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For all enquiries relating to this agenda please contact Rebecca Barrett
(Tel: 01443 864245 Email: barrerm@caerphilly.gov.uk)

Date: 26th October 2016

Dear Sir/Madam,

A meeting of the **Regeneration and Environment Scrutiny Committee** will be held in the **Sirhowy Room, Penallta House, Tredomen, Ystrad Mynach** on **Tuesday, 1st November, 2016** at **5.30 pm** to consider the matters contained in the following agenda.

Yours faithfully,

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 this 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 Regeneration and Environment Scrutiny Committee held on 20th September 2016. 1 - 8

4 Consideration of any matter referred to this Committee in accordance with the call-in procedure.

5 To receive a verbal report by the Cabinet Member(s).

6 Regeneration and Environment Scrutiny Committee Forward Work Programme.

9 - 18

7 To receive and consider the following Cabinet reports*: -

1. Waste Collection Review and Proposed Minor Changes to Current Collection Arrangements for Food/Garden Waste - 21st September 2016;
2. Interment of Cremated Remains - 21st September 2016;
3. Welsh Government Town Centre Loans Fund - 5th October 2016;
4. Winter Service Plan 2016-17- 19th October 2016.

* *If a member of the Scrutiny Committee wishes for any of the above Cabinet reports to be brought forward for review at the meeting please contact Rebecca Barrett, 01443 864245, by 10.00 a.m. on Monday, 31st October 2016.*

To receive and consider the following Scrutiny reports:-

8 Highway Asset Management Plan Endorsement.

19 - 38

9 Highway Inspection Manual Endorsement.

39 - 92

10 Budget Monitoring Report 2016/2017.

93 - 104

Circulation:
Councillors M.A. Adams, Mrs E.M. Aldworth (Vice Chair), J. Bevan, Mrs A. Blackman, C.J. Cuss, D.T. Davies (Chair), C. Elsbury, R.W. Gough, L. Harding, S. Kent, Ms P. Leonard, P.A. Marsden, A. Passmore, M.J. Prew, Mrs D. Price and Mrs E. Stenner

And Appropriate Officers

REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE

MINUTES OF THE MEETING HELD AT PENALLTA HOUSE, YSTRAD MYNACH ON TUESDAY, 20TH SEPTEMBER 2016 AT 5.30 P.M.

PRESENT:

Councillor D.T. Davies - Chair
Councillor Mrs E.M. Aldworth - Vice-Chair

Councillors:

J. Bevan, Mrs A. Blackman, C.J. Cuss, N. Dix, C. Elsbury, R.W. Gough, S. Kent, Ms P. Leonard, Mrs P. Marsden, Mrs D. Price, A. Rees, Mrs E. Stenner

Cabinet Members:

N. George (part of meeting) (Community and Leisure Services), K. James (Regeneration, Planning and Sustainable Development), T.J. Williams (Highways, Transportation and Engineering)

Together with:

C. Harrhy (Corporate Director – Communities), M.S. Williams (Head of Community and Leisure Services), D. Whetter (Interim Head of Regeneration), M. Headington (Acting Parks Manager), H. Jones (Principal Waste Management Officer), D. Owen (Cluster Manager), E. Saunders (Cluster Manager), T. White (Waste Strategy and Operations Manager), C. Forbes-Thompson (Interim Head of Democratic Services), B. Davies (Solicitor), J. Williams (Solicitor) and R. Barrett (Committee Services Officer)

1. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillors M. Adams and M.J. Prew.

2. DECLARATIONS OF INTEREST

There were no declarations of interest received at the commencement or during the course of the meeting.

3. MINUTES – 28TH JUNE 2016

RESOLVED that the minutes of the Regeneration and Environment Scrutiny Committee meeting held on 28th June 2016 (minute nos. 1 – 11) be approved as a correct record and signed by the Chair.

4. CALL-IN PROCEDURE

There had been no matters referred to the Scrutiny Committee in accordance with the call-in procedure.

5. REPORT OF THE CABINET MEMBERS

The Scrutiny Committee noted the contents of the reports received from Councillors T.J. Williams, N. George and K. James, which had been circulated to Members in advance of the meeting. Questions and comments were invited on the report contents. In the absence of Councillor George at this point in the meeting, the contents of his statement (which had been circulated to Members in advance) were noted and presented in detail in the reports later on the agenda.

Discussion took place regarding the update from Councillor K. James (Cabinet Member for Regeneration, Planning and Sustainable Development) regarding the Council's recent successful bid for £0.5m of capital loan funding under the Welsh Government's (WG) Town Centre Repayable Funding Scheme. Although it was originally intended that the funding be used to target empty and underutilised properties and land parcels in and around Rhymney town centre, there have been very few opportunities to do so, and therefore WG have recently indicated that the funding can be extended to a further 2 town centres within the county borough if a reasonable justification is presented to them. The Cabinet Member explained that on 5th October 2016, Cabinet would consider a report on WG's offer to extend the Town Centre Repayable Funding Scheme to other areas. The Cabinet Member also advised that he was due to meet with the WG Minister for Communities and Tackling Poverty to highlight Members' concerns regarding the WG offer of repayable loan funding, rather than the grant funding that has traditionally been offered.

Members referred to the recent emergency closure of Pontygwindy Road following a collapsed culvert, as highlighted in the report from Councillor T.J. Williams (Cabinet Member for Highways, Transportation and Engineering). Members placed on record their thanks to all staff involved for their efforts in repairing the culvert in a matter of days and minimising the impact to users of the busy road.

6. REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE FORWARD WORK PROGRAMME

Cath Forbes-Thompson (Interim Head of Democratic Services) presented the report, which outlined details of the Regeneration and Environment Scrutiny Committee Forward Work Programme (FWP).

Members were advised that the FWP includes all reports identified at the Scrutiny Committee meeting held on 28th June 2016 and outlines the reports planned for the period September 2016 to April 2017. Members were asked to consider the FWP alongside the Cabinet Work Programme as appended to the report and to suggest any changes prior to it being finalised and published on the Council's website.

Consideration was given to a Member's request for a report to reconsider the Authority's grass-cutting frequencies within memorial gardens (previously set by Council as part of the Medium Term Financial Plan). This request was not supported by the Scrutiny Committee, and it was agreed that the Member who had requested the report would need to discuss alternatives (such as voluntary maintenance schemes) with the local community.

Discussion took place regarding the items listed on the Forward Work Programme. It was agreed that the City Deal Update scheduled for 13th December 2016 be replaced with a report on the Council's Tree Policy (prior to its consideration by Cabinet). It was also agreed that a report relating to the Environment Act - Ecology Plan be scheduled for 28th March 2017.

It was agreed that subject to the foregoing amendments, the final version of the Forward Work Programme be published on the Council's website.

7. CABINET REPORTS

None of the Cabinet reports listed on the agenda had been called forward for discussion at the meeting.

REPORTS OF OFFICERS

Consideration was given to the following reports.

8. INTERMENT OF CREMATED REMAINS

The report sought the views of the Scrutiny Committee on the fee structure for the interment of cremated human remains, prior to a further report being considered by Cabinet.

It was noted that on 28th June 2016, the Scrutiny Committee considered a report on the introduction of a new scale of charges for additional service provision across the Community and Leisure Services division. During the course of the debate, Members requested further information on the fee for the interment of cremated remains in re-opened earthen graves, together with the 50-year period for the Grant of Exclusive Right of Burial. An information report on these matters was circulated to the Scrutiny Committee following the meeting, and one of the Members subsequently requested a further report relating to the charges for the interment of cremated remains in grave spaces where there were previous interments.

Officers referred to the current charging structure for the interment of full coffins and cremated remains as outlined in the report, which were agreed by Members at the inception of Caerphilly County Borough Council in 1996 and have been incremented annually in line with Members' approval. A comparison with neighbouring Authorities' fees for the same services was included in the report.

In view of Members' wishes to review this particular aspect of the Authority's burial fee structure, a number of options were set out for consideration by the Committee; namely retaining the existing fee structure for all interments of cremated remains within full graves, (currently set at £505.00), or reducing the reopen fee to £250.00 for interments within cremated remains plots and full graves (where there will be no future coffin burials). Members were also asked to consider whether the reopen fee should be set at £100.00 in the case of additional interments within the new cremated remains vaults. Further details associated with each option (including the financial implications) were set out in the report.

During the course of the ensuing debate, it was noted that the report was due to be considered by Cabinet the following day. Officers explained that if the Scrutiny Committee recommended a reduction to the reopen fee for interments within cremated remains plots and full graves, this would be considered by Cabinet as part of the Medium Term Financial Plan proposals for 2017/18. Members were advised that should they be minded to recommend the introduction of a new reopen fee for additional interments within the new cremated remains vaults, this would be implemented with immediate effect, subject to Cabinet ratification.

Members discussed the financial implications associated with reducing the reopen fee, and Officers explained that the potential loss of income (approximately £38,000) had been calculated based on current burial trends, which were outlined in the report. Discussion also took place regarding a previous recommendation by the Cross-Party Task and Finish Group that fees should be increased annually by 18.5% plus inflation for five years to ultimately make the service self-financing, and some Members expressed the need for the Bereavement Service to maintain this self-financing position in future years.

Following consideration of the report, it was moved and seconded that the reopen fee for interments within cremated remains plots and full graves (where there will be no future coffin burials) be reduced to £250.00. By a show of hands, this was agreed by the majority present. It was also moved and seconded that the reopen fee be set at £100.00 in the case of additional interments within the new cremated remains vaults. By a show of hands this was unanimously agreed.

