly done via the adoption process through Highways Development or private developers; this process is where the asset is constructed to the approved standard and the maintenance for this asset is then transferred to the Council. Consequently this increases the assets quantity or length held on the Caerphilly Asset Registers which form the basis of the HAMP.

The converse of this is to remove assets from the register; this can be done through a legal closure for safety reasons covering a designated period of time, which is enacted when an asset cannot be economically maintained to the approved standards. Though currently rare its occurrence will probably become more frequent as the funds to maintain highway assets are reduced via the Medium Term Financial Plans (MTFPs) for the next 4-5 years.

### **e. Updating via Feedback from Stakeholders <sup>(3)</sup>**

The general public can update the asset register by using the Service Request (SR) mechanism, were an individual can report faults (to street lighting, gullies etc.) via the web-site, phone or e-mail.

There are also a number of surveys that involve the general public, the Household survey (bi-annual) and the SNAP Survey by Refuse & Cleansing (biannual), these give a wide range of feedback stakeholder feed-back from a range of council services. A proportion of which covers the following highway asset groups:

- Roads
- Pedestrian pavements
- Drains & gullies
- Signs & road markings
- Street Lighting
- Winter Maintenance
- Highway Maintenance

All of which are directly or indirectly related to highway assets, so contribute to the assessment of the perceived asset performance, which is amalgamated with the more technical results, to give a more appropriate approach to their prioritisation and maintenance.

### 3. Highway Asset Management Plan Information and Data

#### a. What is an Highway Asset Register

The asset data and information is held on what is called an Asset Register (mostly in an electronic version, though some historic information is held on physical copies as well); this is ideally on a single data base, though due to the varying nature of the assets (road, structures, lighting columns etc.) this can prove impractical. As an alternate the data bases have been unified where possible, for example Mayrise for highways and street lighting, leaving asset groups with more bespoke information, drainage, structures etc., are compiled on their own clearly identified registries.

#### b. Where is the HAMP located

The HAMP is formed of constituent parts that cross reference the Highway Asset Management Plan and the Highway Asset Register, a summary of this can be expressed in matrix form as follows:

<b>Asset Categories</b> <b>HAMP Sections</b>	<b>Carriageway &amp; Footway</b>	<b>Street Lighting</b>	<b>Drainage</b>	<b>Structures</b>	<b>VRS &amp; Fencing</b>	<b>Road crossings</b>	<b>Bus stops/ stations</b>	<b>Road furniture</b>
<i>Description</i>	GIS plans & Inspection data/ NSG gazetteer	Mayrise Street lighting	GIS data Geo environment	R/Wall & Bridges Database (Access) – O Drive	GIS plans	Under review	Inventory of all shelters – O Drive	Under review
<i>Performance</i>	Scrim, scanner & highway inspections	Mayrise Street lighting	Service Requests, Inspections	Inspection reports	Inspections, reports	Inspection reports	Cleansing reports - O Drive	Inspections, reports
<i>Service</i>	Inspections	Mayrise Street lighting	Service Requests, Inspections	Highway Structures SLA	Inspections, reports	Inspection reports	Maint'ce orders Record - O Drive	Inspections, reports
<i>Planned Actions</i>	Inspections	Mayrise Street lighting	Service Requests, Inspections	Programmes word and excel - O Drive	Scored on national spec & local knowledge	Inspection reports	Requests and complaints – O Drive	Inspections, reports
<i>Costs</i>	Works tickets, tenders and SORs	Mayrise Street lighting	Service Requests, Inspections	R/Wall & Bridges Database (Access) – O Drive	Framework tender	Inspection reports	Maint'ce orders Record - O Drive	Inspections, reports
<i>Risks</i>	HAMP Insurance Risk reports	Mayrise Street lighting & Insurance risk	Service Requests, Inspections	Prioritisation sheets - O Drive	Inspections, Insurance Risk reports	Inspection reports	Requests and complaints – O Drive	Inspections, reports
<i>Improvements</i>	Under review	Under review	Under review	Bridge Database - O Drive	Under review	Under review	Under review	Under review
<i>Asset Owner</i>	Gareth Richards & Chris Adams	Steve Hodges	Gareth Richards	Jacqui Mynott	Chris Adams	Dean Smith	Huw Lewis	Chris Adams

Each of these locations holds the up to date information and data for each asset class, with restricted editing rights going to authorised personnel.

### **c. Information Usage**

These databases can be used to assess the Council's assets for:

- Asset valuation
- Effective asset maintenance
- Asset performance
- Prioritisation of asset repair and maintenance
- Record of asset history for future requirements

### **d. How is this information updated**

The updating of asset information can originate from various sources, the main categories being:

- Highway schemes
- Private development adoptions
- Council funded schemes <sup>(4)</sup>
- Urban renewals schemes <sup>(4)</sup>
- Structural repairs/ replacements
- Drainage schemes/ improvements
- Infrastructure repairs
- Input from third parties (e.g. general public via the Service Requests (SRs) <sup>(3)</sup>

In addition, previously unidentified assets can be assigned to the Council or reallocated within the Council's divisions and service areas.