RECOMMENDED to Cabinet that:-

(i) the reopen fee for interments within cremated remains plots and full graves (where there will be no future coffin burials) be reduced to £250.00 and that this be included in the Medium Term Financial Plan proposals for 2017/18;

(ii) the reopen fee be set at £100.00 in the case of additional interments within the new cremated remains vaults and that this be implemented with immediate effect.

9. COMMUNITIES FIRST: CURRENT STATUS AND CONSIDERATIONS FOR PROPOSALS POST 31ST MARCH 2017

The report provided a review of the Communities First (CF) programme to date and highlighted key changes which have arisen in the past delivery year (2016-17), together with challenges and uncertainties in developing proposals beyond 31st March 2017 within the current national political context.

Members were advised that the new phase of CF commenced on 1st April 2013, with Caerphilly County Borough Council (CCBC) the Lead Delivery Body (LDB) for the programme and as such the accountable body for all funding relating to the programme. CF continues to have a geographical focus, with the overall aim of the programme being to tackle and reduce poverty in the most deprived communities in Wales, and is based on 52 Clusters which are identified through the Welsh Index of Multiple Deprivation. There are four such Clusters within CCBC (Caerphilly Basin, Mid Valleys East, Mid Valleys West, and Upper Rhymney Valley).

Since 2013 there have been a number of changes to the programme requiring budget re-allocations and staff re-structures, including a 5% budget cut in April 2015. Further details of these changes were contained within the report. Members were advised that despite these challenges, outcomes in recent years have been largely positive, with Welsh Government observing at their last annual review visit in November 2015 that Caerphilly is consistently performing well and is one of the best performing Authorities in Wales.

Members were asked to note the impact of the programme changes on the Senghenydd Youth Drop In Centre (SYDIC). Two posts that did not contribute to CF programme delivery were removed from the 2016-17 delivery plans, producing savings of £66,215. In light of the reduction in CF funding, the Council agreed to directly fund this shortfall for one year only to 31st March 2017. CCBC Officers are providing ongoing support to SYDIC to identify potential long-term sustainable solutions for the centre's future, including reducing costs and/or increasing income.

The report also outlined the renewed CF programme, including its overall aim, associated delivery outcomes, performance indicators and monitoring framework set by the Welsh Government. Additionally the report set out an overview of the processes for developing the CF proposals post 31st March 2017 and the considerations to be taken into account when developing these proposals, whilst also highlighting the many uncertainties which currently exist.

Officers explained that whilst final confirmed budget cuts were at the lower end of the potential scale for the current year, it may be reasonably anticipated that further cuts will be required post March 2017. The ongoing potential for further changes to the programme each year presents considerable challenges to staff in terms of planning for future delivery, and ongoing rigorous monitoring and evaluation of projects will therefore be essential to informing budget decisions. Members were advised that once Welsh Government confirms the 2017/18 funding allocation, an update report will be presented for consideration by the Scrutiny Committee.

During the course of the ensuing debate, a Member referred to the percentages of successful outcomes as listed in Section 4.13 of the report and suggested that it would be useful to report on the destination of participants not included in these outcomes (such as the destination of Employment Support participants who did not gain employment or an employment-related qualification). Officers explained that whilst they track the progress of all participants, the data provided is only intended as a snapshot of performance (in line with WG guidance) and that of the numerous performance indicators within Communities First, only a selection had been included in the report. Officers also explained that interventions take place for those participants identified as requiring additional support.

Discussion took place regarding the work carried out between Communities First and partner agencies and Members commented on the success of schemes such as the LIFT project. It was suggested that it would be beneficial for the Local Ward Members within each Cluster to meet as a group in order to be kept informed of Communities First developments relating to their Cluster, and Officers confirmed they would make the necessary arrangements in this regard.

In response to queries regarding the future of the Communities First programme, Officers explained that there is potential for the programme and its associated funding sources to be realigned in future years (via a single delivery plan from the four Local Delivery Boards) in order to meet the requirements of the Wellbeing of Future Generation Act. WG also recently announced plans for a shared budget between the anti-poverty programmes of CF, Flying Start, Families First and Supporting People. Collaboration between the anti-poverty programmes in Caerphilly are already well established, placing them in a strong position to adapt to any further alignment by Welsh Government.

Following consideration of the report and after due debate, Members noted the update in respect of the Communities First programme, and further noted that once Welsh Government confirms the 2017/18 funding allocation, an update report will be presented to the Scrutiny Committee.

10. WASTE COLLECTION REVIEW AND PROPOSED MINOR CHANGES TO CURRENT COLLECTION ARRANGEMENTS FOR FOOD/GARDEN WASTE

The report updated the Scrutiny Committee on progress made with the Collaborative Change Programme (CCP), detailed the outcome of the recent Wales Audit Office (WAO) Review of Waste Management, and also sought the views of Members on proposed minor changes to the current collection arrangements for food and garden waste, prior to its presentation to Cabinet for approval.

Members noted that the CCP was established by Welsh Government to facilitate the delivery of more sustainable waste management services across Wales by offering strategic and tailored support to help local authorities achieve the outcomes of the Towards Zero Waste Strategy. Caerphilly Council has been engaged in the CCP since early 2015 and is currently reviewing its waste collection/disposal options. The CCP is not yet complete and there are no firm recommendations to consider at this present time, although considerable progress has been made.

In May 2016 the WAO undertook a high level review of the Council's progress in considering changes to the waste and recycling service to meet future statutory targets. Based on the review WAO are "*reassured that the Council is taking a measured and mature approach in considering options for its waste and recycling service and recognised areas that require strengthening".* The WAO letter (included at Appendix 1 of the report) also identified some areas for consideration in order to strengthen/develop these arrangements.

Officers summarised current weekly collection arrangements as outlined in the report, involving the collection of approximately 11,000 tonnes of co-mingled food and garden waste per annum which is processed via in-vessel composting (IVC) at Bryn Compost in Gelligaer. However it is recognised that in the longer term, food waste needs to be collected and treated separately from garden waste via Anaerobic Digestion (AD) in accordance with WG policy. In January 2016, Cabinet agreed to the commencement of a food/garden waste treatment procurement process. In the meantime, under the existing contractual agreement with Bryn Compost there is the opportunity to utilise their new AD plant, but to do so would involve a change to the Council's current collection methods.

Members were also advised that a door-stepping campaign to encourage the recycling of food waste was implemented in August 2016 and a follow-up monitoring exercise will be undertaken in order to assess its effectiveness. It is anticipated that this form of communication will have a positive effect on recycling behaviour and improve the current low food waste recycling rate across the county borough.

In view of these findings, a number of collection options for food and garden waste were presented for Members' consideration, with the Scrutiny Committee asked to recommend a preferred method to Cabinet. The considerations and implications associated with each option were included in the report at Appendix 2.

Option 1 proposed the winter suspension of green waste collections, weekly green waste collections (spring/summer only) and all year round weekly food waste collections. This option would incur additional summer collection costs for the separate collections but would realise savings in treatment costs (circa £94,000 per annum). **Option 2** proposed the use of twin pack collection vehicles to collect food and garden waste weekly all year round, involving £1.62m of capital investment in new vehicles, which would achieve savings of approximately £340,000 per annum in collection and treatment costs.

Members were advised that the earliest delivery date for such vehicles would be Spring 2017 and therefore an interim option for this 4-month period would be required. **Option A** proposed the continued weekly collection of food waste and interim suspension of garden waste for Winter 2016/17. **Option B** proposed continued weekly collection of food waste and implementation of an interim weekly collection of garden waste for Winter 2016/17. **Option C** proposed continued weekly collection of food waste and implementation of a "request only" collection service for garden waste for Winter 2016/17.

In response to Members' queries, Officers confirmed that the new collection vehicles would have the same narrow chassis specification as the existing vehicles to allow ease of access across collection routes, but would have two sections to allow for the separation of the waste fractions. They explained that if interim Option C was selected (the request-only option for green waste), a new route would be established to allow for green waste to be collected on a specific day according to location for a temporary period during winter 2016/17 only

Concerns were raised that the interim request-only collection for garden waste could lead to fly tipping incidents or increased tonnage at civic amenity sites. Officers explained that garden waste tonnage is significantly lower during the winter months and that a request-only service would allow for the efficient reconfiguration of routes so that vehicles are only travelling down streets where green waste collections are required.

Members expressed the need for residents to be sufficiently informed of these changes and suggested a marketing strategy involving a leaflet and sticker drop. Officers explained that due to time constraints, it would not be possible to produce such literature or publish it in Newsline ahead of implementation of the changes, but that all other available communication channels would be utilised (such as social media, the Council's website, and word of mouth via the Council's employees). Additionally, early engagement had taken place with Customer First staff to prepare them for queries from local residents regarding the collection changes.

Following consideration of the report, Members noted the content of the update on the Collaborative Change Programme review and the letter from Wales Audit Office. It was moved and seconded that Option 2 and interim Option C as contained in Section 8 of the report be endorsed and that the recommendation be forwarded to Cabinet for approval. By a show of hands, this was unanimously agreed.

RECOMMENDED to Cabinet that:-

(i) the content of the update on the Collaborative Change Programme review and the letter from Wales Audit Office be noted;

(ii) the existing collection system for food and garden waste be replaced by the use of twin pack collection vehicles (Option 2);

(iii) a request-only service for garden waste collection be implemented for the interim period of November 2016-March 2017, with weekly food waste collection being maintained for the same period (Option C).

The meeting closed at 7.16 p.m.

Approved as a correct record and subject to any amendments or corrections agreed and recorded in the minutes of the meeting held on 1st November 2016, they were signed by the Chair.

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CHAIR

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REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE – 1ST NOVEMBER 2016

SUBJECT: **REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE FORWARD WORK PROGRAMME**

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

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1. PURPOSE OF REPORT

1.1 To report the Regeneration and Environment Scrutiny Committee Forward Work Programme

2. SUMMARY

2.1 Forward Work Programmes are essential to ensure that Scrutiny Committee agendas reflect the strategic issues facing the Council and other priorities raised by Members, the public or stakeholders.

3. LINKS TO STRATEGY

3.1 The operation of scrutiny is required by the Local Government Act 2000 and subsequent Assembly legislation.

4. THE REPORT

4.1 The Regeneration and Environment Scrutiny Committee forward work programme includes all reports that were identified at the scrutiny committee meeting on 20th September 2016. The work programme outlines the reports planned for the period November 2016 to April 2017.

4.2 The forward work programme is made up of reports identified by officers and members and has been prioritised into three priority areas, priority 1, 2 or 3. Members are asked to consider the work programme alongside the cabinet work programme and suggest any changes before it is published on the council website. Scrutiny committee will review this work programme at every meeting going forward alongside any changes to the cabinet work programme or report requests.

4.3 The Regeneration and Environment Scrutiny Committee Forward Work Programme is attached at Appendix 1. The Cabinet Forward Work Programme is attached at Appendix 2.

5. EQUALITIES IMPLICATIONS

5.1 There are no specific equalities implications arising as a result of this report.

6. FINANCIAL IMPLICATIONS

6.1 There are no specific financial implications arising as a result of this report.

7. PERSONNEL IMPLICATIONS

7.1 There are no specific personnel implications arising as a result of this report.

8. CONSULTATIONS

8.1 There are no consultation responses that have not been included in this report.

9. RECOMMENDATIONS

9.1 That Members consider any changes and agree the final forward work programme prior to publication.

10. REASONS FOR THE RECOMMENDATIONS

10.1 To improve the operation of scrutiny.

11. STATUTORY POWER

11.1 The Local Government Act 2000.

Author: Catherine Forbes-Thompson Interim Head of Democratic Services
Consultees: Gail Williams, Interim Head of Legal Services and Monitoring Officer
Christina Harrhy, Corporate Director - Communities

Appendices:
Appendix 1 Regeneration and Environment Scrutiny Committee Forward Work Programme
Appendix 2 Cabinet Work Programme

Regeneration & Environment Scrutiny Committee Forward Work Programme November 2016 to April 2017			
Meeting Date: 1 November 2016			
Subject	**Purpose**	**Key Issues**	**Witnesses**
Highway Asset Management Plan (P1)	Pre-decision	To update on the current All Wales approach to Asset Management and seek endorsement for CCBC's development of its Highways Asset Management Plan	Terry Shaw
Highway Maintenance Plan (P2)	Pre-decision	To seek endorsement of the Council's approach to maintaining its highway	Terry Shaw
Environment Budget update (P3)	Briefing report in relation to Service Revenue Budget Monitoring for 2016/17.	Service provision and delivery remaining within budget funding for the financial year and highlighting any ongoing budget pressures.	Mike Eedy

Meeting Date: 13 December 2016			
Subject	**Purpose**	**Key Issues**	**Witnesses**
Review of Street Lighting Changes (P2)			
Report to consider the possibility of reintroducing free replacement bins. (P3)	To bring forward a report to consider the current charging policy in respect of replacement bins	To examine the current policy of charging for replacement bins; options to consider discretionary considerations for elderly, etc. Offer suggested alternative methods to raise funds or where savings could be made.	Mark S Williams
Trees Policy (P4)	Pre-decision.	• Details to be confirmed nearer the date.	Christina Harrhy
Leisure Review Proposals (P4)	To update the Committee on the outcome of the Sport & Leisure Review (s) agreed by the Committee at its June 2016 meeting.	• Completion of BIP review and findings/ outcomes. • Next steps in terms of adoption of strategy by the Authority.	Mark S Williams

Meeting Date: 14 February 2017			
Subject	**Purpose**	**Key Issues**	**Witnesses**
Environment Budget Update (P1)	Briefing report in relation to Service Revenue Budget Monitoring for 2016/17.	Service provision and delivery remaining within budget funding for the financial year and highlighting any ongoing budget pressures	Mike Eady
Car Parking Review (P1)	To bring forward report and recommendations of the task and finish group.	To be determined from the task and finish group outcomes.	Terry Shaw Clive Campbell Chair of Task and Finish group
Road Speed Review (P2)	To explain the Speed review process to Members and advise of the outcomes and way forward.	Highlight those stretches of the Council's highway network that will be changing speed restrictions.	Terry Shaw Clive Campbell
Vibrant Viable Places Proposal (P3)	To consult on the Viable Vibrant Places (VVP) grant bid proposals.	The report will outline the Welsh Government (WG) VVP funding criteria and submission timetable which currently waits to be published. It will detail the bid being made by CCBC for funding to engage the local community in a range of social, environmental and economic projects.	Awaiting for confirmation from WG. Anticipated the following officers will attend: Tina McMahon Jane Roberts-Waite Dave Whetter

Meeting Date: 28 March 2017			
Subject	**Purpose**	**Key Issues**	**Witnesses**
City Deal Update (P1)	To provide an update on City Deal developments.	• Details to be confirmed nearer the date.	Christina Harrhy
Environment Act – Ecology Plan			Christina Harrhy

(Key P1,2,3,4 – Priority 1,2,3 or 4)

Cabinet Forward Work Programme

APPENDIX 2

2ND NOVEMBER 2016	Key Issues	Service Area
Write-off of Debts above £20,000 (Exempt) **Dileu Dyledion dros £20,000**	In accordance with the Council's previously approved write-off procedure, Cabinet will be asked to consider a report recommending the write-off of 3 individual outstanding debts each exceeding £20,000.	Corporate Finance
Additional Parking – Penallta House	To recommend to Cabinet that they approve extending car parking facilities at Penallta House using Corporate Service reserves to fund the cost of the works.	Property Services
Former Nelson Boys and Girls Club	To inform Cabinet of actions taken in accordance with the terms of the lease of the above premises to Nelson Development Trust (NDT).	Property Services
Colliers Building, Risca **Adeilad y Glowyr, Rhisga**	The report seeks approval for the disposal of the former Risca Collieries Workmen's Institute by way of a Community Asset Transfer	Property Services

16TH NOVEMBER 2016	Key Issues	Service Area
Highway Asset Management Plan Endorsement. **Cynllun Cynnal a Chadw'r Priffyrdd.**	To update on the current All Wales approach to Asset Management and seek endorsement for CCBC's development of its Highways Asset Management Plan	Engineering Services
Mid-Year Budget Monitoring (Whole Authority) **Monitro Cabol Blwyddyn Cyllideb 2015/16**	This report will provide details of projected whole-Authority revenue expenditure for 2016/17 along with details of any significant issues arising. The report will also update Cabinet on progress in delivering approved savings for the 2016/17 financial year.	Corporate Finance
Highway Inspection Manual Endorsement. **Cynllun Cynnal a Chadw'r Priffyrdd.**	To seek endorsement of the Council's approach to maintaining its highway network.	Engineering

Cabinet Forward Work Programme

APPENDIX 2

Mill Road/ Risca Regeneration Proposals		Property Services
CABINET AS TRUSTEES OF DAFYDD WILLIAMS PARK, CAERPHILLY		
TITLE	**KEY ISSUES**	**Service Area**
Cabinet as Trustee of Dafydd Williams Park Caerphilly - titled - Neuadd Parc Hall - Dafydd Williams Park Caerphilly **Cabinet fel Ymddiriedolwr dros Barc Dafydd Williams, Caerffili - teitl - Neuadd Parc Hall – Parc Dafydd Williams, Caerffili**	To provide Cabinet acting for the Council as Corporate Trustee with an update on the use of Neuadd y Parc Hall which forms part of Dafydd Williams Park in Caerphilly.	Legal and Democratic Services

30TH NOVEMBER 2016	**Key Issues**	**Service Area**
2017/18 Budget/ Revised Medium Term Financial Plan **Cyllideb / Cynllun Ariannol Tymor Canolig Diwygiedig 2017/18**		Corporate Finance
Rhymney 3-18 All Through School **Ysgol Rhymni Oedrannau 3 i 18**	To seek Member agreement to commence a consultative process on establishing a Rhymney 3-18 All Through School.	Education
Draft Savings Proposals for 2017/18	This report will seek Cabinet endorsement of draft savings proposals for the 2017/18 financial year based on the Provisional Local Government Financial Settlement. This will then allow for a period of consultation prior to consideration of	Corporate Finance

Cabinet Forward Work Programme

APPENDIX 2

Cynigion Arbedion Drafft ar gyfer 2017/18	final 2017/18 budget proposals by Cabinet and Council in February 2017	
Capital Bids **Ceisiadau Cyfalaf**	This report will seek Cabinet approval of proposals to utilise the capital earmarked reserve of £7.9m that was agreed as part of the Capital Programme approved by Council at its meeting on the 24th February 2016.	Corporate Finance

14TH DECEMBER 2016	**Key Issues**	**Service Area**
Council Tax Base **Sylfaen Treth y Cyngor**		Corporate Finance
Treasury Management - Review of MRP Policy. **Rheolaeth Y Trysorlys – Adolygiad o'r Polisi Isafswm y Ddarpariaeth Refeniw.**	This report will set out options for revising the Minimum Revenue Provision (MRP) Policy to identify potential savings to support the Medium Term Financial Plan (MTFP).	Corporate Finance

18TH JANUARY 2017	**Key Issues**	**Service Area**
Welsh Language 5-Year Strategy **Strategaeth 5 Mlynedd yr Iaith Gymraeg**	The Welsh Language Standards require the authority to produce a 5 year Welsh language strategy that sets out a target to maintain, or improve, the number of Welsh speakers in the area and the steps that will be taken to achieve the target. The strategy has been developed with local partners but must be adopted by the local authority.	Public Protection