## 4. How the Highway Asset Management Plan works – mechanisms

### a. Valuation <sup>(2)</sup>

As the CCBC's HAMP collates and records the updated condition and description of the highway assets in the Council's remit, this can prove a useful basis on which to secure a valuation of the known assets, which can then be compiled to a complete itinerary. This is routinely done as an annual submission to Welsh Government (WG) under an 'L-Pack' submission (a summary of which can be found in Appendix 1).

There are other valuations asked for from other bodies on a regular basis, such as APSE (Association for Public Service Excellence), the ALARM (Annual Local Authority Road Maintenance) survey; where the returns are segregated into peer council organisation groupings, to allow an assessment of relative asset performance.

### b. Performance Indicators <sup>(2)</sup>

The performance of the Council is measured and coordinated via the Fynnon system, part of this covers Highway Operations both with highways functions (reactive maintenance, winter gritting etc.) and a suite of performance indicators that are directly tied to the highway asset and their condition, ready examples being the results from road and structural surveys.

These can give indication via scoring mechanisms that allow for comparative assessments of the asset performance, i.e. how effectively the asset is fulfilling its function; so how well a road is carrying the traffic load, how effectively a drain is carrying the water away from the location etc.

### c. Prioritisation of Highway Asset Maintenance <sup>(4)</sup>

The budgetary constraints placed on public bodies means that responsibilities such as highway assets need to be prioritised so that the limited finances can be focused on where the need is greatest. This entails a process by which the assets within a group can be measured, scored and assessed for their condition and relative performance, so a prioritised table can be drawn up and the funds can be effectively allocated to the assets that are most in need of repair/ enhancement, rather than that being spread evenly over the asset stock (which would not achieve any meaningful improvement).

### d. Assessing Routine Maintenance Regimes <sup>(6)</sup>

As the HAMP encompasses the condition and the requirement for an asset to be maintained to an acceptable standard, recording activities such as inspections and prioritising (through identifying poor performance) sites with assets that require timely investment. The effectiveness of routine maintenance can be assessed and possible efficiencies can be identified to improve these activities and their relative costs.

### e. Programming of Works <sup>(4) (5) (6)</sup>

Highway assets can be evaluated on their condition and performance, highlighting poor or substandard levels which require action to correct or improve their status. This then forms the basis for a programme of works and help concentrate funds to the least reliable sections of the asset register and possibly helps enhance or improve their performance to the standards required.

**f. Capital Improvements** <sup>(5)</sup>

There are opportunities for Councils to bid for and win capital funding via central government through loans and grants. This has moved to an evidence based approach from the sponsors. The use of the HAMP will give a consistent and empirical base on which to set out these bids, so relative comparisons can be made both within the Council boundaries and across other peer public bodies, such as other Welsh Local Authorities. The more complete and comprehensive the council's HAMP (when compared to peer organisations), the more confidence a sponsor will have in awarding these loans and grants.



# Appendix 1

## Summary of Welsh Government Valuations

1.1 The Highway valuation is produced on an annual basis for a submission made to the Welsh Government every June.

The valuation consists of the following categories:

- Carriageways
- Footways
- Structures
- Street Lighting
- Street Furniture
- Traffic Management Systems
- Land

The total valuation for these elements for the most recent submission (2015 -16) was £3,424,683,000 (as of March 2016).

1.2 From the total figure in 1.1, the Highway Asset (the total asset value minus the land value) gives a total valuation of £1,920,005,000; due to the asset being in a continuous deteriorating state (being constantly used throughout the year), a depreciation value of this asset has been calculated out as £1,713,112,000. This shows a decrease in real terms (actual compared to theoretical value) of £206,893,000, when compared to the previous year the following table can be derived:

<b>Change in Highway Asset Value</b>		
<b>Year</b>	<b>Gross Replacement Cost £'000</b>	<b>Depreciated Replacement Cost £'000</b>
2014-15	£1,783,336	£1,572,422
2015-16	£1,920,005	£1,713,112
Change	£136,669	£140,690

The Gross Costs are the total cost of replacing either the whole of an existing highways network or some part of it with a modern equivalent Asset; the Depreciated Costs is a method of valuation which provides the current cost of replacing an asset with its modern equivalent asset, as defined in the code, less deductions for all physical deterioration and all relevant forms of obsolescence and optimisation.

The table (above) shows that with both the gross costs (costed as newly constructed replacement assets) and the depreciation value (value of the existing asset) show a year on year increase in cost of infrastructure renewal of approximately £136,670,000. This annual increase in costs dwarfs the current annual highway operations budget of approximately £10,000,000; so up-to-date asset assessments need to be conducted, on a frequent enough basis, to deliver the most financially effective maintenance regime.

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