Cabinet Forward Work Programme

APPENDIX 2

1ST FEBRUARY 2017	Key Issues	Service Area
Well Being Assessment **Asesiad Lles**	The local assessment of well-being is a key Public Services Board document that must be published by early May 2017. The local authority will have a statutory duty to contribute to the PSBs objectives which will follow in the subsequent Well-being Plan	Public Protection

15TH MARCH 2017	Key Issues	Service Area
Rhymney 3-18 All Through School	To apprise Members of the outcome of the consultative process to establish a Rhymney 3-18 All Through School and determine whether to proceed to publish a statutory notice.	Education

21ST JUNE 2017	Key Issues	Service Area
Rhymney 3-18 All Through School	To make a final decision on the proposal to establish a Rhymney 3-18 All Through School.	Education

REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE – 1ST NOVEMBER 2016

SUBJECT: HIGHWAY ASSET MANAGEMENT PLAN ENDORSEMENT

REPORT BY: CORPORATE DIRECTOR COMMUNITIES

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 28th 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 Harrhy - 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 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

HIGHWAY OPERATIONS PLAN

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

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 [2]

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 [2]
- Providing a longer term maintenance regimes [1]
- 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 [3]

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:

Asset Categories / **HAMP Sections**	***Carriageway & Footway***	***Street Lighting***	***Drainage***	***Structures***	***VRS & Fencing***	***Road crossings***	***Bus stops/ stations***	***Road furniture***
Description	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
Performance	Scrim, scanner & highway inspections	Mayrise Street lighting	Service Requests, Inspections	Inspection reports	Inspections, reports	Inspection reports	Cleansing reports - O Drive	Inspections, reports
Service	Inspections	Mayrise Street lighting	Service Requests, Inspections	Highway Structures SLA	Inspections, reports	Inspection reports	Maint'ce orders Record - O Drive	Inspections, reports
Planned Actions	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
Costs	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
Risks	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
Improvements	Under review	Under review	Under review	Bridge Database - O Drive	Under review	Under review	Under review	Under review
Asset Owner	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 [(4)]
- Urban renewals schemes [(4)]
- Structural repairs/ replacements
- Drainage schemes/ improvements
- Infrastructure repairs
- Input from third parties (e.g. general public via the Service Requests (SRs) [(3)]

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 [2]

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 [2]

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 [4]

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 [6]

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 [4] [5] [6]

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 [5]

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:

Change in Highway Asset Value		
Year	**Gross Replacement Cost £'000**	**Depreciated Replacement Cost £'000**
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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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 28th 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:

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

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:

CATEGORY	**INSPECTION INTERVAL**
CARRIAGEWAYS	
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
FOOTWAYS/CYCLEWAYS	
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:

CATEGORY **CARRIAGEWAYS**	**INTERVENTION CRITERIA (minimum defect depth)**
Strategic Routes ('A' Roads) Main Distributor ('B' Roads)	40mm
Secondary Distributor Link Roads Local Access Roads/Rear Lanes	50mm
FOOTWAYS/CYCLEWAYS	
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 Harrhy - 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 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

HIGHWAY OPERATIONS PLAN

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

APPENDIX B

Caerphilly County Borough Council Highway Inspections Manual

First edition July 2016

For further information on this document please contact:

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Revision	Last updated	Page(s)	Revision Description
1	21.01.2015		Gavin Barry (Draft)
2	15.07.2016		GP Review
3	08.08.2016		GR Review

Distribution

Role	Holder
Head of Engineering Services	Terry Shaw
Highways Operations Group Manager	Graham Parry (temp)
Highways Maintenance Manager	Gareth Richards
Highways maintenance Engineer	Gavin Barry
Highways Inspector	Nicola Tiley
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Highways Inspector	David Haines
Highways Inspector	Sue Morgan
Highways Inspector	Paul Roberts
Highways Inspector	Darren Bilton
Highways Inspector	Darren Jones
Highways Asset Manager	Steve Hodges
Principal Engineer (Capital Works)	Chris Adams
Legal	Richard Crane
Risk & Insurance	Sue Ruddock

Contents

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.

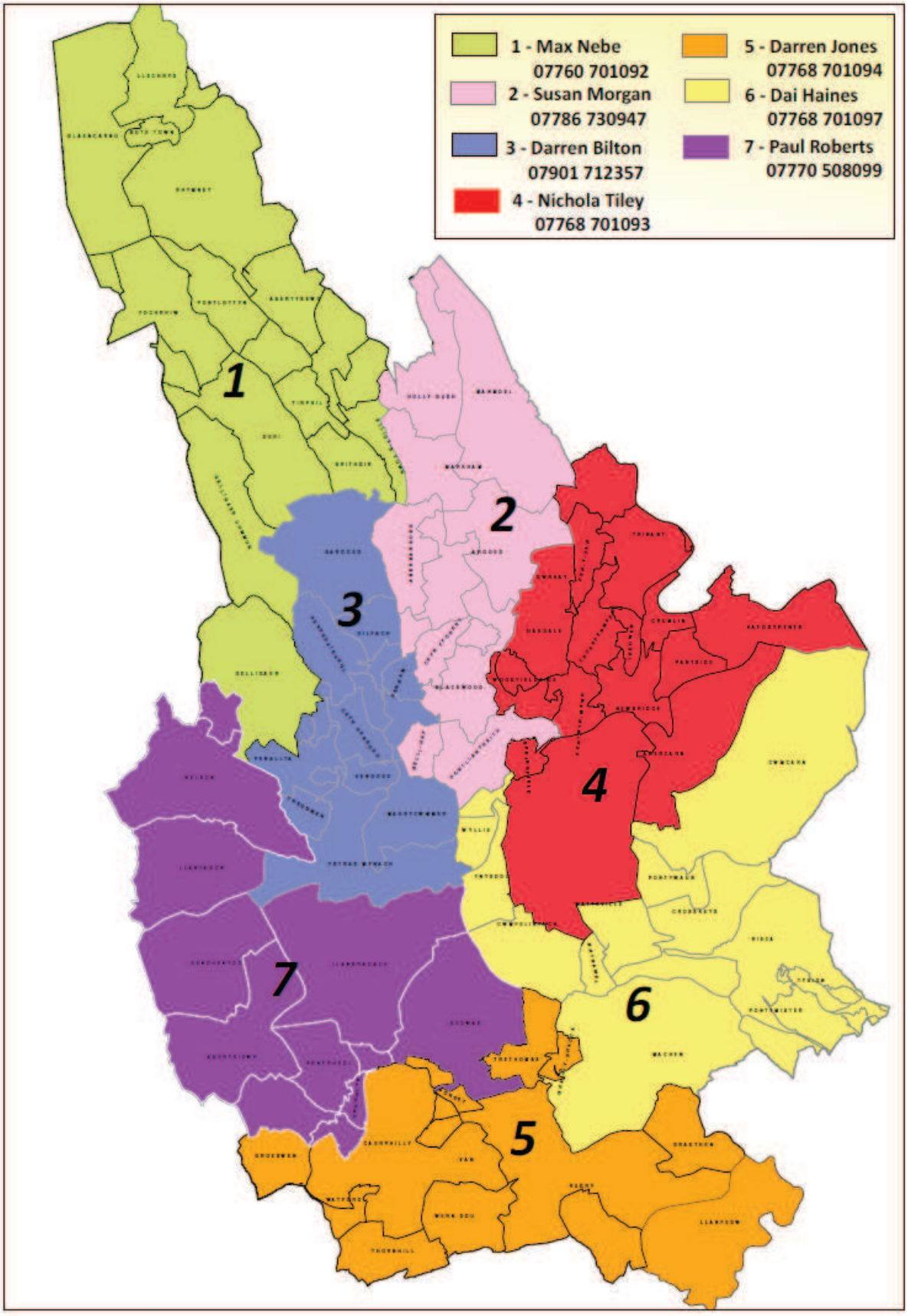
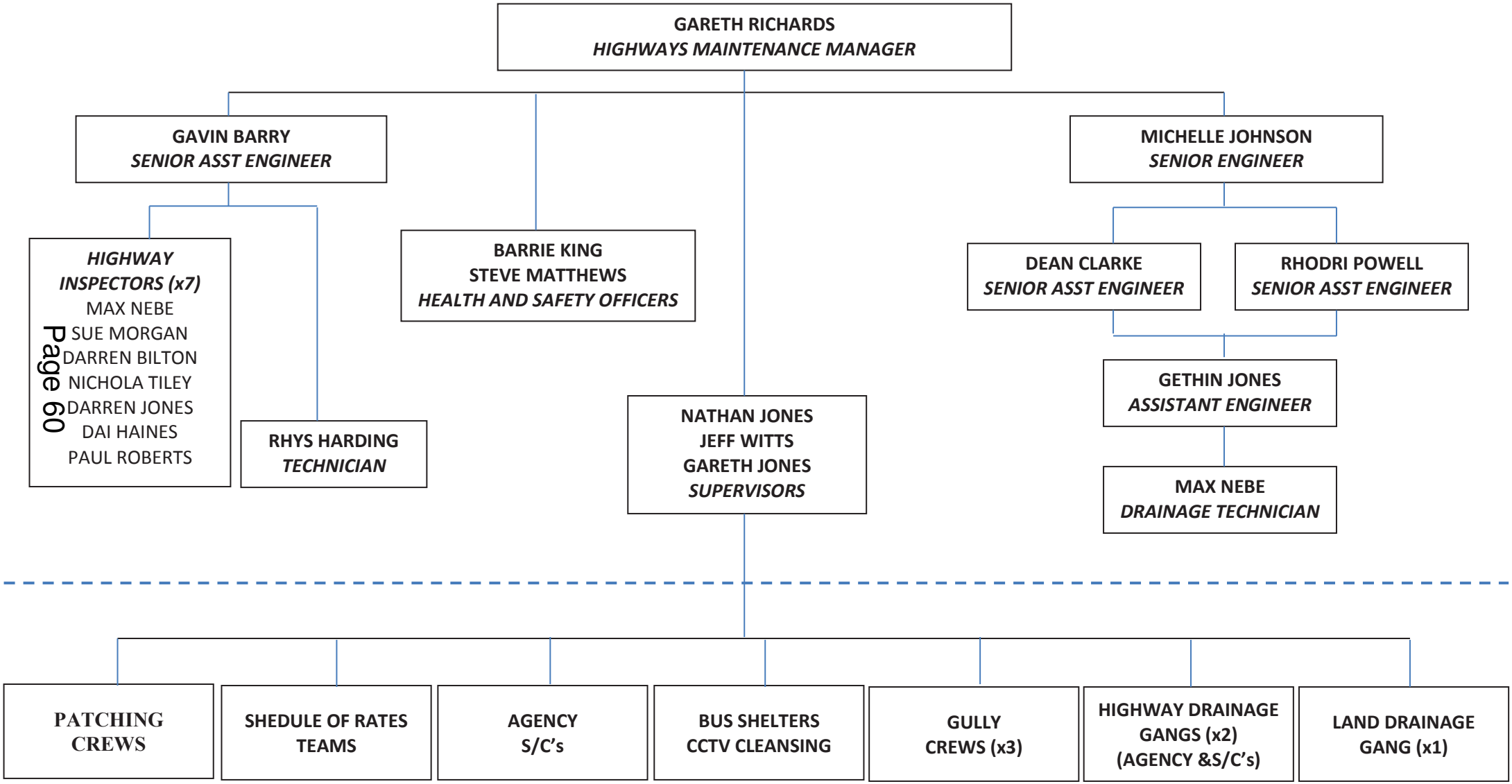


Figure 1 Inspection Areas

The following organisational structure shows how highway inspections are resourced:



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

Table 4 Cycleway hierarchy

Category	Description
A	*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)*
B	*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.*
C	*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*

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.

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 (Ordinance 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).

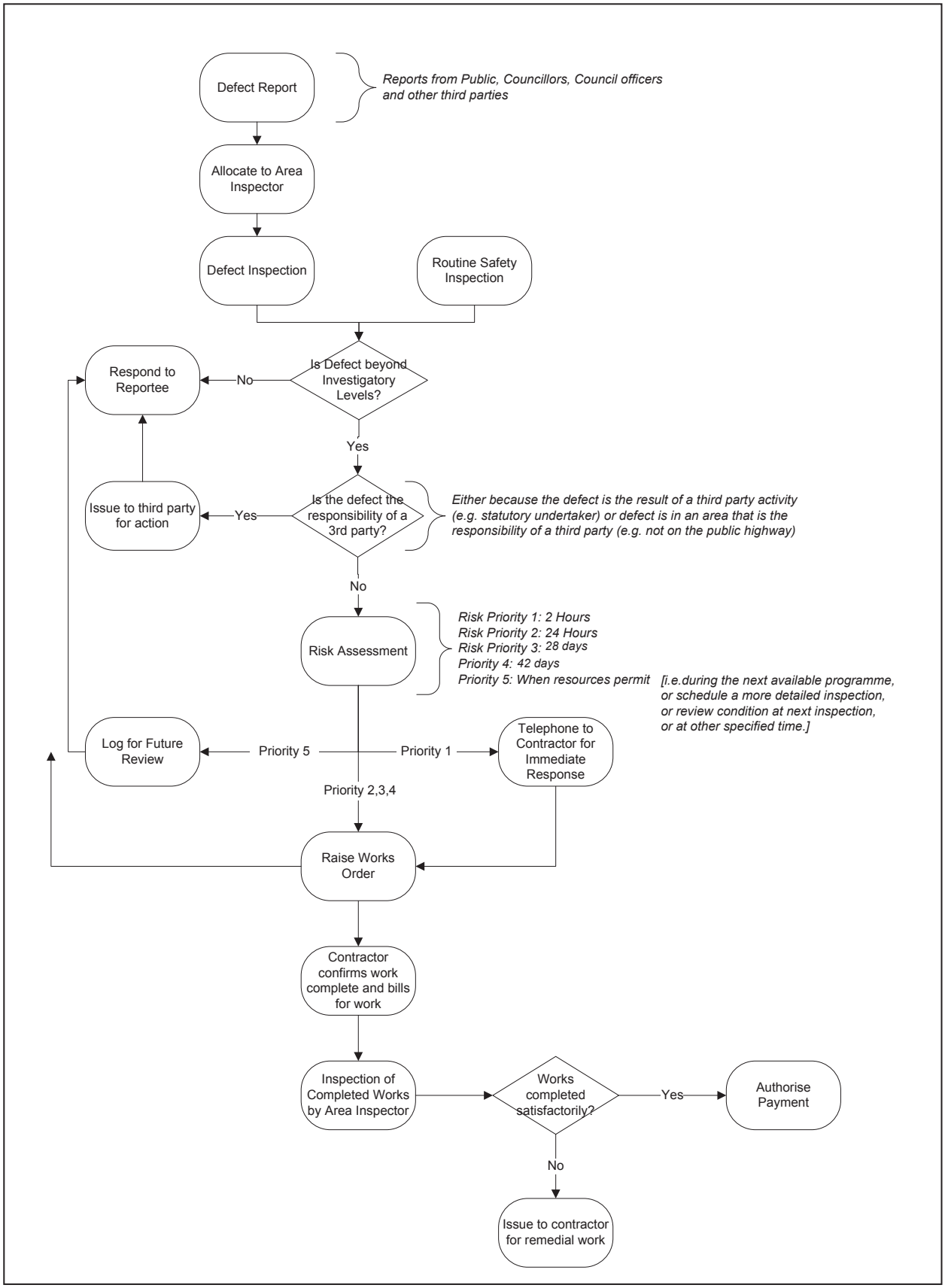


Figure 3 Overview of the process of highway inspections

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)
Safety Inspections						
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 10in Part 2*	*Risk Matrix - Table 12*
Service Inspections (including Detailed Inspection)						
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 10in 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)
			is saved electronically into Exor/Mayrise			
Structures	*Bridges, Structures, Retaining Wall Inspections, Safety Barrier - Routine Structural Inspection*	*Driven/Walked*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	*Visual inspection only and refer to Structures department*	*Variable according to category. Refer to Table 10in Part 2*	*Refer to structures department*
Bridge Assessment (and Strengthening)	*As above*	*Driven/Walked*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	*Visual inspection only and refer to Structures department*	*Variable according to category. Refer to Table 10in Part 2*	*Refer to structures department*
Tips (disused mines and quarries)	*Stability of disused tips*	*Walked*	*Manually recorded*	*Refer to Tips Inspection Manual*	*Refer to Tips Inspection Manual*	*Refer to Tips Inspection Manual*
Street lighting and Illuminated Traffic Signs equipment	*Streetlights, feeder pillars*	*Walked/ Driven*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	*Refer to Street Lighting Department*	*Refer to Street Lighting Department*	*Refer to Street Lighting Department*
Highway Drainage	*Condition assessment for gullies*	*Walked*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	*Refer to drainage section*	*Refer to drainage section*	*Refer to drainage section*
Land Drainage	*Culverts*	*Walked/ Driven*	*Manually logged until return to*	Refer to Land drainage	*In line with inspection schedule, Ad hoc basis*	

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)
			office base, where information is saved electronically into Exor/Mayrise	Department	*and via service requests*	
Street works inspections	*Statutory undertakers (utility) defect*	*Walked/ Driven*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	Refer to NRSWA department	In line with inspection schedule, Ad hoc basis and via service requests	
Condition assessment surveys	*Skid resistance, CVI, DVI*	*Walked/ Driven, Visual only*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	Record as per inspections and refer to Highways Engineer	In line with inspection schedule	
Inspections for Network Integrity (relating to operational efficiency)	*Traffic signs or markings*	*Walked/ Driven*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	If signs are obscured or damaged, action as necessary	In line with inspection schedule	
Inspections for Regulatory Purposes (regulation and enforcement activities)	All assets within the Highway	*Walked/ Driven*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	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)
'Ad-hoc' inspections	*Carriageways, Pedestrian crossings, Surfacing, Kerbing Ironwork, Drainage Road markings, Signs, bollards, lights, signals, Safety fencing and barriers, Trees and vegetation*	*Walked/ Driven*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	Refer to table 10	Adhoc basis not routine	Refer to table
Inspection of 'requests for service'	*All assets within Highway*	*As required*	*Manually logged until return to office base, where information is saved electronically into Exor/Mayrise*	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

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

GENERAL – other 'emergency' safety defects (not exhaustive)
• Missing covers – manholes, inspection chambers, gullies, stop taps etc.; • Lighting columns/illuminated signs – missing door/exposed electrical cables; • Unsafe roadwork's sites; • Recently damaged safety barrier systems; • Traffic Signals – complete failure; • Missing slabs/kerbs; • Obstructions including major c/way flooding

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

Probability / Impact	Very low	Low	Medium	High
Negligible	1	3	3	4
Low	2	4	6	8
Noticeable	3	6	9	12
High	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 lose 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

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

2.9.2 Defect Details

Table 18 Defect Details

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

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**

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

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.

REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE – 1ST NOVEMBER 2016

SUBJECT: **BUDGET MONITORING REPORT 2016/2017**

REPORT BY: **CORPORATE DIRECTOR COMMUNITIES**

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1. PURPOSE OF REPORT

1.1 To inform Members of the most recent budget monitoring position for 2016/2017 for Environment Directorate service Divisions, including Regeneration & Planning Division, Engineering Services Division, Public Protection Division and Community & Leisure Services Division.

2. SUMMARY

2.1 The report summarises the most recent budget monitoring projections for 2016/2017 based on the latest available financial information.

2.2 It attaches, as appendices the more detailed budget monitoring figures for each of the Council Fund Services outlined in paragraph 1.1 above.

3. LINKS TO STRATEGY

3.1 The content of the report is in accordance with the budget strategy considered by the Council at its meeting of 24th February 2016.

3.2 The budget figures outlined in this report assist in meeting the ambition of the Authority to build better communities by building better public services, building better lifestyles, building a vibrant economy and building Futures Changing Lives.

3.3 Budget monitoring and management information itself is in accordance with the corporate theme of delivering the Strategies.

4. THE REPORT

4.1 INTRODUCTION

4.1.1 The report outlines the revenue budget position for each of the service Divisions that form part of the Environment Directorate based on the most current financial information available. Projected outturn figures for the financial year are compared with the budget to show the anticipated under/overspends. More detailed budget monitoring figures are shown in the appendices' 1a to 1d.

4.1.2 It should be noted that the budget report to Council on 24th February 2016 detailed the need to apply further budget efficiency savings in 2016/2017 to meet medium term financial plan

(MTFP) targets and achieve budget strategy aims. Environment Directorate services were targeted to achieve new budget efficiency savings of £2.850million.

4.1.3 The table 1 below summarises the present budget monitoring position, with an overall Directorate over spend of £667k, but exclusive of ring fenced budgets this over spend is increased to £869k. The report will highlight that the Directorate over spend is primarily due to ongoing financial pressures in relation to waste management services (paragraph 4.5.2 below). Appendices 1a to 1d provide more detail on the budget variation projections for each Service Division.

TABLE 1	ORIGINAL ESTIMATE 2016/2017	REVISED ESTIMATE 2016/2017	ANTICIPATED OUTTURN 2016/2017	ANTICIPATED VARIANCE 2016/2017 Under (Over)
	£000	£000	£000	£000
Regeneration & Planning Division	**3,857**	**4,085**	**3,965**	**120**
Engineering Services Division	**19,618**	**19,671**	**19,821**	**(150)**
Public Protection Division	**7,143**	**7,143**	**7,052**	**91**
Community & Leisure Services Division	**18,136**	**18,136**	**18,868**	**(732)**
Directorate General	**162**	**162**	**158**	**4**
NET DIRECTORATE	**48,916**	**49,197**	**49,864**	**(667)**
Home to School Transport - ring fenced over spend				**(34)**
Social Services Transport – ring fenced under spend				**33**
Cemeteries Task & Finish – ring fenced under spend				**203**
NET DIRECTORATE over spend (excluding ring fenced budgets)				**(869)**

4.2 REGENERATION & PLANNING DIVISION

4.2.1 Overall, the service Division presently has a projected under spend of £120k. Planning services are reporting an over spend of £124k and Economic Development & Tourism an under spend of £244k.

4.2.2 Countryside Services are reporting a small under spend of £5k, with a shortfall in income generation from car park charging of £27k offset by under spends in operational costs.

4.2.3 Development Control is reporting a small £6k under spend, Planning application fee income is projected to be £50k short of the £566k budget target, including pre application advice income charges of £25k but this is offset by an under spend in staffing due to delayed filling of vacant posts and MTFP savings in advance for 2017/2018. There is an over spend of £64k in Building Control, where income is projected to be £76k below the £302k budget. Search fee income is £11k below the £112k budget. Planning application fee, building control fee and search fee income is dependent on the number of applications received and numbers of applications and fee levels can vary. We intend to revisit these income levels during the next few months.

4.2.4 Strategic Planning budgets are presently projected to be £60k over spent due a shortfall in rechargeable fee income, partly offset by staffing under spend due to staff on reduced working hour contracts. We intend to revisit these income levels during the next few months.

4.2.5 Schemes under the Rural Development Plan (R.D.P) are continuing in 2016/2017 as a result of a new approved RDP programme 2014-2020 and European grant funding of £2.643million for the period up to 2020. The total cost of these schemes will be 80% funded by European (W.E.F.O) grant. Approval of the new schemes has helped secure continuity of employment of Planning and Countryside staff. However the position may change dependent on the timing of UK's exit from the European Union and the impact this will have on existing European grant funding.

4.2.6 Overall Economic Development & Tourism is presently projecting an under spend of £244k. Business Development has underspend of £218k which is due to staff 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 under spend in other operational non staff budgets and an under spend of £128k in Community Regeneration Fund due to an anticipated reduction in the number of applicants for grant match funding support.

4.2.7 Business Urban Renewal is reporting an over spend of £141k, this is primarily due to a projected over spend of £129k in relation to the Bargoed retail shop units which are part of the Bargoed Regeneration project. This is due to anticipated under occupancy of the units and reduced rental income in 2016/2017. There is also staffing over spend due to a temporary contract extension to a previously grant funded post and honorarium payment relating to the vacant Head of Service post partly offset by a vacant post.

4.2.8 There is a projected £75k under spend in relation to industrial properties due to staff 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 further review of this service and initiatives identified to increase Industrial Property rent income in order to ensure budget targets are achieved in the future.

4.2.9 Tourism Events have a net under spend of £8k, 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 under spend of £28k primarily due to staff 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 closure of the Scenic Drive for ongoing tree felling works, The Caerphilly Visitor Centre is over achieving income targets due to the continuing success of the coffee shop facilities. Further MTFP savings are planned for the tourism venues in 2017/2018.

4.2.10 Community Regeneration has an under spend of £56k, mainly due to additional staff recharge income from support provided to the grant funded Community First programme. In addition there is a small £7k under spend in relation to Hafod Deg resulting from rent income generated from the property.

4.3 ENGINEERING SERVICES

4.3.1 Engineering is reporting a net over spend of £150k on a £20.2million budget, but after excluding budget variations in relation to Home to School Transport (£34k over spend) and Social Services Transport (£33k under spend) which will be ring fenced and appropriated back to the Service Directorates, there is an over spend of £149k.

4.3.2 Expenditure in relation to highway reactive maintenance repairs is presently projected to be £249k over spent this is due to ongoing pressures on the highway network accentuated by a

backlog of maintenance works carried forward from 2015/2016 as a result of NCS staff resource and ongoing issues with the performance of some subcontractors. The severity of winter weather in relation to snow, gritting and flooding will have an impact on the overall outturn position, although for now it is assumed 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. Engineering are reviewing the highway maintenance programme and endeavouring to balance the budget by the financial year end. MTFP savings of £350k (£190k energy and £160k maintenance) were applied to the street lighting budget in 2016/2017 as a result of capital investment in low energy LED lights so it is pleasing to note that these savings are being achieved

4.3.3 The Engineering Projects Group (EPG) has a projected under spend of £26k, mainly due to staff vacant posts.

4.3.4 There is an overspend in relation to car parks (£100k) primarily relating to the ongoing review and asset management plan development for car parks. No specific budget exists for this work, but the overspend will be funded from the use of identified unapplied grant from the WEFO park & ride project. An MTFP savings of £126k was applied to Public Transport in 2016/2017, but there is presently an over spend of £40k due to the timing of the implementation of the new bus contracts, resulting in under achievement of this saving at present. This saving is anticipated to be fully achieved in 2017/2018 as the new contracts will have been in operation for a full financial year and initiatives are being considered to offset the over spend in 2016/2017

4.3.5 There is also an overall under spend in staffing due to vacant posts/delayed filling of £190k including £26k in EPG noted in paragraph 4.3.3 above. Some of these savings are MTFP savings in advance for 2017/2018.

4.3.6 The £34k over spend in relation to Home to School Transport is due to there being 3 more school days in 2016/2017 compared to the average budgeted school days, which increases contractor payments accordingly. An MTFP saving of £250k was applied to this budget in 2016/2017. There is some volatility in this budget due to demand for taxi's and variation in school days due to poor winter weather.

4.3.7 Social Services Transport has a projected under spend of £33k which is mainly due to £13k net under spend on salaries (as some staff are currently on reduced hours & casual costs lower than expected) and the Bus Services Support Grant likely to be £18k more than budgeted.

4.3.8 At this stage of the year Network Contracting Services is reporting a break even position. It is anticipated that the value of work and income will increase during the remainder of the year which should result in an improved financial position. NCS is undertaking the work in relation to the Operation and Maintenance (O&M) sub contract with Sirhowy Enterprise Way Ltd for a further 10 years and this should have a positive impact on the overall financial position, although in order to be compliant with the risk transfer aspects of the PFI procurement, surpluses in relation to this contract will again be ring fenced, as they were in previous financial years.

4.4 PUBLIC PROTECTION

4.4.1 Public Protection is presently projecting an under spend of £91k on an overall revenue budget of £7.143million.

4.4.2 Environmental Health is currently projecting a net under spend of £45k including £37k in Enforcement due to income received from early termination of the Blaenau Gwent pest control SLA and delayed filling of vacant posts. These under spends 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.

4.4.3 Trading Standards, Licensing, Registration services are reporting a projected under spend of £4k, including staffing underspend (£13k) mainly in Licensing from changes in staffing hours. There is also £10k over achievement in Registrar's income targets. These under spends are partly offset by an under achievement in licensing income targets of £18k. The Licensing income budget will be monitored closely as this can be subject to variation. CCTV is showing a £8k under spend in staffing costs.

4.4.4 Catering Services are projecting an overall under spend of £34k on a £3.438million net budget this includes a £138k under spend in Primary School catering due to an over achievement in income targets and under spend in staffing and other operational costs and a £29k under spend in Comprehensive school catering. These under spends are partly offset by an over spend in relation to breakfast clubs of £84k, mainly due to a delay in implementing agreed MTFP savings in this service area. There is also a £50k over spend for meals direct and civic catering due to a shortfall in income targets partly offset by reduced operating costs. The financial position in school catering will be monitored carefully as any school closures due to adverse winter weather will impact upon income.

4.4.5 At present, financial information in relation to the Public Protection Division continues to be reported to Regeneration & Environment Scrutiny Committee as part of the Environment Directorate, although operational service specific reports are now submitted to Health Social Care & Wellbeing Scrutiny Committee due to a realignment of senior officer reporting arrangements.

4.5 COMMUNITY & LEISURE SERVICES

4.5.1 The Community & Leisure Division is presently projecting an overall over spend of £732k on an overall budget of £18.136 million. However, this includes a £203k under spend in cemetery services where any under spend is ring fenced for future improvement and enhancement in cemeteries. Excluding cemeteries there is an over spend of £935k.

4.5.2 Waste management & cleansing is presently projecting an overall over spend of £1,012k. There is a large projected over spend in relation to dry recycling treatment of £1,145k partly due to revised treatment contract arrangements with a higher cost per tonne, increased waste tonnage and the additional cost of treating materials that cannot be recycled. Additional budget provision of £1,600k is held corporately as a contingency to fund any over spend in dry recycling initiatives subject to there being an over spend for the Community & Leisure Division overall. There is also over spend of £157k in relation to residual waste treatment due to increased tonnage of waste sent to the Project Gwyrdd EfW plant in Cardiff. There is also a £172k over spend in relation to Civic Amenity sites due to increased tonnage of waste being processed.

4.5.3 It is anticipated that these over spends will be partly offset by an under spend in staffing costs (£354k) in relation to street cleaning and HQ management & supervision from vacant posts. There are also other savings in operational costs including reduced/delayed vehicle and plant acquisition requirement (£230k RCCO). Volumes of waste tonnage from the various waste streams and the treatment costs per tonne are monitored closely as any fluctuations during the year can have a significant impact on the overall financial position.

4.5.4 Due to the complexity and current financial position of this service area, the Corporate Director will chair a Board, consisting of the Cabinet Member, the Acting Director of Corporate Services, the Interim Head of Corporate Finance, Head of Community & Leisure Services and the Waste Strategy & Operation manager to analyse in detail each of these areas and identify appropriate mitigating measures (including the use of Corporate reserves) to balance the

budget for 2016/2017 and 2017/2018 and develop a business plan for the service for the medium term.

4.5.5 Overall, Parks, Outdoor Facilities and Cemeteries services is presently projecting an under spend of £206k. However £203k of this under spend relates to cemeteries where any under spend is ring fenced for future planned investment to create and enhance cemetery provision across the County Borough. The remainder of the service area is presently projecting a small under spend of £3k, with an under spend in Outdoor Facilities of £20k due to MTFP savings in advance in relation to bowling green rationalisation, offset by a £17k over spend in Parks mainly due to the delayed retirement and one off retirement costs in relation to the Parks Manager of £46k which was part of a MTFP saving for 2016/2017.

4.5.6 Leisure is reporting an overall under spend of £95k. Leisure centres are reporting an over spend of £32k, this is mainly due to a projected £40k under achievement in income. The Leisure Centres have a challenging combined income target of £3.516million for 2016/2017 which has been increased by £235k over the past few years as part of MTFP savings requirements. The over spend in Leisure Centres is more than offset by an under spend in central leisure of £90k due to vacant posts and other central costs and an under spend in sports & health development of £37k. Income targets at Leisure Centres will be monitored closely as income generation is subject to variation depending on customer demand. Members will be aware that as part of the Business Improvement Programme initiative, Sports & Leisure Centre services are being reviewed.

4.5.7 Vehicle Maintenance & Fleet management is presently showing a projected small over spend of £8k. The outturn position will be dependent on the value of work through the workshop over the next few months and the ability to finance fixed overheads.

4.5.8 Building Cleaning is reporting a small projected over spend of £13k, but the financial position will be managed accordingly and it is anticipated that this position will improve.

4.6 MEDIUM TERM FINANCIAL PLANS (MTFP) SAVINGS 2016/2017

4.6.1 The 2016/17 revenue budget for Environment Directorate included targeted MTFP savings of £2.850million as summarised in table 2 below. The projected overspends and under spends discussed in the above paragraphs take account of these savings targets.

TABLE 2

Service Division	Approved Savings 2016/2017 £000
Regeneration & Planning Division	**285**
Engineering Services Division	**894**
Public Protection Division	**463**
Community & Leisure Services Division	**1,208**
TOTAL	**2,850**

4.6.2 As reflected in the budget monitoring figures reported above, most of the approved MTFP savings introduced for 2016/2017 have or will be achieved by the end of the financial year, however, there are some that require further review and monitoring that may not be fully achieved, as some over spend is being predicted. These MTFP savings include:

- Increased income targets in relation to Industrial Properties (£100k), projected to under achieve by £20k and Cwmcarn visitor centre (£20k) projected to under achieve by £30k as noted in paragraphs 4.2.8 and 4.2.9 respectively above. Initiatives are being considered to increase income generation at Industrial Properties via increased occupancy and rent reviews and at Cwmcarn by reviewing the customer offer to compensate for the loss of income resulting from the closure of the scenic drive.

- Passenger Transport (£126k) projected to under achieve by £40k due to the timing of the introduction of new contracts (paragraph 4.3.4 above). This saving is anticipated to be fully achieved in 2017/2018 as the new contracts will have been in operation for a full financial year and initiatives are being considered to offset the over spend in 2016/2017

- Catering breakfast clubs reduced staffing hours (£70k) projected to under achieve due to delayed implementation (paragraph 4.4.4 above). 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.

- Parks, deletion of Parks & Outdoor facilities manager post (£60k) projected to under achieve by £46k due to a delayed retirement date and one off retirement costs (paragraph 4.5.5 above). This saving is anticipated to be fully achieved in 2017/2018 and initiatives are being considered to offset the over spend in 2016/2017.

5. EQUALITIES IMPLICATIONS

5.1 There are no potential equalities implications of this report and its recommendations on groups or individuals who fall under the categories identified in Section 6 of the Council's Strategic Equality Plan. There is no requirement for an Equalities Impact Assessment Questionnaire to be completed for this report.

6. FINANCIAL IMPLICATIONS

6.1 As noted in the table in paragraph 4.1.3 above some service under and over spends will be appropriated to ring fenced reserves for specific requirements. The remaining Directorate over/under spends, will be either appropriated to the Environment Directorate strategic reserve (£960k over spend) in relation to Regeneration & Planning, Engineering and Community & Leisure or the Social Services strategic reserve (£91k under spend) in relation to Public Protection. Any Directorate over spends will require funding from future years revenue budgets or, subject to specific approval from identified contingency budgets as noted in paragraph 4.5.2 in relation to waste management services.

7. PERSONNEL IMPLICATIONS

7.1 Members will be aware that when setting the budget, MTFP savings were identified for the Environment Directorate in relation to vacancy management savings, these are reflected in the financial figures reported.

8. CONSULTATIONS

8.1 There are no consultation responses, which have not been included in this report.

9. RECOMMENDATIONS

9.1 Members are requested to note the contents of this report.

10. REASONS FOR THE RECOMMENDATIONS

10.1 The Council Budget is based on the achievement of both expenditure and income targets. In order to ensure that these are met and the Council's financial integrity is maintained Directors are required to review income and expenditure trends.

11. STATUTORY POWER

11.1 Local Government Act 1972.

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Consultees
Councillor D.T Davies Chair Regeneration & Environment Scrutiny Committee
Councillor Mrs E.M Aldworth Vice Chair Regeneration & Environment Scrutiny Committee
Councillor, K. James, Cabinet Member Regeneration, Planning & Sustainable Development
Councillor, N George Cabinet Member Community & Leisure Services
Councillor T. Williams Cabinet Member Highways, Transportation & Engineering
Chris Burns, Interim Chief Executive
Dave Street Corporate Director, Social Services
Christina Harrhy Corporate Director, Communities
Robert Hartshorn, Head of Public Protection
Terry Shaw, Head of Engineering Services
Mark S Williams Head of Community & Leisure Services
Tim Stephens, Development Control Manager
Dave Whetter, Principal Engineer
Nicole Scammell, Acting Director of Corporate Services and Section 151 Officer
Steve Harris, Interim Head of Corporate Finance
Cheryl Jeremic, Acting Group Accountant
Rose Shears, Finance Officer
Jane Southcombe, Financial Services Manager
Dave Roberts, Group Accountant
Paul Adams, Senior Assistant Accountant

Background Papers:
Divisional budget monitoring working papers 2016/2017

Appendices:
Appendix 1A Budget Monitoring Report – Regeneration, Planning and Economic Development
Appendix 1B Budget Monitoring Report – Engineering Division
Appendix 1C Budget Monitoring Report – Public Protection Division
Appendix 1D Budget Monitoring Report – Community and Leisure Services

Links to other Documents:
Council Meeting 24/2/2016: “Budget Proposals 2016/17 and Medium Term Financial Strategy 2016/2021” Agenda Item No. 4
Cabinet Meeting 17/02/2016: “Budget Proposals 2016/2017 and Medium Term Financial Strategy 2016/2021 Agenda Item No 4

Appendix 1A

DIRECTORATE OF THE ENVIRONMENT	Page No	Estimate 2016/2017	Revised Estimate 2016/2017	Projected Outturn 2016/2017	Variance 2016/2017
REGENERATION, PLANNING & ECONOMIC DEVELOPMENT					
ECONOMIC DEVELOPMENT AND TOURISM					
Business Development		904,888	1,133,637	**914,752**	218,885
Business Urban Renewal		270,111	270,111	**411,418**	(141,307)
Tourism Events		120,215	120,215	**112,138**	8,077
Commercial Properties		(1,023,524)	(1,023,524)	**(1,099,230)**	75,706
Tourism Venues		952,424	952,424	**925,321**	27,103
Community Regeneration		210,596	210,596	**154,547**	56,049
Community First Expenditure		2,902,453	3,644,012	**3,644,012**	0
Community First Grant Funding		(2,902,453)	(3,644,012)	**(3,644,012)**	0
Blackwood Miners Institute		302,768	302,768	**302,768**	0
Arts Development		147,431	147,431	**147,431**	0
		1,884,909	**2,113,658**	**1,869,145**	**244,513**
PLANNING					
Countryside and Landscape		1,134,430	1,134,430	**1,129,321**	5,109
Strategic Planning		402,726	402,726	**463,169**	(60,443)
Development Control		346,516	346,516	**340,014**	6,502
Building Control		(39,805)	(39,805)	**24,375**	(64,180)
Land Charges		(13,700)	(13,700)	**(2,576)**	(11,124)
Corporate and Democratic Core		141,706	141,706	**141,706**	0
		1,971,873	**1,971,873**	**2,096,009**	**(124,136)**
TOTAL NET BUDGET		**3,856,782**	**4,085,531**	**3,965,154**	**120,377**

Appendix 1B

DIRECTORATE OF THE ENVIRONMENT	Page No	Estimate 2016/2017	Revised Estimate 2016/2017	Projected Outturn 2016/2017	Variance 2016/2017
ENGINEERING DIVISION					
HIGHWAY OPERATIONS					
Gross Expenditure		10,057,416	10,057,416	10,238,015	(180,599)
Grants, Fees & Charges and Other Income		(375,882)	(375,882)	(356,201)	(19,681)
Net Expenditure		**9,681,534**	**9,681,534**	**9,881,814**	**(200,280)**
ENGINEERING PROJECTS GROUP					
Gross Expenditure		1,108,368	1,108,368	1,050,845	57,523
Fees & Charges and Other Income		(1,217,100)	(1,217,100)	(1,185,976)	(31,124)
Net Expenditure		**(108,732)**	**(108,732)**	**(135,131)**	**26,399**
TRANSPORT ENGINEERING					
Gross Expenditure		1,692,293	1,692,293	1,691,356	937
Grants, Fees & Charges and Other Income		(1,016,785)	(1,016,785)	(1,015,104)	(1,681)
Net Expenditure		**675,508**	**675,508**	**676,252**	**(744)**
PASSENGER TRANSPORT					
Gross Expenditure		5,312,774	5,312,774	6,079,176	(766,402)
Grants, Fees & Charges and Other Income		(3,624,953)	(3,624,953)	(4,365,291)	740,338
Net Expenditure		**1,687,821**	**1,687,821**	**1,713,885**	**(26,064)**
HOME TO SCHOOL TRANSPORT					
Gross Expenditure		6,347,419	6,400,597	6,434,283	(33,686)
Grants, Fees & Charges and Other Income					
Net Expenditure		**6,347,419**	**6,400,597**	**6,434,283**	**(33,686)**
SOCIAL SERVICES TRANSPORT					
Gross Expenditure		1,423,483	1,423,483	1,410,170	13,313
Grants, Fees & Charges and Other Income		(14,210)	(14,210)	(34,210)	20,000
Net Expenditure		**1,409,273**	**1,409,273**	**1,375,960**	**33,313**
ENGINEERING - GENERAL (Expenditure only)		**99,708**	**99,708**	**48,950**	**50,758**
Engineering Division		**19,792,531**	**19,845,709**	**19,996,013**	**(150,304)**
Network Contracting Services (NCS)		**(174,544)**	**(174,544)**	**(174,544)**	**0**
TOTAL EXPENDITURE ENGINEERING SERVICES		**19,617,987**	**19,671,165**	**19,821,469**	**(150,304)**

Appendix 1C

DIRECTORATE OF THE ENVIRONMENT	Page No	Estimate 2016/2017	Revised Estimate 2016/2017	Projected Outturn 2016/2017	Variance 2016/2017
PUBLIC PROTECTION DIVISION					
TRADING STANDARDS					
Expenditure		808,705	808,705	829,876	(21,171)
Income		(17,000)	(17,000)	(41,451)	24,451
Net Expenditure		**791,705**	**791,705**	**788,425**	**3,280**
LICENSING					
Expenditure		355,712	355,712	346,454	9,258
Income		(320,983)	(320,983)	(302,722)	(18,261)
Net Expenditure		**34,729**	**34,729**	**43,732**	**(9,003)**
REGISTRARS					
Expenditure		282,009	282,009	282,009	0
Income		(209,200)	(209,200)	(218,968)	9,768
Net Expenditure		**72,809**	**72,809**	**63,041**	**9,768**
CCTV					
Expenditure		618,895	618,895	611,426	7,469
Income		(151,252)	(151,252)	(151,252)	0
Net Expenditure		**467,643**	**467,643**	**460,174**	**7,469**
COMMUNITY WARDENS		**349,314**	**349,314**	**347,995**	**1,319**
COMMUNITY SAFETY		**18,304**	**18,304**	**18,304**	**0**
CORPORATE AND DEMOCRATIC COSTS (CDC)		**35,806**	**35,806**	**35,806**	**0**
HEALTH DIVISIONAL BUDGET					
Expenditure		261,423	261,423	260,218	1,205
Income		(8,000)	(8,000)	(8,000)	0
Net Expenditure		**253,423**	**253,423**	**252,218**	**1,205**
ENFORCEMENT					
Expenditure		680,886	680,886	670,557	10,329
Income		(50,668)	(50,668)	(77,763)	27,095
Net Expenditure		**630,218**	**630,218**	**592,794**	**37,424**
POLLUTION					
Expenditure		413,128	413,128	405,376	7,752
Income		(24,350)	(24,350)	(24,350)	0
Net Expenditure		**388,778**	**388,778**	**381,026**	**7,752**
FOOD TEAM					
Expenditure		581,494	581,494	581,494	0
Income		(15,000)	(15,000)	(15,000)	0
Net Expenditure		**566,494**	**566,494**	**566,494**	**0**
EMERGENCY PLANNING					
Net Expenditure		**95,025**	**95,025**	**97,887**	**(2,862)**
CATERING					
Expenditure		7,215,772	7,215,772	7,114,985	100,787
Income		(3,777,314)	(3,777,314)	(3,710,704)	(66,610)
Net Expenditure		**3,438,458**	**3,438,458**	**3,404,281**	**34,177**
TOTAL NET EXPENDITURE		**7,142,706**	**7,142,706**	**7,052,177**	**90,529**

Appendix 1D

DIRECTORATE OF THE ENVIRONMENT	Page No	Estimate 2016/2017	Revised Estimate 2016/2017	Projected Outturn 2016/2017	Variance 2016/2017
COMMUNITY & LEISURE SERVICES					
WASTE MANAGEMENT					
Residual Waste		2,417,728	2,417,728	2,597,833	(180,105)
Organics recycling		1,516,001	1,516,001	1,553,603	(37,602)
Civic Amenity Sites		2,522,903	2,522,903	2,720,048	(197,145)
Waste Transfer Station		137,602	137,602	139,929	(2,327)
Dry Recycling		2,109,873	2,109,873	3,239,128	(1,129,255)
RCCO		580,000	580,000	175,500	404,500
Bulky Waste		134,626	134,626	173,255	(38,629)
Commercial Waste		(537,827)	(537,827)	(481,428)	(56,399)
Other Waste		68,567	68,567	59,618	8,949
Trehir		121,800	121,800	93,702	28,098
Sustainable Waste Management Grant		(3,134,136)	(3,134,136)	(3,134,136)	0
HQ Staff		1,386,328	1,386,328	1,344,100	42,228
CLEANSING					
Public Conveniences		91,944	91,944	87,138	4,806
Street Cleansing		4,349,596	4,349,596	4,034,547	315,049
RCCO		75,000	75,000	249,308	(174,308)
GROUND MAINTENANCE AND PARKS					
Cemeteries		(118,132)	(118,132)	(321,551)	203,419
Allotments		37,856	37,856	37,777	79
Parks and Playing Fields		1,532,410	1,532,410	1,507,028	25,382
Playgrounds		274,027	274,027	273,317	710
Outdoor facilities		291,198	291,198	270,991	20,207
Housing Ground Maintenance		239,277	239,277	239,277	0
Community Assets Funding		58,000	58,000	58,000	0
HQ Staffing		956,369	956,369	1,000,024	(43,655)
LEISURE SERVICES					
Leisure Centres		2,429,389	2,429,389	2,371,644	57,745
Sports & Health Development		54,059	54,059	17,577	36,482
Outdoor Education		153,070	153,070	153,070	0
Community & Leisure Services Divisions		**17,747,528**	**17,747,528**	**18,459,299**	**(711,771)**
Building Cleaning		477,620	477,620	490,218	(12,598)
Vehicle Maintenance & Fleet Management		(89,177)	(89,177)	(80,892)	(8,285)
Total net expenditure Community & Leisure Services		**18,135,971**	**18,135,971**	**18,868,625**	**(732,654)**